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Resilient nations.*

Guidance Note UNDP Social and Environmental Standards (SES)

Social and Environmental Screening Procedure

**UPDATED PROCEDURE
OPG approved in 2019**

Effective as of January 1, 2021

What is New

The proposed update to the SESP Template and Guidance includes the following top-line revisions:

- ✓ Alignment of the screening template and guidance with the draft revised UNDP Social and Environmental Standards (SES), including alignment with the updated UN Sustainable Development Cooperation Framework (formerly UNDAF) Guidance
- ✓ Alignment with UNDP's updated Programme and Project Management (PPM) Policy
- ✓ Alignment with UNDP's updated Enterprise Risk Management Policy (ERM), including changes to social and environmental risk descriptions and ratings
- ✓ Added additional "Substantial" Risk project categorization to align with ERM Policy
- ✓ Consolidated guidance on how to respond to SESP questions into body of SESP Guidance Note, which will be integrated into online tool
- ✓ Added further guidance on specifying the types of assessments and management plans needed per risk category and per Programming Principles and Project-level Standards (SESP Questions 5 and 6)
- ✓ Modified SESP template Question 5 for screeners to indicate overall types of needed assessments and management plans
- ✓ Rephrased SESP Template Question 6 to sharpen descriptions of risk-specific assessments and management measures
- ✓ Streamlined wording of Social and Environmental Risk Checklist questions
- ✓ Updated indicative list of High Risk projects (Annex 2)

UNDP Guidance Notes on the Social and Environmental Standards (SES)

This Guidance Note is part of a set of operational guidance materials related to the [UNDP Social and Environmental Standards \(SES\)](#). UNDP's SES seek to (i) strengthen quality of programming by ensuring a principled approach; (ii) maximize social and environmental opportunities and benefits; (iii) avoid adverse impacts to people and the environment; (iv) minimize, mitigate, and manage adverse impacts where avoidance is not possible; (v) strengthen UNDP partner capacities for managing social and environmental risks; and (vi) ensure full and effective stakeholder engagement, including through mechanisms to respond to complaints from project-affected people.

The SES guidance notes follow a similar structure to assist users in finding specific information or guidance (however the SESP Guidance Note focuses on the steps of the screening process). The set of guidance notes will develop over time to include specific guidance on each of the SES Programming Principles, Project-level Standards, and elements of the Social and Environmental Management System (see Key Elements of the SES). The [SES Toolkit](#) is an on-line resource for the guidance notes and supporting materials.

How to Use This Guidance Note

The target users for the SES guidance notes are staff, consultants, stakeholders and partners who are involved in developing, assessing and implementing projects that invoke UNDP's SES. To facilitate use of the overall package of SES guidance, users should understand that the guidance notes:

- Are structured around the process of **screening, social and environmental assessment, and management** (including monitoring). This SESP Guidance Note concentrates on the screening process.
- Assist in determining the applicability of relevant SES requirements in the screening process for all projects.
- Provide additional guidance for projects that require assessment and development of management measures (i.e. projects with Moderate, Substantial or High Risks related to a certain Principle or Standard).
- Provide a practical resource for implementing SES requirements to address potential social and environmental impacts within the context of the project cycle. Users do not necessarily need to read them in full but rather may select information that is specific to their needs.
- Complement and elaborate on the SES, which must be read in conjunction with the guidance notes (SES language is generally not repeated in the notes).
- Will continue to be developed as lessons are derived from implementation. Feedback is always welcome and can be sent to info.ses@undp.org.

