



# Environmental and Social Safeguards System

Version 3  
(ESSS 3.1)

United Nations Human Settlements Programme

December 2021

Prepared by:

United Nations Human Settlements Programme

In association with:

ARCADIS Shelter Programme

## Table of Contents

1.	Abbreviations and Acronyms.....	6
2.	Foreword .....	7
3.	Introduction to ESSS Version 3.0 .....	8
4.	E&S Framework: Management System .....	9
4.1	Objectives .....	9
4.2	Scope.....	10
4.3	Approach for Implementation .....	11
4.4	Caring: Safeguard Culture in Project/Programme Design, Implementation and Beyond .....	12
4.4.1	Commit to the ESSS in and throughout every project or programme .....	12
4.4.2	Acknowledge all risks and impacts across all Safeguards .....	12
4.4.3	React to all risks and impacts across all Safeguards .....	13
4.4.4	Involve stakeholders as early and as comprehensively as possible .....	13
4.4.5	Nurture solutions “to do no harm”, “to do good” and “to do even better”.....	13
4.4.6	Generate Safeguard performance throughout the project/programme lifecycle ....	14
5.	Organizational Level: The Elements of the Management System .....	15
5.1	Policy Statement: UN-Habitat’s Commitment to Environmental and Social Sustainability.....	16
5.2	Assessment, Management & Monitoring Plan .....	19
5.3	Roles and Responsibilities .....	22
5.4	Stakeholder Engagement.....	24
6.	Safeguards .....	27
6.1.	E&S Principles .....	27
6.1.1.	Principle 1: Labour and Working Conditions .....	28
6.1.2.	Principle 2: Zero-carbon development, pollution prevention and resource efficiency .....	29
6.1.3.	Principle 3: Climate change resilience, community health, safety and security .....	29
6.1.4.	Principle 4: Displacement and Involuntary Resettlement .....	31
6.1.5.	Principle 5: Biodiversity Conservation and Sustainable Management of Living Natural Resources .....	32
6.1.6.	Principle 6: Indigenous Peoples.....	33
6.1.7.	Principle 7: Cultural Heritage .....	34
6.1.8.	Principle 8: Compliance with the Law .....	35
6.1.9.	Principle 9: Access and Spatial Justice .....	36
6.2.	Social Inclusion Issues .....	37
6.2.1.	Social Inclusion Issue 1: Human Rights.....	37
6.2.2.	Social Inclusion Issue 2: Gender .....	38
6.2.3.	Social Inclusion Issue 3: Children, Youth and Older Persons.....	38
6.2.4.	Social Inclusion Issue 4: Disability .....	39
6.3.	Cross-Cutting Thematic Areas.....	39
6.3.1.	Cross-cutting Thematic Area 1: Resilience .....	39
6.3.2.	Cross-Cutting Thematic Area 2: Safety .....	40
7.	Project And Programme Level: Safeguards System.....	41
7.1.	Concept Note, All Projects and Programmes: Safeguard Screening Report.....	42
7.2.	Proposal Phase: Safeguard Scoping Report (Where Applicable, Depending on Risk Category) .....	43
7.3.	ESIA or ESAP .....	45
7.3.1.	ESIA full report: Projects and Programmes categorized as A and B1 .....	45

