



# **ENVIRONMENTAL AND SOCIAL SAFEGUARDS SYSTEM**

**Version 1.0 – 9 December 2016**

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Conforms to	Internationally accepted environmental and social safeguard policies and standards
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## Policy Statement from the Executive Director

Nairobi, 9 December 2016

UN-Habitat has developed an improved Environmental and Social Safeguards (ESS) System, in order to assure sound environmental and social performance throughout the life-cycle of UN-Habitat projects.

The ESSS defines the environmental and social objectives and principles that apply to all projects and to the staff that work on those projects. The safeguard standards guide management of the environmental and social risks and impacts so that the full sustainable development benefits from the project are realized. The management procedures provide guidance in four areas: project screening and categorization; impact assessment and management measures; monitoring, evaluation and reporting; and, staff responsibilities. The external communication procedures are also described for the benefit of our stakeholders and staff members.

The ESSS is fully aligned with our mission to promote sustainable urbanization and support development of human settlements that are socially and environmentally sustainable with adequate shelter for all. It is also fully integrated with and complementary to our strategic plan and our policies on Accountability, Project-Based Management, Human Rights, Climate Change, Youth and Gender.

UN-Habitat is committed to applying our safeguard standards to avoid adverse impacts to people and the environment. Where avoidance is not possible, adverse impacts will be minimized, mitigated and managed by applying the applicable safeguard standards and procedures outlined in the ESSS. UN-Habitat is also committed to respect host country laws and the international conventions applicable to our work.

All UN-Habitat staff members are instructed to comply with the procedures, to fulfill their responsibilities outlined in the Environmental and Social Safeguards System, and to seek clarification with the Director of Programme Division and the Office of the Executive Director, where necessary. I encourage supervisors to support staff in continuously developing their skills to implement the Environmental and Social Safeguards Systems, as they become an integral component of our project management policy framework and will contribute towards our mission in making a better urban future.



**Dr. Joan Clos**

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# 1 INTRODUCTION

1. The United Nations Human Settlements Programme (UN-Habitat) is the focal point for all urbanization and human settlement matters within the UN system. UN-Habitat's mission is to promote socially and environmentally sustainable human settlements development and the achievement of adequate shelter for all<sup>1</sup>. Our work contributes to the UN Sustainable Development Goals<sup>2</sup>, in particular, Goal 11: Make cities and human settlements inclusive, safe, resilient and sustainable. UN-Habitat's role and mandate was further strengthened in October 2016 through the adoption of the New Urban Agenda<sup>3</sup>, the outcome document of the Third United Nations Conference on Housing and Sustainable Urban Development (Habitat III).
2. The goal, as stated in UN-Habitat's Strategic Plan 2014-2019<sup>4</sup>, is to have well-planned, well-governed and efficient cities and other human settlements with adequate infrastructure and universal access to employment, land and basic services, including housing, water, sanitation, energy and transport. One of the principles in the Strategic Plan is to mainstream considerations of human rights, gender, youth and climate change into the design and implementation of all projects to ensure that project outcomes reach all intended beneficiaries, particularly persons in vulnerable situations.
3. UN-Habitat projects will comply with host country laws and obligations under international law and conventions. Projects will support our partners' adherence to human rights obligations and will empower individuals to participate in UN-Habitat projects.
4. UN-Habitat projects are developed and managed through the Project Based Management Policy (PBM Policy)<sup>5</sup>. This policy provides detailed processes and procedures throughout the project cycle, including project identification, formulation, planning, approval, implementation, monitoring, reporting and evaluation. Supporting tools are provided for each stage of the project cycle, for different typologies of projects and the roles and responsibilities of the main actors are clearly defined.
5. The Environmental and Social Safeguards System (ESSS) is a framework outlining UN-Habitat's commitment, capacity and procedures to assess and manage the environmental and social risks of Projects. The ESSS is fully integrated with the PBM Policy. The objectives of the ESSS are to:
  - i. identify and evaluate potential environmental and social risks and negative impacts of projects;
  - ii. apply a mitigation hierarchy to anticipate and avoid or minimize risks, and where impacts remain, compensate for risks and impacts to people, communities, and the environment;
  - iii. manage environmental and social safeguards throughout the project;
  - iv. engage the affected community through disclosure of project-related information and consultation on matters that directly affect them; and

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<sup>1</sup> UN-Habitat website, Mission statement, available at <http://tinyurl.com/UN-Habitat-Mission>

<sup>2</sup> United Nations, 2015, Transforming our World: The 2030 Agenda for Sustainable Development, available at <http://tinyurl.com/Transforming-Our-World>

<sup>3</sup> United Nations 2016: <https://habitat3.org/the-new-urban-agenda/>

<sup>4</sup> UN-Habitat, 2013, Strategic Plan 2014-2019 : <http://unhabitat.org/un-habitats-strategic-plan-2014-2019/>

<sup>5</sup> UN-Habitat, 2012, Project Based Management Policy, <http://unhabitat.org/project-based-management-policy/>

- v. ensure that grievances and external communications from stakeholders are responded to and managed appropriately.
6. The ESSS identifies six(6) Environmental and Social Safeguard Standards with objectives and requirements to manage potential risks and impacts to people, communities, and the environment from projects.
7. The ESSS provides procedures to screen proposed projects for potential environmental or social risks and to develop appropriate measures to avoid, minimize, or compensate for negative effects. It also ensures that mitigation measures are monitored for implementation and effectiveness, and that any impacts arising from the project are addressed.
8. The ESSS is aligned with United Nations, Bi-and Multilateral Institutions' environmental and social safeguard policies. It has been prepared while bearing in mind the safeguard management systems of other organizations including the International Finance Corporation (IFC), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), and the International Union for Conservation of Nature (IUCN).
9. The ESSS has been prepared for the following audiences:
  - i. UN-Habitat staff, especially those engaged in all aspects of project management;
  - ii. partners and contractors engaged in UN-Habitat projects;
  - iii. funding agencies such as our bilateral and multilateral donor Agencies; and,
  - iv. public and community groups that may be interested in or affected by UN-Habitat projects.
10. This is the first version of the ESSS. As the system is applied on projects, valuable lessons will emerge. Regular performance reviews will capture this feedback and will be used to improve the ESSS. A comprehensive evaluation by the Director of Programme Division<sup>6</sup> is also planned in four years to analyze the effectiveness and identify improvements to the ESSS.

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<sup>6</sup> Director of Programme Division is accountable for all aspects of project management and the overall coordination of UN-Habitat's project portfolio. The Programme Division directs the whole project management cycle, from project strategy development, resources, formulation, and approval to implementation and monitoring. The Director oversees both regional offices and the thematic organizational units and may delegate responsibilities to them.

## 2 ENVIRONMENTAL AND SOCIAL SAFEGUARDS STANDARDS

11. Environmental and social safeguard standards provide guidance on how to identify risks and impacts, and are designed to help avoid, mitigate, and manage risks and impacts throughout the life of a project. The safeguard standards guide management of the environmental and social risks and impacts so that the full sustainable development benefits from the project are realized.
12. UN-Habitat has adopted the Performance Standards established by the International Finance Corporation (IFC)<sup>7</sup>. The IFC Performance Standards have also been adopted by the Green Climate Fund on an interim basis until 2017.
13. The environmental and social safeguard standards to be applied on all UN-Habitat projects are as follows:
  - Community Health, Safety, and Working Conditions;
  - Pollution Prevention and Resource Efficiency;
  - Biodiversity Conservation and Sustainable Natural Resource Management;
  - Displacement and Resettlement;
  - Indigenous Peoples; and
  - Cultural Heritage<sup>8</sup>.
14. These safeguard standards are described in the context of UN-Habitat projects in the sub-chapters that follow. Every project will be assessed against these safeguard standards by following the internal procedures presented in Chapter 3. Note also that not every safeguard standard will be applicable on every project, and this will be noted on the Safeguards Screening Report (SSR).

### 2.1 COMMUNITY HEALTH, SAFETY AND WORKING CONDITIONS

15. UN-Habitat has a responsibility to avoid or minimize the risks and impacts to community health, safety, and working conditions that may arise from project-related activities, particularly for marginalized and vulnerable groups. UN-Habitat must also protect the fundamental rights of workers employed on projects and comply with the international conventions of the International Labor Organization and the United Nations.

#### Objectives:

- To anticipate and avoid adverse impacts on the health and safety of any affected community during the life of the project from both routine and non-routine circumstances.
- To ensure that projects are implemented in accordance with relevant human rights principles and in a manner that avoids or minimizes risks to any affected community.