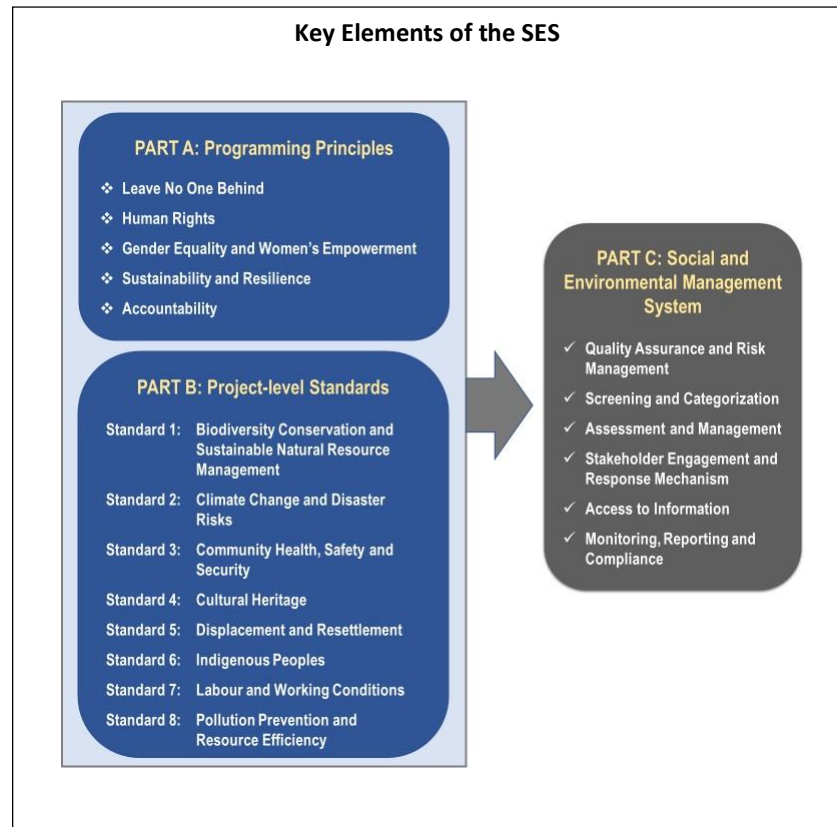


Figure 1. SES Implementation – Screening, Assessment and Management in the Programming Cycle