7.3.2.	ESSS Action Plan: Projects and Programmes categorized as B2 and C.....	47
7.4	Implementation Phase: ESIA Follow-Up and Monitoring, All Projects and Programmes .....	49
7.5	Project's/Programme's Stakeholder Engagement Plan .....	50
7.6	Provisions for Specific Projects and Programmes .....	50
Appendix 1.	ESSS Screening Report.....	51
1.	Brief Description of the Project/Programme .....	51
2.	The Presence of Significant Biodiversity Value.....	52
3.	The Presence of Social Groups or Community.....	52
4.	National Regulations and Donor Requirements.....	52
5.	Conclusions .....	53
6.	Approvals.....	53
	Annex 1A: Checklist of Safeguard Standards.....	55
	Annex 1B: Project/Programme Risk Categorization .....	58
Appendix 2.	ESSS Scoping Report.....	61
1.	Introduction .....	61
2.	Project/Programme Reference Framework .....	61
2.1.	Local Laws and Regulations.....	61
2.2.	Local Environmental Impact Assessment (EIA) Process and Requirements .....	61
2.3.	International Standards.....	61
3.	Preliminary Project/Programme Description .....	62
3.1.	Project/Programme Specifics.....	62
3.2.	Preparation/Implementation/Construction Phase .....	62
3.3.	Operation phase .....	62
4.	Identification of Key Environmental and Social Issues.....	62
5.	Stakeholder Engagement.....	63
5.1.	The Framework .....	63
5.2.	The Plan .....	63
6.	Plan of Study for the ESIA or ESAP .....	63
6.1.	Setting the Area of Influence.....	63
6.2.	Baseline Studies.....	64
6.3.	Impact assessment.....	65
7.	Approvals.....	65
	Annex 2A.....	67
Appendix 3.	ESIA Report .....	69
1.	Executive Summary .....	69
2.	Policy, Legal and Institutional Framework.....	69
2.1.	Institutional Environmental and Social Policies .....	69
2.2.	Policy and Legal Framework.....	69
3.	Project/Programme Description and Alternative Selection.....	70
3.1.	General Overview.....	70
3.2.	Project/Programme Location .....	70
3.3.	Description of the Project's/Programme's Physical Components and Structures ..	70
3.4.	Description of the Project's/Programme's Activities.....	70
4.	Baselines Studies .....	71
4.1.	Setting the Study Limits .....	71
4.2.	Methodology and Objectives.....	71
5.	Impact and Risk Assessment .....	71
5.1.	Impact and Risk Assessment Methodology.....	71
5.2.	Impact and Risk Identification and Assessment.....	71

6.	Environmental and Social Management Plan .....	71
6.1.	Content of Each Measure .....	71
6.2.	Monitoring.....	72
7.	Public Consultation and Disclosure .....	72
7.1.	Approach .....	72
7.2.	Summary of Consultations and Activities Undertaken .....	72
7.3.	Results of Consultations .....	73
7.4.	Further Activities .....	73
Appendix 4.	ESAP .....	74
1.	Introduction .....	74
2.	Results of the Scoping Report.....	74
2.1.	Regulatory Framework .....	74
2.2.	Project/Programme Description .....	74
2.3.	Identification and Assessment of Environmental and Social Impacts .....	75
3.	Environmental and Social Management Plan .....	76
3.1.	Content of Each Measure .....	76
3.2.	Monitoring Plan.....	76
4.	Stakeholder Engagement.....	77
Appendix 5.	ESSS Monitoring Matrixes .....	78
1.	Regulation and Legal Matrix.....	78
2.	ESMP Follow-Up Matrix .....	79
Appendix 6.	Development Impact Plan (DIP) .....	81
1.	Activities overview and potential associated risks .....	81
2.	Follow-up: activities and timeline.....	81
Appendix 7.	Records of Participatory Activities .....	82
	Proposed Format for the List of Attendees .....	82
	Proposed Format for the Minutes of Meeting .....	83
Appendix 8.	ESSS 3.0 Implementation Team.....	85
Appendix 9.	Workflow Project/Programme Management & ESSS Alignment .....	86
Appendix 10.	Responsibilities of the ESSS Implementation Lead.....	87