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<sup>7</sup> International Finance Corporation (IFC), Performance Standards on Environmental and Social Sustainability, 2012, available at <http://tinyurl.com/IFC-Performance-Stds>.

<sup>8</sup> At the same time UN-Habitat maintains and applies a separate system of Markers for review of projects at the point of entry. These Markers cover issues identified in UN-Habitat's *Strategic Plan (2014-2019)* as cross-cutting: Human Rights, Gender, Youth, and Climate Change. This system of cross-cutting markers is separate from the present system of environmental and social safeguards. For further information on cross-cutting markers see UN-Habitat Programme Division.

- To promote the fair treatment, non-discrimination, and equal opportunity of workers.
- To establish, maintain, and improve the worker-management relationship.
- To promote compliance with national employment and labor laws.
- To protect workers, including vulnerable categories of workers such as, migrant workers, workers engaged by third parties, and workers in the client's supply chain.
- To promote safe and healthy working conditions, and the health and safety of workers, including contract workers.
- To avoid, under all circumstances, the use of forced labor.

**Minimum Requirements:**

- Assess and avoid, or if unavoidable, minimize, adverse impacts on the health and safety of the affected community over the life of a project.
- Avoid or minimize the potential for community exposure to diseases, including from hazardous waste, taking into consideration the higher sensitivity of certain vulnerable groups.
- Assess safety risks that a project poses towards local communities and create a system to respond to emergency situations, including both project accidents and natural hazards.
- Assess and mitigate risks posed by a project's security arrangements, such as use of private security, police or military personnel.
- Investigate all allegations of unlawful or abusive acts of security personnel, take action to prevent recurrence, and report unlawful and abusive acts to public authorities.
- Provide workers with clear and understandable information on their rights, including those related to hours of work, compensation, safety requirements, and benefits.
- Provide safe and healthy working conditions, taking into account inherent risks in the sector.
- Hire, compensate, and manage employees based on the principle of equal opportunity and fair treatment.
- Not restrict workers from joining or forming workers' organizations or bargaining collectively, nor retaliate against workers who organize.
- Create effective grievance mechanisms for employees.
- Not employ children (under 16-18, depending on national legal provisions) in any manner that is economically exploitative or harmful to the child's health, education or social development.
- Not employ forced labor or trafficked persons.
- Make efforts to ensure that contracted workers employed by third parties are protected.
- Monitor primary supply chains to identify and reduce risks of child or forced labor, or significant safety concerns.

## 2.2 POLLUTION PREVENTION AND RESOURCE EFFICIENCY

16. UN-Habitat has a responsibility to demonstrate environmentally sustainable practices in its projects. UN-Habitat will seek a project-level approach to pollution prevention and resource efficiency in line with international technologies and best practices.

### Objectives:

- To avoid or minimize adverse impacts on human health and the environment by avoiding or minimizing the production of wastes and pollution from project activities.
- To promote sustainable use of resources, including energy and water.
- Avoidance of maladaptation

### Minimum Requirements:

- Avoid the release of air, water and land pollutants or, when avoidance is not feasible, minimize or control project-related pollution.
- Avoid the generation of hazardous and non-hazardous waste, or where unavoidable, minimize and appropriately dispose of waste.
- Replace hazardous materials with safer substances where feasible, and avoid the manufacture, trade, and use of hazardous materials that are subject to international bans or phase-outs.
- Account annually for greenhouse gas emissions for all projects anticipated to emit over 25,000 tonnes of CO<sub>2</sub> equivalent.
- Use integrated pest management and integrated vector management approaches to reduce the risks of pesticide use.
- Efficiently use natural resources, including energy and water.

## 2.3 BIODIVERSITY CONSERVATION, AND SUSTAINABLE NATURAL RESOURCE MANAGEMENT

17. UN-Habitat recognizes that protecting and conserving biodiversity, maintaining ecosystem services, and sustainably managing living natural resources are fundamental to sustainable development throughout a project's lifecycle.

### Objectives:

- To protect and conserve biodiversity.
- To maintain the benefits from ecosystem services.
- To promote the sustainable management of living natural resources and ecosystem functions.
- Avoid significant conversion or degradation of critical natural habitats, including those habitats that are: a) Legally protected, b) Officially proposed for protection, c) Identified by authorities for their high conservation value, or d) Recognized as protected by traditional local communities.

### Minimum Requirements:

- Assess and avoid impacts on biodiversity and ecosystem services if possible, and otherwise implement measures to minimize and restore any impacts.

- Apply protection measures to all impacted areas that have significant biodiversity value within or directly impacted by the project.
- Assess the ecosystem services that the project is likely to impact or that the project will rely on, and avoid, minimize or mitigate any negative effects, including from alien species.
- Not significantly convert or degrade natural habitat unless there are no other feasible options, stakeholders have been consulted, and mitigation measures are developed to achieve no net loss of biodiversity, maintaining the ecological services the natural habitat provides.
- Not implement activities in critical habitat unless there are no other alternatives, the activities do not lead to measurable negative impacts on key biodiversity and ecological processes or a net reduction in endangered species, and a monitoring plan is put in place.
- Not implement activities in legally protected or internationally recognized areas unless the activity is legally permitted, adequate stakeholder participation is implemented, and efforts are taken to enhance conservation in the area.
- Ensure that activities involving the production of living natural resources (e.g. forestry, agriculture) adhere to relevant globally, regionally, or nationally recognized standards of sustainable management.

## 2.4 DISPLACEMENT AND RESETTLEMENT

18. UN-Habitat recognizes that project-related land acquisition and restrictions on land use can have adverse impacts on communities and persons that use this land. Resettlement refers both to physical displacement (relocation or loss of shelter) and to economic displacement (loss of assets or access to assets that leads to loss of income sources or other means of livelihood) as a result of project-related activities. Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in physical or economic displacement. UN-Habitat is already working in a variety of countries to implement and further develop national resettlement policies to minimize displacement and resettlement.

### Objectives:

- To avoid forced eviction<sup>9</sup>.
- To avoid, and when avoidance is not possible, minimize displacement by exploring alternative project designs.
- To avoid, or where avoidance is not possible, minimize adverse social and economic impacts from land acquisition or restrictions on land use by providing compensation for loss of assets
- To ensure that resettlement activities are implemented with appropriate disclosure of information, consultation, and informed participation of those affected.

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<sup>9</sup> Forced Eviction is defined here as “the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection” (Committee on Economic, Social and Cultural Rights, general comment No. 7 (1997))

- To improve or restore the livelihoods and the standards of living of displaced persons.
- To improve living conditions among physically displaced persons through the provision of adequate housing with security of tenure at resettlement sites.
- To increase the coping capacities and resilience of resettled people.

**Minimum Requirements:**

- Avoid forced evictions, including the use of coercion and manipulation of communities.
- Avoid or minimize physical and economic displacement of communities.
- Inform affected communities of their rights, engage with them throughout the resettlement process, including through the provision of a grievance mechanism for affected communities, beginning early in the project development phase.
- Provide all displaced persons with fair and equitable compensation, such as replacement land, cash or in-kind replacement of lost assets, and restored access to natural resources.
- Improve or restore the livelihoods and the standards of living of displaced people.
- For people with a legal right to the land, offer the choice of replacement property of equal or higher value and security of tenure, or, if land is not possible, compensation.
- For people without formal land rights recognized by the government, offer adequate housing options with secure tenure and compensation for lost assets, such as buildings.

## 2.5 *INDIGENOUS PEOPLES*

19. UN-Habitat recognizes Indigenous Peoples as social groups with identities that are distinct from mainstream groups in national societies and are often among the most marginalized and vulnerable segments of the population. Indigenous Peoples may be more vulnerable to the adverse impacts associated with project development than non-indigenous communities, as their livelihoods and culture is often closely associated to the lands on which they live and the natural resources on which they depend. This vulnerability may include loss of identity, culture, and natural resource-based livelihoods, as well as exposure to impoverishment and diseases.

**Objectives:**

- To ensure that the project fosters full respect for the human rights, dignity, aspirations, culture, and natural resource-based livelihoods of Indigenous Peoples.
- To avoid adverse impacts on communities of Indigenous Peoples, or when avoidance is not possible, to minimize or compensate for such impacts.
- To promote sustainable development benefits and opportunities for Indigenous Peoples in a culturally appropriate manner.
- To establish and maintain an ongoing relationship based on full consultation and effective participation with the Indigenous Peoples affected by a project.
- To ensure the free, prior, and informed consent of Indigenous Peoples where their rights, lands, resources, territories, traditional livelihoods may be affected.
- To respect and preserve the culture, knowledge, and practices of Indigenous Peoples.