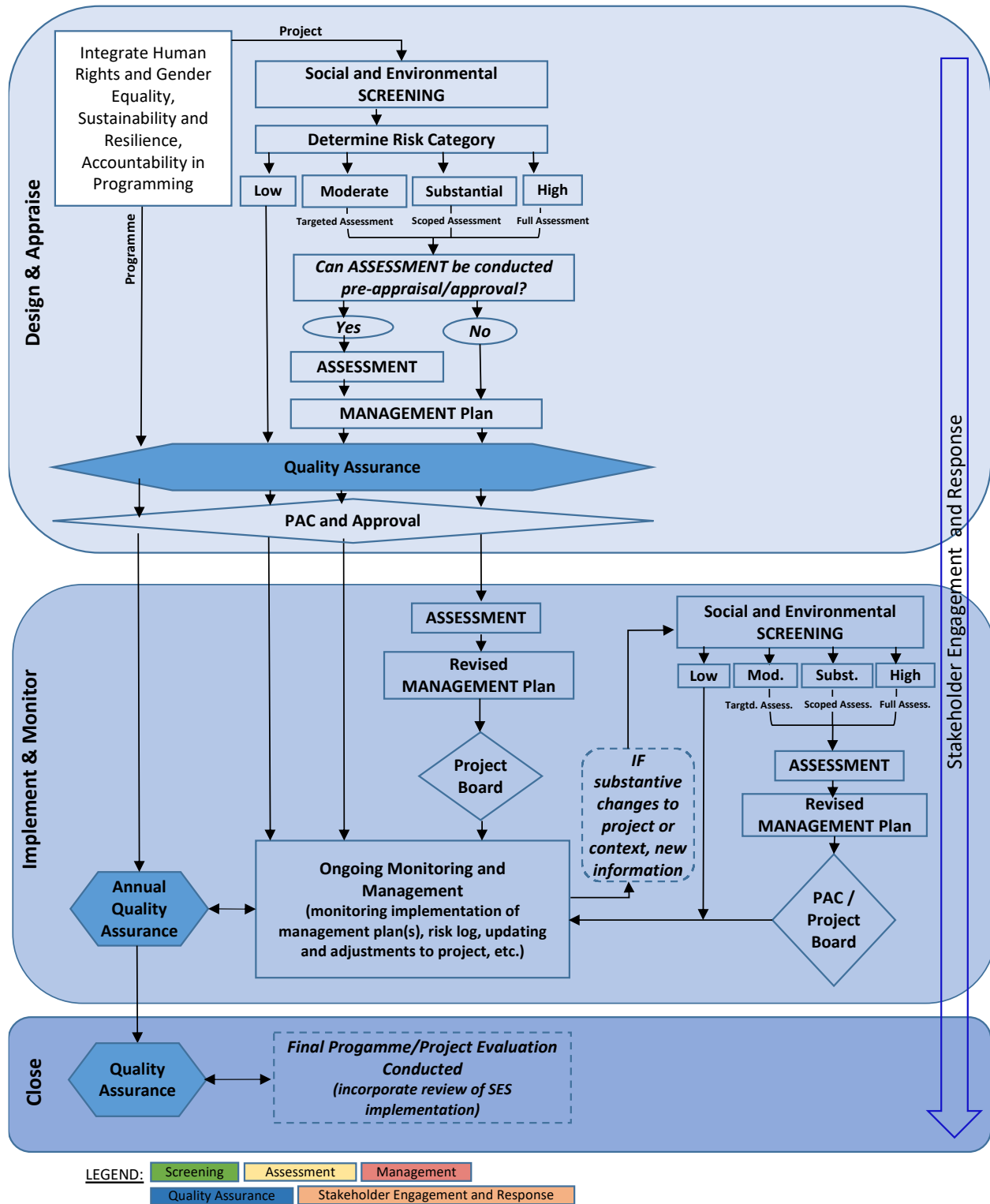


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Acronyms

BPPS	Bureau for Policy and Programme Support
CO	UNDP Country Office
CPD	Country Programme Document
DIM	Direct Implementation Modality
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FPIC	Free Prior and Informed Consent
GHG	Greenhouse Gas
GRM	Grievance Redress Mechanism
HRBA	Human Rights-based Approach to Development Programming
LPAC	Local Project Appraisal Committee
NIM	National Implementation Modality
OAI	UNDP's Office of Audit and Investigations
PAC	Project Appraisal Committee
QA	Quality Assurance
RBx	Regional Bureaus
SECU	Social and Environmental Compliance Unit
SES	Social and Environmental Standards
SESA	Strategic Environmental and Social Assessment
SESP	Social and Environmental Screening Procedure
SRM	Stakeholder Response Mechanism
UNDAF	United Nations Development Assistance Framework
UNSDG	United Nations Sustainable Development Group
UNDP	United Nations Development Programme

I. Introduction

1. Social and environmental sustainability are fundamental to the achievement of development outcomes and shall be systematically mainstreamed into UNDP's Programme and Project Management Cycles. [UNDP's Social and Environmental Standards \(SES\)](#) underpin and demonstrate this commitment. The SES, in effect since 1 January 2015, require that all UNDP programmes and projects enhance positive social and environmental opportunities and benefits as well as ensure that adverse social and environmental risks and impacts are avoided, minimized, and mitigated.
2. Screening and categorization of projects is one of the key requirements of the SES.¹ Screening identifies potential social and environmental opportunities and risks/impacts in the design and implementation of projects. Categorization is undertaken to reflect the level of review and resources required for addressing the identified risks and impacts.
3. UNDP's Social and Environmental Screening Procedure (SESP) and this Guidance Note provide policy guidance and tools to design and implement high quality projects that address the requirements of UNDP's SES. The SESP is comprised of a series of questions that guides Project Developers through a process of identifying potential project-related social and environmental opportunities and risks and measures for social and environmental risk management.
4. The **objectives** of the SESP are to:
 - integrate the SES Programming Principles in order to maximize social and environmental opportunities and benefits and strengthen social and environmental sustainability;
 - identify potential social and environmental risks and their significance;
 - determine the project's risk category (Low, Moderate, Substantial, High); and,
 - determine the level of social and environmental assessment and management required to address potential risks and impacts.

¹ Compliance is another key policy delivery area, with implications for screening and categorization by UNDP staff. UNDP has a compliance review process – the [Social and Environmental Compliance Unit \(SECU\)](#), within the Office of Audit and Investigations (OAI) – that accepts requests to investigate alleged violations of UNDP's social and environmental commitments, including UNDP's commitment to apply the SES and SESP. Additionally, UNDP has established a [Stakeholder Response Mechanism](#) that seeks to facilitate dispute resolution for social and environmental issues related to a UNDP project. Dispute resolution will occur primarily through UNDP country or regional offices. An office in UNDP headquarters will provide support for these efforts, or lead them when appropriate.

II. Screening Requirements and Process

What Projects Must Be Screened?

5. As part of UNDP's quality assurance role, UNDP requires adherence to the SES for project activities implemented using funds channeled through UNDP's accounts, regardless of Implementation Modality (e.g. NIM, DIM). With some exceptions (see below), all proposed projects are required to be screened.
6. The SESP applies to all development activities not included in the SESP exemptions list below. This includes "projects" supported by different UNDP delivery instruments as outlined in the following table:

<i>Standard Delivery Instruments</i>	<i>SESP applied to:</i>
Development Projects	Project Document
Engagement Facility	Multi-year Workplan
Development Services	Development Services Agreement
<i>Other Instruments</i>	
Portfolios of Projects	Project Document; if multiple ProDocs, screen each
Initiation Plan	If utilized to initiate or conduct development activities, then "Description of Activities" should be screened

7. Projects that consist **solely** of any of the following functions or activities will be **exempt** from the screening requirement:
 - a. UNDP serves as Administrative Agent;
 - b. Preparation and dissemination of reports, documents and communication materials;
 - c. Organization of an event, workshop, training;²
 - d. Strengthening capacities of partners to participate in international negotiations and conferences;
 - e. Partnership coordination (including UN coordination) and management of networks; and/or
 - f. Global/regional projects with no country-level activities (e.g. activities such as knowledge management, inter-governmental processes);
 - g. Development Effectiveness projects and Institutional Effectiveness projects.
8. The exemption criteria apply when they comprise the entire scope of the project, not just one component. For projects that meet the SESP exemption criteria, Project Developers indicate in the SESP Tool that the SESP is not required and indicate the reason for the exemption. The SESP exemption is

预览已结束，完整报告链接和二维码如下：

https://www.yunbaogao.cn/report/index/report?reportId=5_11588