# 1. Abbreviations and Acronyms

AF	Adaptation Fund
CCTA	Cross-cutting Thematic Areas
EHSG	(World Bank Group's) Environment, Health and Safety Guidelines
EMG	UN Environment Management Group
EPRP	Emergency Preparedness and Response Plan
ERMIG	Enterprise Risk Management Implementation Guidelines
ESAP	Environmental and Social Action Plan
ESIA	Environmental and Social Impact Assessment
ESMP	Environmental and Social Management Plan
ESSS	Environmental and Social Safeguard System
E&S	Environmental and Social
FPIC	Free, Prior and Informed Consent
GCF	Green Climate Fund
GHG	Greenhouse Gas
GIIP	Good International Industry Practice
HRBA	Human Right-based Approach
ICP	Informed Consultation and Participation
IFC	International Finance Corporation
IUCN	International Union for Conservation of Nature
NGO	Non-governmental organization
NUA	New Urban Agenda
SDG	UN Sustainable Development Goals
SEP	Stakeholder Engagement Plan
SII	Social Inclusion Issues
SSR	Safeguard Screening Report
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme

## 2. Foreword

This third version of UN-Habitat's Environmental and Social Safeguards system supports the agency's constant strive to improve on the delivery of our mandate and to achieve our vision of "a better quality of life for all in an urbanizing world". The ESSS 3 does not stop at setting minimum standards for projects and programmes, it aims to directly improve outcomes at project, programme and organizational level by promoting social justice, human rights, gender equality, resilience and safety. We are now fully compliant with the UN-wide Common Approach to Environmental and Social Management, and we meet or exceed the requirements of our donors and partners.

To ensure a successful roll-out, UN-Habitat has established an ESSS lead and set up an Implementation Team. In addition to the templates which form part of this document, a comprehensive training programme for all UN-Habitat personnel supports the socialization of this Safeguards System, also enabling us to cascade the new requirements to our partners. A community of practice and a knowledge management platform provide further support, for example through the collection and dissemination of good practices.

I would like to thank the ARCADIS Shelter Programme for its invaluable support in the development and initial roll-out of this latest version of the Environmental and Social Safeguards System as well as the many colleagues who have volunteered their time to draft and test this document and who will continue to support the roll-out.



Ms. Maimunah Mohd Sharif

United Nations Under-Secretary-General  
and Executive Director

# 3. Introduction to ESSS Version 3.0

Nairobi, September 2021

The UN-Habitat Environmental and Social Safeguards System (ESSS) is reviewed regularly to accommodate any change in business processes, lessons learnt and emerging risks. The new Version also responds to recommendations made by an external reviewer in the second half of 2019, who reviewed the current system as part of a Green Climate Fund accreditation process.

This ESSS Version 3.0, replaces the ESSS version 2.0 (18 June 2018). It has been updated to:

- Include a stronger focus on the organizational management of Environmental and Social (E&S) risks of projects and programmes - including agency-wide monitoring and reporting. It also takes a more comprehensive project and programme lifecycle management approach. Thus, with this version of the ESSS we aim to identify, analyse, avoid, minimize, and mitigate any potential adverse environmental and social impacts of project and programme activities, or, where a complete mitigation is not possible, to compensate for or offset such impacts to maximize environmental and social benefits, and to improve the environmental and social performance of UN-Habitat and its activities consistently over time (“Do No Harm”, and “Do Good”);
- Include a comprehensive set of tools for its implementation, including procedures, templates and checklists for projects and programmes;
- Incorporate UN-Habitat’s Social Inclusion Issues (SII) and Cross-Cutting Thematic Areas (CCTA) into UN-Habitat’s Environmental and Social (E&S) management, to foster project and programmes benefits (“Do Even Better”); and
- Be fully aligned and tailored to UN-Habitat’s mandate, organizational model and internal processes, and at the same time be aligned with the requirements for E&S Management of the United Nations (UN Common Approach) and partners (donors and financial institutions).
- Support UN-Habitat personnel as well as interested and affected parties in the implementation of the ESSS through a training programme, an ESSS Lead and an ESSS Implementation Team, with associated resources.

All staff and personnel please note the changes to UN-Habitat’s Environmental and Social Safeguards System (ESSS). This version, ESSS 3.0, is applicable with immediate effect. Please contact [unhabitat.esss@un.org](mailto:unhabitat.esss@un.org) in case further clarifications are required.