**Minimum Requirements:**

- Identify Indigenous Peoples that may be affected by the project and assess the potential economic, social, or environmental impact.
- Avoid negative impacts on Indigenous Peoples where possible, and otherwise minimize, restore or compensate for these impacts in a culturally sensitive manner.
- Design all measures with full consultation of Indigenous Peoples and their effective participation throughout the life of the project.
- Avoid projects on land that is traditionally owned or used by Indigenous People unless the risks are thoroughly assessed, they are informed of their rights, they continue to have access to resources or appropriate compensation is offered, and they are offered a fair and equitable sharing of project benefits.
- Avoid relocating Indigenous Peoples from land or natural resources that they have traditionally owned or used unless their free, prior and informed consent is obtained.
- Avoid significant impact to critical cultural heritage unless free, prior and informed consent is obtained from affected Indigenous Peoples.
- Avoid the use of cultural, intellectual, religious and spiritual property of Indigenous Peoples without obtaining their free, prior and informed consent.

## 2.6 CULTURAL HERITAGE

20. UN-Habitat recognizes the importance of cultural heritage for current and future generations and aims to ensure the protection of cultural heritage in the course of their project activities.

**Objectives:**

- To protect cultural heritage from the adverse impacts of project activities.
- To promote the equitable sharing of benefits from the use of cultural heritage.

**Minimum Requirements:**

- Identify and avoid significant adverse impacts on tangible cultural heritage or unique natural features that embody cultural values.
- Consult with affected communities and relevant government agencies in order to identify cultural heritage of importance.
- Include “chance find” procedures in the project to protect cultural heritage discovered during implementation.
- Maintain community access to cultural heritage sites located on the project site.
- Not remove, significantly alter, or damage critical cultural heritage (such as internationally recognized or legally protected heritage sites), except in collaboration with all affected communities and stakeholders.
- Not use intangible cultural heritage (such as knowledge, innovations, or practices) for commercial purposes, except in collaboration with relevant communities.

### 3 INTERNAL PROCEDURES AND RESPONSIBILITIES

21. This section describes UN-Habitat's management procedures that ensure environmental and social risks and impacts are identified and managed throughout the project lifecycle. All ESSS procedures are fully integrated with the PBM Policy procedures.

#### 3.1 SCREENING AND CATEGORIZATION

22. UN-Habitat's Director of Programme Division<sup>10</sup> will be accountable for the screening and categorization of all proposed projects and will delegate this responsibility to Project Managers and project staff for project-specific screening and categorization. Screening is conducted to identify potential environmental and social safeguard risks or impacts from the project and to identify opportunities to enhance benefits to safeguard issues and support stakeholders. Categorization is performed to determine the risk category (Low, Moderate, or High) of the project and to determine the level of environmental and social assessment and management required to address the potential risks and impacts.
23. UN-Habitat's Project Managers and Project staff will be responsible to ensure that project screening is conducted in accordance with the objectives and requirements identified for each of the several Safeguard Standards. The Safeguards Screening Report (SSR) is used to identify the potential environmental and social risks and benefits of the project, determine the overall risk category and the appropriate level of environmental and social assessment. The SSR template, with instructions for completion, is found at Annex 1.
24. Each proposed project will be evaluated according to the type, location, scale, sensitivity and the magnitude of its potential environmental and social impacts. All project activities including planning support, policy advice, procurement and physical interventions are screened for impacts. In some cases, additional information may be required to complete the screening procedure.

The following categories of projects will be excluded from the screening process because they present no social or environmental risks:

- UN-Habitat serves as an Administrative Agent;
  - preparation and distribution of documents and communication materials;
  - organization of an event, workshop, or training;
  - partnership coordination and management of networks, if this does not directly involve or impact city- or country level activities; and
  - projects with no city- or country-level activities (e.g., knowledge management, inter-governmental processes).
25. The PBM Policy recognizes environmental and social safeguards as cross-cutting issues that are streamlined into projects. The SSR will be completed during the Project Formulation stage once the Concept or Project Documents have been prepared and entered onto the Project Accrual and Accountability System (PAAS). For projects that undergo substantive revision, the SSR may be reviewed at any time and the project could be re-categorized if the significance of risks were increased.

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<sup>10</sup> Director of Programme Division is accountable for all aspects of project management and the overall coordination of UN-Habitat's project portfolio. The Programme Division directs the whole project management cycle, from project strategy development, resources, formulation, and approval to implementation and monitoring. The Director oversees both regional offices and the thematic organizational units and may delegate responsibilities to them.

26. UN-Habitat's Director of Programme Division will verify the risk category and the appropriate level of environmental and social assessment based on the significance of potential risks and impacts determined from the screening conducted by Project Managers. The screening process determines one of three possible categories for the proposed project:
- **Low Risk:** These projects include activities with minimal or no risks of adverse social or environmental impacts. Further study, assessment or impact management is not required.
  - **Moderate Risk:** These projects include activities with potential adverse environmental and social risks and impacts that are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practices including mitigation measures and stakeholder engagement during project implementation. These best practices will be designed into the Project Document during the Project Formulation stage and implemented throughout the Project Implementation, Monitoring and Reporting stage. The Director of Programme Division may request a limited Environmental and Social Impact Assessment (ESIA) for specific Safeguard Standards risks identified in the SSR to determine how the potential impacts could be managed. Further assessment may determine that the project should be re-categorized as High Risk and the need for a full ESIA.
  - **High Risk:** These projects include activities with potential significant or irreversible adverse environmental and social risks and impacts, or which raise significant concerns among potentially affected communities and individuals as determined during the stakeholder engagement process. High Risk activities may involve significant impacts to several Safeguard Standards. Potential significant adverse risks or impacts will be analyzed and addressed using a full ESIA, including development of applicable environmental and social management plans (ESMP) to guide implementation. High Risk projects may have potential to:
    - adversely impact critical habitats;
    - involve significant displacement or resettlement;
    - produce significant quantities of greenhouse gases;
    - adversely impact the rights, lands, resources or territories of Indigenous Peoples; or
    - involve other circumstances that cause significant adverse impacts.
27. The Programme Division staff will record the risk category on the Project Tracking Worksheet and enter the category into the PAAS. The SSR will be retained with the project file documents.

### 3.2 ENVIRONMENTAL AND SOCIAL ASSESSMENT AND MANAGEMENT

28. UN-Habitat Director of Programme Division will be accountable to ensure that potential environmental and social risks, impacts and opportunities of project activities are systematically assessed and managed. The type and scale of assessment and the management measures should be proportionate to the level of environmental and social risk.
29. Projects with potentially significant adverse risks and impacts require an ESIA. The assessment will identify measures to avoid and minimize adverse impacts and to improve environmental and social performance. Risk reduction measures follow a mitigation hierarchy that favours avoidance of potential adverse impacts over minimization, and where adverse residual impacts remain, mitigation and, as a last resort, the application of offset and compensation.
30. The ESIA will be used on all High Risk Projects, and may be used on a safeguard-specific basis for Moderate Risk Projects. The Director of Programme Division will ensure that the ESIA includes the following.
  - Ensure that the ESIA is undertaken as early as possible. Project activities that may cause adverse impacts must not be carried out until completion of the ESIA.
  - Ensure that the ESIA process and development of ESMP involves early and meaningful stakeholder engagement and participation, predicated on timely disclosure of relevant information.
  - Assessment of impacts on physical, biological, socioeconomic, and cultural resources, including direct, indirect, cumulative, and induced impacts in the project's area of influence.
  - Identification and compliance with host country's applicable legal and institutional framework and applicable international conventions.
  - Assessment of feasible alternatives, including the "no action" alternative, as well as potential impacts, feasibility of mitigating these impacts, their capital and recurrent costs, their suitability under local conditions, and the institutional, training and monitoring requirements associated with them.
  - Enhancement of positive impacts and measures to avoid, minimize, or mitigate adverse impacts through environmental and social planning and management.
  - An ESMP that includes proposed measures for mitigation, monitoring, institutional capacity development and training, an implementation schedule, and cost estimates for these proposed measures.
  - Examination of whether particular individuals and groups may be affected by the project's potential adverse impacts because of their disadvantaged or marginalized status, due to such factors as race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status. Where such individuals or groups are identified, recommend targeted measures to ensure that the adverse impacts do not fall disproportionately on them.
31. Projects will be formulated and implemented in conformance with the measures outlined in the ESIA and the ESMP. The Director of Programme Division will provide enhanced internal staff and external consultant support to assist the Formulation, Implementation and Completion phases on High Risk Projects. The Terms of Reference for consultants will identify the environmental and social risks of the project and the requirements identified in this section.

### 3.3 MONITORING, EVALUATION AND REPORTING

32. UN-Habitat's Project Managers are responsible to monitor and evaluate overall performance of the Project against the objectives and requirements of the ESSS and report through the PAAS and the procedures identified in the PBM Policy.
33. The extent of monitoring activities will be commensurate with the project's risks and impacts and will be specified by the monitoring and evaluation recommendations contained in project-level ESIA's and ESMPs. UN-Habitat requires that the implementation of mitigation and management plans is monitored, and any required monitoring reports on safeguard risks are finalized and disclosed to the public. Where specific safeguards risks have been identified, management plans may be used to address that specific risk such as Indigenous Peoples Plans, Resettlement Action Plans, Biodiversity Action Plans, Community Health and Safety Plans, Emergency Response and Preparedness Plans, Hazardous Materials Management Plans, and Cultural Heritage Plans.
34. Monitoring activities should ensure the following.
  - Involve direct participation of affected stakeholders for projects with potentially significant adverse risks and impacts.
  - Balance quantitative and qualitative assessment.
  - Use participatory tools that include target group narratives.
  - Track and assess reversals and capture negative impacts of a project.
  - Assess contribution to change instead of attribution-based frameworks.
  - Be flexible and adaptable.
  - Be tailored to timeframes to ensure realistic measurement and reporting.
  - Be conducted by a consultant whenever possible.
35. For projects with potentially significant risks and impacts, UN-Habitat will provide periodic reports to the affected communities that describe the implementation of project mitigation and management plans and on issues that the consultation process has identified as a concern. Any substantive changes or additions to the mitigation and management plans will be communicated to affected communities. Reports will be provided at a frequency proportionate to the concerns of affected communities, but not less than annually.

### 3.4 STAFF RESPONSIBILITIES

36. The responsibilities of UN-Habitat staff concerning project management are guided by two key policies:
  - i. The UN-Habitat Programme Accountability Framework<sup>11</sup> states that each staff member is expected to exercise his or her responsibility and functions in accordance with the principles set down in this framework. The purpose of this policy is to ensure good governance, create accountability and transparency in UN-Habitat, and guarantee that UN-Habitat business operations are effective and foster continuous improvement.

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<sup>11</sup> UN-Habitat, 2015, UN-Habitat Programme Accountability Framework, available at <http://tinyurl.com/Accountability-Framework>

- ii. The Project Based Management (PBM) Policy provides direction on project management and defines the responsibilities and procedures for UN-Habitat staff to enhance efficiency, transparency, and accountability throughout the project cycle.
37. The ESSS is fully aligned with these policies. The PBM Policy assigns the responsibility to manage environmental and social cross-cutting issues (recognized as environmental and social safeguards) to two positions; the Director of Programme Division and the Project Manager.
  38. The **Director of Programme Division** is accountable for all aspects of project management and the overall coordination of UN-Habitat's project portfolio. The Programme Division directs the whole project management cycle, from project strategy development, resources, formulation, and approval to implementation and monitoring. The Director oversees both regional offices and the thematic organizational units and may delegate responsibilities to them.
  39. The **Director of Programme Division** has overall responsibility to manage the environmental and social risks and mitigation measures during the project's Formulation and Review and Approval stages. The Director of Programme Division will:
    - ensure that environmental and social issues are mainstreamed into projects;
    - conduct screening and categorization of all proposed projects during the Project Formulation stage;
    - complete the SSR and update it when the project undergoes substantive revision;
    - determine the appropriate level of environmental and social assessment based on the screening, categorization and level of environmental and social risk;
    - ensure that the ESIA adequately identifies the risks and develops an ESMP to manage the risks;
    - ensure that the ESIA and ESMP process involve meaningful stakeholder engagement and participation;
    - ensure that resources, including the use of specialist consultants, are made available to identify, assess and manage environmental and social safeguards throughout the project cycle; and
    - ensure that the environmental and social mitigation and management documents are placed on the PAAS including the SSR and, where applicable, ESIA, ESMP, monitoring and stakeholder consultation reports.
  40. The **Project Manager**<sup>12</sup> has overall responsibility to manage the environmental and social risks and mitigation measures during the project Implementation, Monitoring and Reporting, and Completion stages. The Project Manager will:
    - implement the mitigation measures and monitoring of environmental and social risks;
    - liaise with stakeholders on operational matters and with the Office of External Relations for outreach and external communications;

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<sup>12</sup> Project Manager is responsible for overall coordination of the project and is appointed when the project starts. The Project Manager is the head of office/branch/country/region. Where the Project Manager is not a core UN-Habitat staff, the Regional Director or Branch Coordinator will designate a staff member to ensure that written authorizations are in line with the policies relating to delegations of authority. Note: The 2012 version of the PBM Policy calls this the Project Leader and this will be amended to be called Project Manager in the next version of the PBM Policy.

- ensure conditions have been met with legal agreements related to the project;
  - resolve any outstanding issues; and
  - update project information on PAAS and prepare a final project report that includes best practices and lessons learned, environmental and social safeguard management, and challenges and opportunities. The final project report will be made available to stakeholders.
41. The **Director of Programme Division** is accountable and the **Branch Coordinator** and appropriate **Regional Director** are responsible for ensuring that the ESSS policy has been applied and implemented on all projects under their authority. The Branch Coordinator or appropriate Regional Director are also responsible for overall coordination of their projects, ensuring effective collaboration and support of projects, and producing an annual report highlighting the main outputs and results, best practices and lessons learnt. The annual report is made available to the general public.
42. Table 1 provides a summary of the ESSS procedures and responsibilities delegated by the Director of Programme Division, Branch Coordinators and appropriate Regional Directors to staff. The ESSS components are also shown with their alignment to the Project Phases described in the PBM Policy.

**Table 1: Summary of ESSS procedures aligned with the PBM Policy procedures.**

Project Phase	PBMP Procedures with relevance to ESSS	ESSS	
		Procedures	Responsibility <sup>13</sup>
<b>Identification</b>	Project Originator nominates potential Projects that conform with UN-Habitat mandate.		
<b>Formulation</b>	Establish Project need and funding. Respond to specific demand from counterparts Prepare Project Document and enter on PAAS. Project Design allows for avoidance or mitigation of social; environmental impacts Prepare strategy for managing safeguard risks, stakeholder engagement and costs. Record risk category on PAAS and retain SSR with Project file.	Prepare SSR. Determine risk category and level of environmental and social assessment.	Director of Programme Division supported by Project staff and Consultants where applicable.
		Moderate risk: design Best Practices and, where applicable, conduct safeguard-specific ESIA. High risk: prepare full ESIA with ESMP and stakeholder engagement, where applicable.	Director of Programme Division supported by Project staff and Consultants where applicable.
<b>Review and Approval</b>	Secure Project funding. Project Advisory Group ensures ESSS measures are fully integrated into Project. Project approved.	Mainstream safeguard standards into Project.	Director of Programme Division

<sup>13</sup> The Director of Programme Division is accountable and the Branch Coordinator and appropriate Regional Director are responsible for ensuring that the ESSS policy has been applied and implemented on all projects under their authority.

<b>Initiation</b>	Director of Programme Division confirms the Project Manager to manage Project.	Implement safeguards standards and mitigation measures.	Project Manager
<b>Implementation, Monitoring and Reporting</b>	Project Manager assigns team members to implement tasks, liaise with stakeholders, and monitor and report on activities including ESSS measures. Record results on PAAS.	Implement mitigation measures and stakeholder engagement. Monitor and evaluate performance against Safeguard Standards and ESMP. Prepare reports required by ESIA, ESMP and Consultation. Disclose reports to public.	Project Manager assisted by staff and Consultant where applicable.
<b>Completion</b>	Prepare final report for external stakeholders describing best practices, environmental and social safeguard measures, contribution to cross-cutting issues and lessons learned.	Complete project performance evaluation of environmental and social safeguard measures including best practices and, where applicable, ESIA and ESMP. Summarize any lessons learned on safeguard issues.	Project Manager assisted by staff and Consultant where applicable.