UN-Habitat ESSS 3.0 Implementation Team: Modupe Adebajo, Anne Amin, Bernhard Barth (Chair), Martin Barugahare, Lucia Kiwala, Cerin Kizhakkethottam, Sebastian Lange, Robert Lewis-Lettington, Xuesai Ma, Angela Mwai, Yasmine Mostafa, Rosa Muraguri-Mwololo, Kamal Naim, Saidou Ndow, Begoña Peiro, Katja Schaefer, Fee Stehle, Fruzsina Straus, Nao Takeuchi, Javier Torner, Raphaëlle Vignol, Isabel Shirin Enyonam Wetzel.

With special thanks to Arcadis: Athena Carkovic, Frank Wildschut, Milda Malinauskienė, Sofía López Carrasco.



## 4. E&S Framework: Management System

1. The Environmental and Social Safeguards System (ESSS) describes UN-Habitat's commitments, roles, and responsibilities towards environmental and social (E&S) risks and impacts<sup>1</sup> associated with UN-Habitat's projects and programmes. The ESSS further provides guidance to project/programme managers and teams to ensure that risks and impacts are managed from project/programme conceptualization, through implementation and on to close-out, proportionally and in accordance with local regulations, international standards and the standards applied by potential partners, such as multilateral agencies and donors.
2. The ESSS is an integral part of UN-Habitat's management processes, focusing on E&S risks and impacts of UN-Habitat's projects and programmes. It is integrated with UN-Habitat management, planning activities and non-financial reporting.
3. The ESSS establishes the standard that UN-Habitat will use to manage and improve the environmental and social performance of UN-Habitat and its activities consistently over time. The ESSS sets out UN-Habitat's responsibilities to continuously develop, govern and control the identification, assessment, management, monitoring and reporting of all risks and impacts that may arise throughout the lifecycle of UN-Habitat's projects and programmes.
4. For the development of the ESSS, UN-Habitat has drawn on the elements of the well-known business management process of "plan, do, check, and act". Thus, the ESSS sets a comprehensive and systematic approach for the environmental and social performance management of projects and programmes.

### 4.1 Objectives

5. The overall objective of the ESSS is to effectively identify, assess, manage and monitor environmental and social risks and negative impacts of UN-Habitat's projects and programmes. It also seeks to maximize positive environmental and social impacts and benefits, promote spatial justice, and ultimately to advance UN-Habitat's vision of "a better quality of life for all in an urbanizing world".
6. The specific objectives of the ESSS are to provide a globally applicable framework to:
  - i. Identify and assess potential environmental and social aspects, risks, impacts (both positive and negative) of projects or programmes;
  - ii. Implement mitigation measures to avoid or minimize risks, and where negative impacts remain, mitigate these, or, where a complete mitigation is not possible, to compensate for or offset such impacts ("to do no harm");
  - iii. Implement measures "to do good" and "to do even better", by using the SII and/or CCTA for creating positive impacts where possible in the management of a project or programme, in addition to points i and ii;
  - iv. Monitor the environmental and social performance throughout the different phases of the projects/programmes;
  - v. Define roles and responsibilities pertaining to environmental and social risk and impact management of UN-Habitat supported projects and programmes;

<sup>1</sup> Impacts is defined as the: "change to the natural or social environment, whether adverse or beneficial, wholly or partially resulting from UN-Habitat's environmental or social aspects"

[https://committee.iso.org/files/live/sites/tc207sc1/files/Terms%20and%20definitions%20in%20ISO%2014001\\_2015%20-%20where%20did%20they%20originate%20from.pdf](https://committee.iso.org/files/live/sites/tc207sc1/files/Terms%20and%20definitions%20in%20ISO%2014001_2015%20-%20where%20did%20they%20originate%20from.pdf)

- vi. Engage project-/programme-affected communities and stakeholders through transparent disclosure of project-/programme-related information, responsible promotion of their participation in the project/programme design and consultation on matters that affect them; and
- vii. Appropriately and timely record and manage grievances and communications from/with stakeholders.