## 4 EXTERNAL COMMUNICATIONS

43. Communications with external stakeholders will be primarily delivered by the UN-Habitat Secretariat headquartered in Nairobi, Kenya. The Chief of Advocacy, Outreach and Communication Branch will be the focal point for stakeholder engagement and access to information. Stakeholder engagement may also be provided by the Director of Programme Division and Regional Directors during the ESIA and ESMP process and by the Project Manager where safeguard management measures have recommended stakeholder consultation during project implementation. Stakeholder disputes and grievances will be received and evaluated by the Office of Executive Director and, when appropriate, investigated and addressed by the Head of Legal Office.

### 4.1 STAKEHOLDER ENGAGEMENT

44. Consistent with the PBM Policy, stakeholder engagement occurs during the Project Formulation Stage and throughout the Project Implementation Stage. Stakeholder engagement may involve stakeholder analysis and planning, disclosure of information, consultation and meaningful participation, dispute resolution and grievance redress, ongoing reporting to affected communities and stakeholders, and inclusion of stakeholders in project monitoring and evaluation.

45. Stakeholder engagement is a beneficial instrument that can avoid or mitigate potential risks and prevent future grievances. Stakeholder engagement planning will be commensurate with the nature of the activity, the magnitude of potential risks and adverse impacts and the concerns raised by affected communities. Methods can range from providing information about Low Risk Projects to comprehensive plans for High Risk activities with potentially significant adverse environmental and social risks and impacts.

46. Stakeholder engagement will be conducted in a gender-responsive, culturally sensitive, non-discriminatory and inclusive manner, ensuring that potentially affected vulnerable and marginalized groups are provided opportunities to participate.

47. Consultation will be used to identify the priorities of stakeholders and to provide them with opportunities to express their views on the project and allow the project teams to consider and respond to them. Stakeholders may want to provide input on project goals and strategies, environmental and social risks and impacts, proposed mitigation measures, sharing of development benefits and opportunities, and implementation issues.
48. Consultation processes will be meaningful, effective and informed and guided by the following.
  - Information provided must be relevant to stakeholders and reveal not only general information about the project, but also potential risks for communities and planned mitigation measures.
  - Disclosure of information must occur in a reasonable timeframe to allow stakeholders to process this information and identify concerns.
  - Disclosure of information must be targeted to the audience in the appropriate language and methods of communication.
  - Results will be reported, particularly the measures taken to avoid or minimize risks and adverse impacts on the project stakeholders and placed on the PAAS.
  - Stakeholders will be informed about how to submit their concerns or request further information about the project.
49. Free, prior and informed consent of Indigenous Peoples will be ensured where their rights, lands, resources, territories, traditional livelihoods may be affected by the project.

#### 4.2 ACCESS TO INFORMATION

50. UN-Habitat is committed to disclosing project information to help stakeholders and affected communities understand the opportunities, risks and impacts of the proposed activities.
51. UN-Habitat will provide information to stakeholders on the project's purpose, nature and scale, and duration, and its risks and potential impacts. The information will be provided in a timely manner, in an accessible place, and in a form and language understandable to stakeholders and the general public.
52. UN-Habitat will provide the following additional information, where applicable, on projects:
  - stakeholder engagement plans;
  - summary reports of stakeholder consultations;
  - SSRs with project descriptions;
  - draft ESIA and ESMPs before the Project Review and Approval stage;
  - final ESIA and ESMPs upon completion; and
  - any required environmental and social monitoring reports upon completion.
53. Stakeholders and the general public can request information on UN-Habitat projects from the Chief of Advocacy, Outreach and Communication (AOC) Branch. The AOC Branch designs UN-Habitat's communication strategies and develops tools to create awareness about the organization, its mandate, and its projects. AOC has internal procedures to receive, screen, assess, respond and track requests for information. Requests for information about a project can be submitted: (*please see next page*)

- i. by e-mail to [advocacy@unhabitat.org](mailto:advocacy@unhabitat.org); or
- ii. by mail to:  
Chief, Advocacy, Outreach and Communications,  
UN-Habitat,  
New Office Facility, 3rd Level, Block 4, South Wing,  
P.O. Box 30030-00100,  
Nairobi, KENYA

### 4.3 *STAKEHOLDER RESPONSE MECHANISMS*

54. UN-Habitat will ensure that an effective project-level Stakeholder Response Mechanism is provided for individual or groups to register a complaint about environmental and social management performance on projects. This Mechanism will receive stakeholder concerns related to disputes from people affected by projects or potential violations of UN-Habitat's environmental and social commitments on projects.
55. The Mechanism, while respecting the UN's privileges and immunities, will be structured to address the complaint amicably and promptly using an understandable and transparent process that is culturally appropriate, rights-compatible, and readily accessible to all stakeholders. The process will define the resolution outcomes including modification to the project and the environmental and social mitigation and management plans.
56. Complaints about a project can be submitted to the Office of the Executive Director, UN-Habitat, P.O. Box 30030, GPO Nairobi 00100, Kenya. A complaint should include the following information:
  - complainant's name, address, telephone number, and email address and valid proof of representation if the complaint is filed by the representative of a legal person or entity;
  - description of the project concerned;
  - description of the harm or non-compliance with UN-Habitat's ESSS;
  - the safeguard standard or mitigation measures allegedly breached;
  - actions taken to resolve the issue, including previous contacts with UN-Habitat and why these actions have been unsatisfactory; and
  - documents, photographs or other evidence to support the complaint.
57. UN-Habitat's Stakeholder Response Mechanism will also be available to project stakeholders as a supplemental means of redress for concerns that have not been resolved through other external communication procedures.
58. UN-Habitat is also committed to ensuring efficient stakeholder response with its public- and private-sector partners. Through legal instruments such as Agreements and Memorandums of Understanding, UN-Habitat provides for complaints, queries and other communications from its partners to be referred to the head of the substantive office concerned.

## GLOSSARY

**Accountability**<sup>14</sup> is “the obligation of the UN Secretariat and its staff members to be answerable for all decisions made and actions taken by them, and to be responsible for honouring their commitments, without qualification or exception. Accountability includes:

- achieving objectives and high-quality results in a timely and cost-effective manner;
- fully implementing and delivering on all mandates to the Secretariat approved by the United Nations intergovernmental bodies and other subsidiary organs established by them in compliance with all resolutions, regulations, rules and ethical standards;
- truthful, objective, accurate and timely reporting on performance results;
- responsible stewardship of funds and resources; and
- all aspects of performance, including a clearly defined system of rewards and sanctions; and with due recognition to the important role of the oversight bodies and in full compliance with accepted recommendations.”

**Branch Coordinator or appropriate Regional Director** is responsible for acquisition of new projects relating to the themes of the branch, ensuring timely review and approval of projects within the region, overall coordination of projects led by the branch, ensuring effective collaboration and support of projects which have themes that are covered by the branch, and producing an annual report which includes a synthesis the agency's work on the themes covered by the branch. The report shall highlight the main outputs and results, best practices and lessons learnt from the projects and provide a summary of financial implementation.

**Director of Programme Division** is accountable for all aspects of project management and the overall coordination of UN-Habitat's project portfolio. The Programme Division directs the whole project management cycle, from project strategy development, resources, formulation, and approval to implementation and monitoring. The Director oversees both regional offices and the thematic organizational units and may delegate responsibilities to them.

**Environmental and Social Impact Assessment (ESIA)** is an instrument used in the Project Formulation stage to identify and assess the potential environmental and social impacts of a proposed project, evaluate alternatives; and design appropriate mitigation, management and monitoring measures required by the ESSS and SSR.

**Environmental and Social Management Plan (ESMP)** is a plan used in the Project Implementation Phase to implement the mitigation, management and monitoring measures prescribed in the ESIA for the project. The ESMP should include an implementation schedule, cost estimates and institutional capacity development and training (if required).

**Environmental and Social Safeguards System (ESSS)** is a framework outlining UN-Habitat's commitment, procedures and capacity to assess and manage the environmental and social risks of projects. The ESSS is fully integrated with the PBM Policy.

**Impact** - Environmental and social impacts refer to any change, potential or actual, to the physical, natural, or cultural environment, and impacts on surrounding community, resulting from the project.

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<sup>14</sup> UN General Assembly, 2010, Resolution 64/259 available at <http://tinyurl.com/Accountability-Defined>

**Mitigation hierarchy** is a sequence of steps used to mitigate environmental and social impacts by applying measures to:

- avoid or prevent impact;
- minimize unavoidable impacts; and
- as a last resort, offset or compensate for any impacts that cannot be avoided or minimized.

**Project** is a set of related tasks that have a plan, start and end date, defined outputs and results, and are allocated financial, human and other resources. Projects must have a Project Manager and Project Administrator.

**Project Accrual and Accountability System (PAAS)** is an electronic system that supports project management and enhances accountability, transparency, productivity and efficiency in the management of the UN-Habitat's project portfolio.

**Project Advisory Group** is a group at Headquarters or at Regional Office level that reviews and approves new Concept or Project Documents.

**Project Manager** is responsible for overall coordination of the project and is appointed when the project starts. The Project Manager is the head of office/branch/country/region. Where the Project Manager is not a core UN-Habitat staff, the Regional Director or Branch Coordinator will designate a staff member to ensure that written authorizations are in line with the policies relating to delegations of authority. The Project Manager is a new term and replaces the title of Project Leader that is used in the PBM Policy. This change will be reflected in the next revision of the PBM Policy.

**Project Originator** is any individual or office that conceives a project at the country, regional liaison office or headquarters level.

**Risk** - Environmental and social risk is a combination of the probability of certain hazard occurrences and the severity of impacts resulting from such an occurrence.

**Safeguards** - Environmental and social safeguards are rules (e.g. policies, laws and regulations) used by agencies to reduce the environmental and social risks and impacts of their activities. Safeguards aim to avoid, minimize or compensate for negative effects of activities.

**Safeguards Screening Report (SSR)** is used to identify the potential environmental and social risks and benefits of a project, determine the overall risk category and the appropriate level of environmental and social assessment.

## ANNEX 1. SAFEGUARDS SCREENING REPORT

The Safeguards Screening Report (SSR) is used to identify the potential environmental and social risks and benefits of the project, determine the overall risk category and the appropriate level of environmental and social assessment.

The SSR should be completed during the Project Formulation stage once the Concept or Project Documents have been prepared and entered onto the Project Accrual and Accountability System (PAAS). For projects that undergo substantive revision, the SSR may be reviewed at any time and the project could be re-categorized if the significance of risks were increased.

The Director of Programme Division has overall responsibility to complete the SSR and update it when the project undergoes substantive revision. The Director of Programme Division will record the Project Risk Category on the Project Tracking Worksheet and the PAAS.

**IMPORTANT:** There are two versions of the SSR:

- i. The Working Copy contains 6 Sections and is not approved for Public Disclosure.
- ii. The Approved for Public Disclosure version contains 4 sections of core information and does not contain the checklists for Environmental and Social Risks and Impact, and Environmental and Social Benefits.

The completed Working Copy version should be attached as an Annex to the Project Document and retained in the project file. The Approved for Public Disclosure version should also be retained in the project file for uploading to the public information portal.

### INSTRUCTIONS TO COMPLETE THE WORKING COPY OF THE SSR

**Step 1:** Complete Section 1. Enter the Project Information obtained from the Concept or Project Documents. The project description should be concise because the complete description will be on the Project Document.

**Step 2:** Complete Section 2. Based on your experience and professional judgement, answer the questions for all Safeguard Standards. Refer to Chapter 2 of the present ESSS report to understand the objectives and minimum requirements for each Safeguard Standard. Completing Section 2 will provide an initial understanding of the potential environmental and social risks and benefits of the project. Any questions answered with “yes” indicate a potential risk to that safeguard and will require an understanding of the risk factors to determine the significance of risk in Section 2. Screening of projects with potentially significant environmental and social risks may require more time and resources, often involving the use of external consultants.

**Step 3:** Complete Section 3. Based on your understanding of the project, briefly describe how the project is likely to benefit selected Safeguard Standards. The benefits related to Human Rights and Gender Equality should be described for all projects. Other Safeguards Standards should be mentioned to highlight the potential environmental and social benefits of the project.

**Step 4:** Complete Section 4. Based on your understanding obtained from answering the questions in Section 2, determine a qualitative description for the impact and probability of the potential risk for each Safeguard Standard.

Some of the factors to consider when estimating the potential impact on a Safeguard Standard include type and location, magnitude or intensity, manageability, duration, reversibility and community involvement.

The **Impacts** of Risks are described as follows.

1. **Negligible:** Negligible or no adverse impacts on communities, individuals, and environment.
2. **Minor:** Very limited impacts in terms of magnitude (e.g. small area affected, very low number of people affected) and duration, may be easily avoided, managed, mitigated.
3. **Moderate:** Impacts of low magnitude, limited in scale (site-specific) and duration (temporary), can be avoided, managed or mitigated with relatively uncomplicated accepted measures
4. **Severe:** Adverse impacts on people or environment of medium to large magnitude, spatial extent and duration more limited than critical (e.g. predictable, mostly temporary, reversible). The potential risk impacts of projects that may affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples are to be considered at a minimum, potentially severe.
5. **Critical:** Significant adverse impacts on human populations or environment. Adverse impacts high in magnitude or spatial extent (e.g. large geographic area, large number of people, transboundary impacts, cumulative impacts) and duration (e.g. long-term, permanent and/or irreversible); areas impacted include areas of high value and sensitivity (e.g. valuable ecosystems, critical habitats); adverse impacts to rights, lands, resources and territories of indigenous peoples; involve significant displacement or resettlement; generates significant quantities of greenhouse gas emissions; impacts may give rise to significant social conflict.

The **Probability** of Risk is selected from the following choices: improbable, not likely, likely, probable, and expected.

The **Significance** of Risk is a product of the impact and probability of risks for each Safeguard Standard. The chart at the end of this section is used to determine the significance of risk for each Safeguard Standard by transferring the impact and probability of risks.

**Step 5:** Complete Section 5. Summarize the Safeguards at Risk by checking all Safeguards that were determined to have Moderate or High Significance of Risk in Section 4. Next, determine the overall Project Risk Category as Low, Moderate or High. The overall Project Risk Category is determined by the highest level of significance for a Safeguard Standard from Section 4. Next, determine the Assessment and Management Measures required based on the following.

- **Low Risk:** These projects include activities with minimal or no risks of adverse social or environmental impacts. Further study, assessment or impact management is not required.
- **Moderate Risk:** These projects include activities with potential adverse environmental and social risks and impacts that are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practices including mitigation measures and stakeholder engagement during project implementation. The Programme Division may request a limited Environmental and Social Impact Assessment (ESIA) be conducted for specific Safeguard Standards at risk to determine how the potential impacts could be managed.
- **High Risk:** These projects include activities with potential significant or irreversible adverse environmental and social risks and impacts, or which raise significant concerns among potentially affected communities and individuals as determined during the stakeholder engagement process. High Risk activities may involve significant impacts to several Safeguard Standards. Potential significant adverse risks or impacts will be analyzed and addressed using a full ESIA, including development of applicable environmental and social management plans (ESMP) to guide implementation.

**Step 6:** Complete Section 6. Enter the name, job title and date of completing the Safeguards Screening Report.

**Step 7:** Record the risk category on the Project Tracking Worksheet and the Project Accrual and Accountability System. Attach the completed SSR as an Annex to the Project Document file.

SIGNIFICANCE OF ENVIRONMENTAL AND SOCIAL RISKS						
<b>PROBABILITY OF RISK</b>	IMPACT OF RISK					
		Negligible	Minor	Moderate	Severe	Critical
	Expected					
	Probable				<b>High</b>	
	Likely			<b>Moderate</b>		
	Not Likely		<b>Low</b>			
Improbable						

<b>Legend: Significance of Risk</b>	<b>Low</b>	<b>Moderate</b>	<b>High</b>
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**INSTRUCTIONS TO COMPLETE THE PUBLIC DISCLOSURE COPY**

**Step 8:** Transfer the appropriate Sections from the Working Copy to a new WORD document that conforms to the template below of the “Approved for Public Disclosure” version. For greater certainty, the following defines and cross-references the sections that are approved and not approved for public disclosure.