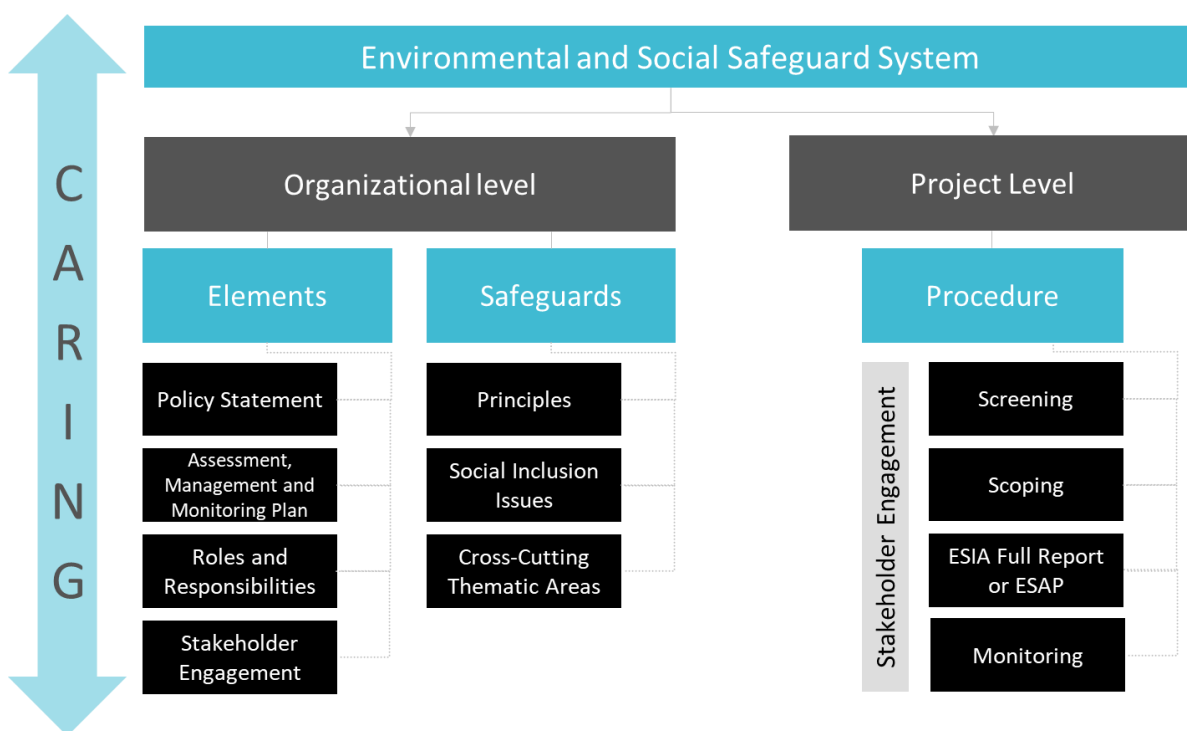
## 4.2 Scope

7. The ESSS applies to all projects and programmes of UN-Habitat. UN-Habitat will only support projects and programmes that are consistent with - and meet the requirements of the ESSS in a proportionate and timely manner.
8. In the ESSS the terms “project” and “programme” are understood as a set of tasks that have a plan, start and end dates, defined outputs and results, and are allocated financial, human and other resources. All projects or programmes are likely to generate risks and impacts, which need to be identified at the beginning of each project/programme cycle comprising different stages (concept, implementation, closing). The project/programme cycle includes design, construction, commissioning, operation, decommission, closure and in some projects/programmes post-close. As new risks and adverse impact may emerge in each of these stages, it is pertinent to apply the ESSS throughout the project/programme life cycle. This ESSS applies to all projects and programmes; its application varies depending on the identification of risks and impacts and the scale of such risks and impacts.
9. Where UN-Habitat is implementing a project or programme with other international organizations, multilateral financial institutions, donors or governmental bodies, UN-Habitat will strive to reach an approach for the identification, assessment, management and monitoring of environmental and social risks and impacts, and the processes of stakeholder engagement and information disclosure. The approach should adhere to the material objectives of the ESSS.<sup>2</sup>
10. Stakeholder engagement is based on appropriate and timely involvement of interested and affected parties. Interested parties are defined as parties having:
  - i. an Agreement of Cooperation (as well as end-beneficiary agreement and including UN-agencies with agency-to-agency agreement), ii. personnel, iii. contractors, iv. financiers and donors. Affected parties are communities and persons perceiving a direct or indirect project/programme related risk or impact.
11. The ESSS is aligned with UN-Habitat’s relevant policies, including but not limited to:
  - Programme and Project Review Mechanism (2020);
  - Policy for Implementing Partners v2.0 (2017);
  - UN-Habitat Policy and Plan for Gender Equality and the Empowerment of Women in Urban Development and Human Settlements (2014);
  - Enterprise Risk Management Implementation Guidelines (2015);
  - Evaluation Policy (2013); and
  - UN-Habitat Accountability Policy (2012).

<sup>2</sup> Whilst this ESSS 3.0 remains applicable, relevant templates of such partners / funding providers may replace the UN-Habitat tools (as provided in the Appendices to this document). The Screening report ([Appendix 1](#)) remains mandatory.

### 4.3 Approach for Implementation

12. The implementation of the ESSS applies at two levels (see Figure 1):
  - The **organizational level**: The ESSS sets out the Elements of how UN-Habitat’s ESSS- related management system is to be organized, planned, implemented, monitored, and reviewed at the organizational level (see [Chapter 5](#)). The document then presents the Safeguards (see [Chapter 6](#). Safeguards). It provides the necessary templates and guidelines in referenced Appendices and Annexes.
  - The **project or programme level**: The ESSS describes the procedure that projects/programmes need to follow to proportionally identify, assess, manage and monitor E&S risks and impacts (see [Chapter 7](#)).
  
13. In order to deliver on the objectives set out above, the E&S System is comprised of an organizational and project/programme level component. The organizational framework supports the implementation of the ESSS through clearly defining the system elements (Policy Statement; Assessment, Management and Monitoring Plan; Roles and Responsibilities; and Stakeholder Engagement) as well as the safeguards (composed of the Principles, Social Inclusion Issues and Cross Cutting Thematic Areas). This system will allow for the management, including agency-wide monitoring and reporting of the E&S performance of UN-Habitat. The safeguards are further cascaded down through guidance and monitoring to the project/programme level. The procedures for appropriate management of E&S risks and impacts on organizational and project/programme level are organized as presented below:



**Figure 1: ESSS Framework**

14. In the cases where UN-Habitat provides project/programme oversight (and projects/programmes are implemented by Implementing Partners / Executing Entities), UN-Habitat retains the accountability (at the organizational level) and depending on the Implementing Partner arrangement may transfer some or all of the responsibility to the Implementing Partner.

## 4.4 Caring: Safeguard Culture in Project/Programme Design, Implementation and Beyond

15. From the implementation of the first ESSS, UN-Habitat has aspired to promote a positive impact culture in UN-Habitat, ensuring that at every level and in the day-to-day work, environmental and social risks and impacts of projects and programmes are appropriately managed. UN-Habitat supports open discussion about the potential effects of projects and programmes on communities and the environment, providing the tools for addressing those effects.
16. CARING is a way of thinking and mainstreaming the “Safeguard Culture” in UN-Habitat projects and programmes. Every aspect of CARING resembles a step in the process of integrating safeguards into projects and programmes (see Figure 2). CARING for people and planet is closely aligned to the UN’s mandate and beneficial to the people we serve.