<b>Working Copy Version</b> (not approved for public disclosure)	<b>Approved for Public Disclosure Version</b>
1. PROJECT INFORMATION	1. PROJECT INFORMATION
2. ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS CHECKLIST	Not for public disclosure
3. ENVIRONMENTAL AND SOCIAL BENEFITS	Not for public disclosure
4. SIGNIFICANCE OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS	2. SIGNIFICANCE OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS
5. SCREENING DETERMINATION	3. SCREENING DETERMINATION
6. SAFEGUARDS SCREENING REPORT RECORD	4. SAFEGUARDS SCREENING REPORT RECORD

# UN-HABITAT SAFEGUARDS SCREENING REPORT

(Working Copy – Not Approved for Public Disclosure)

## 1. PROJECT INFORMATION

<b>Title:</b>		
<b>Location:</b>		<b>Region:</b> Select Region
<b>Description:</b>	Briefly describe the project, its purpose and intended outcomes. The Safeguards Screening Report should be prepared during the Project Formulation stage and should be attached as an Annex to the Project Document.	
<b>File Reference:</b>		<b>Total value:</b> USD
<b>Managing Unit:</b>	Select Managing Unit	<b>Partners:</b>

## 2. ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS CHECKLIST

Assess Environmental and Social Risks and Impacts	Check	
SS 1: Community Health, Safety and Working Conditions	Yes	No
1. Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	<input type="checkbox"/>	<input type="checkbox"/>
2. Would the Project pose potential risks to community health and safety due to the transport, storage, use or disposal of hazardous or dangerous materials during construction and operation?	<input type="checkbox"/>	<input type="checkbox"/>
3. Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	<input type="checkbox"/>	<input type="checkbox"/>
4. Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	<input type="checkbox"/>	<input type="checkbox"/>
5. Would the Project lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	<input type="checkbox"/>	<input type="checkbox"/>
6. Would the Project cause and increase in potential health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	<input type="checkbox"/>	<input type="checkbox"/>
7. Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	<input type="checkbox"/>	<input type="checkbox"/>
8. Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of International Labour Organization)?	<input type="checkbox"/>	<input type="checkbox"/>
9. Does the Project engage security personnel that may pose a potential risk to health and safety of communities or individuals (e.g. due to a lack of adequate training or accountability)?	<input type="checkbox"/>	<input type="checkbox"/>
SS 2: Pollution Prevention and Resource Efficiency	Yes	No
1. Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, or transboundary impacts?	<input type="checkbox"/>	<input type="checkbox"/>
2. Would the Project potentially result in the generation of hazardous and non-hazardous waste that could be avoided or minimized through pollution prevention practices?	<input type="checkbox"/>	<input type="checkbox"/>
3. Will the Project potentially involve the manufacture, trade, release, or use of hazardous materials?	<input type="checkbox"/>	<input type="checkbox"/>

4. Does the Project propose use of chemicals or materials subject to international bans or phase-outs?	<input type="checkbox"/>	<input type="checkbox"/>
5. Will the Project involve the application of pesticides that may have a negative effect on the environment or human health?	<input type="checkbox"/>	<input type="checkbox"/>
6. Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	<input type="checkbox"/>	<input type="checkbox"/>
7. Will the Project result in more than 25,000 tonnes of greenhouse gas emissions?	<input type="checkbox"/>	<input type="checkbox"/>
<b>SS 3: Biodiversity, Conservation and Sustainable Natural Resource Management</b>	<b>Yes</b>	<b>No</b>
1. Are any Project activities proposed within or adjacent to critical habitats or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources or Indigenous Peoples or local communities?	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, or livelihoods?	<input type="checkbox"/>	<input type="checkbox"/>
3. Would Project activities pose risks to endangered species?	<input type="checkbox"/>	<input type="checkbox"/>
4. Would the Project pose a risk of introducing invasive alien species?	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the Project involve harvesting of natural forests, plantation development, or reforestation?	<input type="checkbox"/>	<input type="checkbox"/>
6. Does the Project involve the production or harvesting of fish populations or other aquatic species?	<input type="checkbox"/>	<input type="checkbox"/>
7. Does the Project involve significant extraction, diversion or containment of surface or ground water?	<input type="checkbox"/>	<input type="checkbox"/>
8. Does the Project involve utilization of genetic resources? (e.g. collection, harvesting, commercial development)?	<input type="checkbox"/>	<input type="checkbox"/>
9. Would the Project generate potential adverse transboundary or global environmental concerns?	<input type="checkbox"/>	<input type="checkbox"/>
10. Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?	<input type="checkbox"/>	<input type="checkbox"/>
<b>SS 4: Displacement and Resettlement</b>	<b>Yes</b>	<b>No</b>
1. Would the Project potentially involve physical displacement e.g. temporary or permanent; full or partial?	<input type="checkbox"/>	<input type="checkbox"/>
2. Would the Project possibly result in economic displacement due to land acquisition or access restrictions e.g. loss of assets or access to resources?	<input type="checkbox"/>	<input type="checkbox"/>
3. Would the Project lead to forced evictions?	<input type="checkbox"/>	<input type="checkbox"/>
4. Would the Project possibly affect land tenure arrangements or community based property rights or customary rights to land, territories or resources?	<input type="checkbox"/>	<input type="checkbox"/>
<b>SS 5: Indigenous Peoples</b>	<b>Yes</b>	<b>No</b>
1. Are Indigenous Peoples present in the Project area?	<input type="checkbox"/>	<input type="checkbox"/>
2. Would the Project be located on lands and territories claimed by Indigenous Peoples?	<input type="checkbox"/>	<input type="checkbox"/>
3. Would the Project potentially affect the rights, lands and territories of Indigenous Peoples, regardless of whether Indigenous Peoples possess the legal titles to such areas?	<input type="checkbox"/>	<input type="checkbox"/>
4. Has there been full consultation and effective participation with the Indigenous Peoples regarding matters that may affect their rights and interests, lands, resources, territories and traditional livelihoods?	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the Project involve the utilization or commercial development of natural resources on lands and territories claimed by Indigenous Peoples?	<input type="checkbox"/>	<input type="checkbox"/>
6. Is there a potential for forced eviction or physical or economic displacement of Indigenous Peoples, including through access restrictions to lands, territories, and resources?	<input type="checkbox"/>	<input type="checkbox"/>

7. Would the Project potentially affect the traditional livelihoods, physical and cultural survival of Indigenous Peoples?	<input type="checkbox"/>	<input type="checkbox"/>
8. Would the Project potentially affect the Cultural Heritage of Indigenous Peoples, including through the commercialization or use of their traditional knowledge and practices?	<input type="checkbox"/>	<input type="checkbox"/>
<b>SS 6 : Cultural Heritage</b>	<b>Yes</b>	<b>No</b>
1. Will the Project adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values?	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the Project propose utilizing tangible or intangible forms of cultural heritage for commercial or other purposes?	<input type="checkbox"/>	<input type="checkbox"/>

### 3. ENVIRONMENTAL AND SOCIAL BENEFITS

Safeguard Standard	Description of Potential Benefits from Project
Select Safeguard	Briefly describe how the Project is likely to improve a Safeguard Standard.
Select Safeguard	Briefly describe how the Project is likely to improve a Safeguard Standard.
Select Safeguard	Briefly describe how the Project is likely to improve a Safeguard Standard.
Select Safeguard	Briefly describe how the Project is likely to improve a Safeguard Standard.
Select Safeguard	Briefly describe how the Project is likely to improve a Safeguard Standard.
Select Safeguard	Briefly describe how the Project is likely to improve a Safeguard Standard.

### 4. SIGNIFICANCE OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS

Safeguard Standards	Project Risk		
	Impact	Probability	Significance
SS 1 Community Health, Safety, and Working Conditions	Select Impact	Select Probability	Select Significance
SS 2 Pollution Prevention and Resource Efficiency	Select Impact	Select Probability	Select Significance
SS 3 Biodiversity, Conservation and Sustainable Natural Resource Management	Select Impact	Select Probability	Select Significance
SS 4 Displacement and Resettlement	Select Impact	Select Probability	Select Significance
SS 5 Indigenous Peoples	Select Impact	Select Probability	Select Significance
SS 6 Cultural Heritage	Select Impact	Select Probability	Select Significance

### 5. SCREENING DETERMINATION

Safeguards at Risk			Project Risk Category	Assessment and Management Measures
Moderate	High	Safeguard		
<input type="checkbox"/>	<input type="checkbox"/>	SS 1	<input type="checkbox"/> Low	
<input type="checkbox"/>	<input type="checkbox"/>	SS 2		
<input type="checkbox"/>	<input type="checkbox"/>	SS 3	<input type="checkbox"/> Moderate	<input type="checkbox"/> Best Practices <input type="checkbox"/> Limited ESIA for Safeguards at Risk
<input type="checkbox"/>	<input type="checkbox"/>	SS 4		
<input type="checkbox"/>	<input type="checkbox"/>	SS 5		
<input type="checkbox"/>	<input type="checkbox"/>	SS 6	<input type="checkbox"/> High	<input type="checkbox"/> ESIA <input type="checkbox"/> ESMP