Figure 2: CARING steps

### 4.4.1 Commit to the ESSS in and throughout every project or programme

17. The objective of every UN-Habitat project or programme is to promote the development of sustainable human settlements. In UN-Habitat’s projects/programmes, some projects/programmes or parts thereof have environmental and social impacts. Committing to the ESSS in early phases of the project/programme and throughout the project/programme cycle is at the very core of UN-Habitat’s thinking.
18. The ESSS will help to identify risks and impacts of the project/programme, but most importantly, this way of thinking focuses on addressing those risks and impacts. Thus, it supports the overall project/programme success, avoiding or, at least, minimizing any negative risks and impacts on people and the environment.

### 4.4.2 Acknowledge all risks and impacts across all Safeguards

19. Acknowledging all risks and impacts across all Safeguards requires listing all applicable Safeguards of the Project/Programme based on the identification of project/programme risks and impacts. The Safeguards provide a standard to align the ESSS Project/Programme procedure to.
20. Therefore, the Project/Programme should appropriately comply to the 15 Safeguards, including the 9 Principles, 4 Social Inclusion Issues and the 2 Cross-Cutting Thematic Areas (see [Chapter 6](#). Safeguards), throughout the entire lifecycle.

21. Next is to appropriately comply to local or national laws and regulations, as well as further donor requirements, regarding the environmental and social performance of the project/programme.

#### 4.4.3 React to all risks and impacts across all Safeguards

22. Starting a project or a programme without prior knowledge of the potential risks and impacts will likely result in some of these risks manifesting throughout the project's/programme's later phases. Having a clear overview of the risks and impacts is key to establishing in a timely manner proportional measure to avoid, minimize, reduce and mitigate risks and impacts, and where significant residual impacts remain, to compensate for, or offset such impacts.
23. Additionally, it is important to not only look at avoiding potential negative risks and impacts, but also tapping into the positive potential impacts of a project/programme, by using the Cross-Cutting Thematic Areas and Social Inclusion Issues to adhere to Principle 9 to create (spatial) benefits that otherwise might go unnoticed.

#### 4.4.4 Involve stakeholders as early and as comprehensively as possible

24. Once the preliminary risks and impacts are identified, and requirements reviewed, it is important to involve stakeholders in the process of further identifying risks as well as project/programme formulation, planning, implementation, monitoring and project/programme closure. Stakeholders include all persons or entities involved in the project or the programme, who have an interest or that may be affected by the project/programme.
25. Involving stakeholders should start in the very early phases of a project or a programme with the purpose of, inter alia:
  - i. Identify potential additional risk and provide inputs on identified risks which could have been left out in the preliminary assessments;
  - ii. Informing the assessment of environmental and social risks and impacts;
  - iii. Minimize the risk of conflicts associated with the development of the project or the programme (that could delay the implementation), by making sure that stakeholders do not feel left out, or involved too late; and
  - iv. Stakeholder engagement helps to foster acceptance of project/programme goals and creates a feeling of community ownership for project/programme outcomes.
26. Effective stakeholder engagement is an essential part of the successful design and implementation of a project or a programme. Stakeholder engagement is further discussed on sections 5.4 and 7.5 at the organizational and project/programme levels, respectively.

#### 4.4.5 Nurture solutions “to do no harm”, “to do good” and “to do even better”

27. UN-Habitat is applying its technical expertise and capacity development skills to contribute to addressing the unprecedented demographic, environmental, economic, social, and spatial challenges that cities are currently facing. Working with the urban poor, marginalized and vulnerable groups, UN-Habitat aims “to do good”, aligned with its mission: UN-Habitat promotes transformative change in cities and human settlements through knowledge, policy advice, technical assistance, and collaborative action to **leave no one and no place behind.**

28. Additionally, UN-Habitat has put in place the ESSS to create awareness and provide solutions for Implementing Partners to improve the status quo and, doing no significant harm, or exacerbate the situation that is being addressed. The concept of “do no harm” in projects and programmes is in line with international standards that call for addressing potential risks and impacts. With the information at hand, all tools should be available to find solutions that “do good” and “do no harm”.
29. Finally, UN-Habitat’s Strategic Plan presents the Social Inclusion Issues: (1) Human Rights, (2) Gender, (3) Children, youth and older persons, and (4) Disability; and the Cross-cutting thematic areas: (1) Resilience, and (2) Safety. The inclusion of these into the ESSS focuses on the “furthest behind” and on the promotion of sustainable cities. With the idea to “do even better” on these issues, projects and programmes are contributing to the achievement of larger, long-term goals of UN-Habitat.