**6. SAFEGUARDS SCREENING REPORT RECORD**

Prepared by:	Enter name, job title	Select date completed
Reviewed by:	Enter name, job title	Select date completed
Director of Programme Division, Branch Coordinator or Regional Director:	Enter name, job title	Select date completed

# UN-HABITAT SAFEGUARDS SCREENING REPORT

(Approved for Public Disclosure)

## 1. PROJECT INFORMATION

<b>Title:</b>			
<b>Location:</b>		<b>Region:</b>	Select Region
<b>Description:</b>	Briefly describe the project, its purpose and intended outcomes. The Safeguards Screening Report should be prepared during the Project Formulation stage and should be attached as an Annex to the Project Document.		
<b>File Reference:</b>		<b>Total value:</b>	USD
<b>Managing Unit:</b>	Select Managing Unit	<b>Partners:</b>	

## 2. SIGNIFICANCE OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS

Safeguard Standards		Project Risk		
		Impact	Probability	Significance
SS 1	Community Health, Safety, and Working Conditions	Select Impact	Select Probability	Select Significance
SS 2	Pollution Prevention and Resource Efficiency	Select Impact	Select Probability	Select Significance
SS 3	Biodiversity, Conservation and Sustainable Natural Resource Management	Select Impact	Select Probability	Select Significance
SS 4	Displacement and Resettlement	Select Impact	Select Probability	Select Significance
SS 5	Indigenous Peoples	Select Impact	Select Probability	Select Significance
SS 6	Cultural Heritage	Select Impact	Select Probability	Select Significance

**3. SCREENING DETERMINATION**

Safeguards at Risk			Project Risk Category	Assessment and Management Measures
Moderate	High	Safeguard		
<input type="checkbox"/>	<input type="checkbox"/>	SS 1	<input type="checkbox"/> Low	
<input type="checkbox"/>	<input type="checkbox"/>	SS 2		
<input type="checkbox"/>	<input type="checkbox"/>	SS 3		
<input type="checkbox"/>	<input type="checkbox"/>	SS 4	<input type="checkbox"/> Moderate	<input type="checkbox"/> Best Practices <input type="checkbox"/> Limited ESIA for Safeguards at Risk
<input type="checkbox"/>	<input type="checkbox"/>	SS 5		
<input type="checkbox"/>	<input type="checkbox"/>	SS 6	<input type="checkbox"/> High	<input type="checkbox"/> ESIA <input type="checkbox"/> ESMP

**7. SAFEGUARDS SCREENING REPORT RECORD**

Prepared by:	Enter name, job title	Select date completed
Reviewed by:	Enter name, job title	Select date completed
Director of Programme Division, Branch Coordinator or Regional Director:	Enter name, job title	Select date completed

## ANNEX 2. TERMS OF REFERENCE: ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT

The Terms of Reference for Environmental and Social Impact Assessments are extracted from the World Bank's *Environmental and Social Framework: Setting Environmental and Social Standards for Investment Project Financing*<sup>15</sup> and provided as guidance for UN-Habitat projects.

The content of the ESIA will include the following:

1. Executive summary
  - Concisely discusses significant findings and recommended actions.
2. Legal and institutional framework
  - Analyzes the legal and institutional framework for the project, within which the environmental and social assessment is carried out.
  - Compare the Borrower's existing environmental and social framework and the ESSs and identify the gaps between them.
  - Identifies and assesses the environmental and social requirements of any co-financiers.
3. Project description
  - Concisely describes the proposed project and its geographic, environmental, social, and temporal context, including any offsite investments that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well as the project's primary suppliers.
  - Through consideration of the details of the project, indicates the need for any plan to meet the requirements of ESS 1 through 6.
  - Includes a map of sufficient detail, showing the project site and the area that may be affected by the project's direct, indirect, and cumulative impacts.
4. Baseline data
  - Sets out in detail the baseline data that is relevant to decisions about project location, design, operation, or mitigation measures. This should include a discussion of the accuracy, reliability, and sources of the data as well as information about dates surrounding project identification, planning and implementation.
  - Identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions;
  - Based on current information, assesses the scope of the area to be studied and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences.
  - Takes into account current and proposed development activities within the project area but not directly connected to the project.

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<sup>15</sup> World Bank, 2016, Environmental and Social Framework, available at <http://tinyurl.com/Env-and-Social-Framework>

## 5. Environmental and social risks and impacts

- Takes into account all relevant environmental and social risks and impacts of the project. This will include the environmental and social risks and impacts specifically identified in Environmental and Social Safeguard Standards, and any other environmental and social risks and impacts arising as a consequence of the specific nature and context of the project.

## 6. Mitigation measures

- Identifies mitigation measures and significant residual negative impacts that cannot be mitigated and, to the extent possible, assesses the acceptability of those residual negative impacts.
- Identifies differentiated measures so that adverse impacts do not fall disproportionately on the disadvantaged or vulnerable.
- assesses the feasibility of mitigating the environmental and social impacts; the capital and recurrent costs of proposed mitigation measures, and their suitability under local conditions; the institutional, training, and monitoring requirements for the proposed mitigation measures.
- specifies issues that do not require further attention, providing the basis for this determination.

## 7. Analysis of alternatives

- systematically compares feasible alternatives to the proposed project site, technology, design, and operation--including the "without project" situation--in terms of their potential environmental and social impacts;
- assesses the alternatives' feasibility of mitigating the environmental and social impacts; the capital and recurrent costs of alternative mitigation measures, and their suitability under local conditions; the institutional, training, and monitoring requirements for the alternative mitigation measures.
- For each of the alternatives, quantifies the environmental and social impacts to the extent possible, and attaches economic values where feasible.

## 8. Design measures

- sets out the basis for selecting the particular project design proposed and specifies the applicable ESHGs or if the ESHGs are determined to be inapplicable, justifies recommended emission levels and approaches to pollution prevention and abatement that are consistent with GIIP.

## 9. Key measures and actions for the Environmental and Social Commitment Plan (ESCP)

- Summarizes key measures and actions and the timeframe required for the project to meet the requirements of the ESSs. This will be used in developing the Environmental and Social Commitment Plan (ESCP).

## 10. Appendices

- List of the individuals or organizations that prepared or contributed to the environmental and social assessment.
- References—setting out the written materials both published and unpublished, that have been used.
- Record of meetings, consultations and surveys with stakeholders, including those with affected people and other interested parties. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected people and other interested parties.
- Tables presenting the relevant data referred to or summarized in the main text.
- List of associated reports or plans.

## ANNEX 3. TERMS OF REFERENCE: ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN

The Terms of Reference for Environmental and Social Management Plans are extracted from the World Bank's *Environmental and Social Framework: Setting Environmental and Social Standards for Investment Project Financing*<sup>16</sup> and provided as guidance for UN-Habitat projects.

The content of the ESMP will include the following:

### 1. Mitigation

- The ESMP identifies measures and actions in accordance with the mitigation hierarchy that reduce potentially adverse environmental and social impacts to acceptable levels. The plan will include compensatory measures, if applicable. Specifically, the ESMP:
  - (i) identifies and summarizes all anticipated adverse environmental and social impacts (including those involving indigenous people or involuntary resettlement);
  - (ii) describes--with technical details--each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate;
  - (iii) estimates any potential environmental and social impacts of these measures; and
  - (iv) takes into account, and is consistent with, other mitigation plans required for the project (e.g., for involuntary resettlement, indigenous peoples, or cultural heritage).

### 2. Monitoring

- The ESMP identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

### 3. Capacity development and training

- To support timely and effective implementation of environmental and social project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level.

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<sup>16</sup> World Bank, 2016, Environmental and Social Framework, available at <http://tinyurl.com/Env-and-Social-Framework>

- Specifically, the ESMP provides a specific description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures (e.g. for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training).
  - To strengthen environmental and social management capability in the agencies responsible for implementation, the ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.
4. Implementation schedule and cost estimates
- For all three aspects (mitigation, monitoring, and capacity development), the ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures are also integrated into the total project cost tables.
5. Integration of ESMP with project
- The Borrower's decision to proceed with a project, and the Bank's decision to support it, are predicated in part on the expectation that the ESMP (either stand alone or as incorporated into the ESCP) will be executed effectively. Consequently, each of the measures and actions to be implemented will be clearly specified, including the individual mitigation and monitoring measures and actions and the institutional responsibilities relating to each, and the costs of so doing will be integrated into the project's overall planning, design, budget, and implementation.