#### **4.4.6 Generate Safeguard performance throughout the project/programme lifecycle**

30. It is important to consider that UN-Habitat operates in an ever-changing world: application of the ESSS thus will have to be timely and proportional. Making sure to consider local context and potential changes over time and finding solutions that last will inherently move UN-Habitat’s projects and programmes closer to doing good.
31. The adaptative approach in the project/programme implementation also applies in consideration of the scale of a project/programme and its potential risks and impacts. Also, the planning and implementation of the actions to address potential risks and impacts should be proportionally scaled to the size and type of the project/programme.
32. To comply to the ESSS in a timely and proportional manner, management of Safeguard should be guided throughout the project/programme lifecycle. This guidance should follow the “plan > do > check > act” management approach.
33. Project and programme managers and their teams must prepare for potential changes throughout the project/programme lifecycle. Continuing the original path in a context where there have been relevant changes, might reduce the efficiency of a solution and, thus, the eventual objective of doing good. Bearing in mind that circumstances might change, project and programme managers have an important role in keeping UN-Habitat’s Implementing Partners informed on such changes.

## 5. Organizational Level: The Elements of the Management System

34. Effective risk and impact management is key to achieving the successful implementation of UN-Habitat's projects and programmes and this involves protecting the environment, and the people and communities potentially affected by or benefitting from the project or the programme. The ESSS integrates the culture, structure and guidance to achieve well planned and systematic management of environmental and social risks and impacts associated with the projects/programmes. It is a process, as it is iterative and aims at continual improvement and enhancement.
35. E&S risk and impact management is part of UN-Habitat's organizational processes, integrated in the operation of programmes and activities, and thus is embedded in the Management System of UN-Habitat.
36. For managing the E&S risks and impacts of projects and programmes, UN-Habitat has defined and implemented a Safeguard System that incorporates the following Elements (see [Figure 1](#)):
  - a Policy Statement (see [Section 5.1](#) Policy Statement: UN-Habitat's Commitment to Environmental and Social Sustainability);
  - a Procedure or Plan for the Assessment, Management and Monitoring of project/programme risks and impacts ([Section 5.2](#) Assessment, Management & Monitoring Plan);
  - a description of Roles and Responsibilities ([Section 5.3](#) Roles and Responsibilities); and
  - a description of Stakeholder Engagement ([Section 5.4](#) Stakeholder Engagement).
37. Additionally, the ESSS also includes requirements related to topics (Safeguards) that may apply to projects and programmes. In total there are 15 Safeguards, organized into three categories as follows (see [Figure 1](#) for categories; see [Chapter 6. Safeguards](#) for more detailed descriptions of Safeguards):
  1. Nine E&S Principles, which are aligned with the topics addressed by the main safeguard systems used by financial institutions, the UN Environmental Common Approach, multi-lateral agencies and international donors;
  2. Four Social Inclusion Issues (SII); and two Cross-Cutting Thematic Areas (CCTA), which are an integral part of UN-Habitat's Strategic Plan 2020-2023.
38. UN-Habitat and its Implementing Partners will also consider the World Bank's Environment, Health and Safety Guidelines (EHSG), given that these are recognized as good international industry practices (GIIP) for the implementation of Environmental and Social Safeguards.
39. UN-Habitat will require parties involved in the project/programme implementation to provide when necessary full and detailed justification for any proposed alternatives to the ESSS's procedures or instruments. When donor E&S standards and requirements are applied to a project or a programme, together with the donor the appropriate application of the ESSS needs to be defined.

## 5.1 Policy Statement: UN-Habitat's Commitment to Environmental and Social Sustainability

40. UN-Habitat is a major global entity and a centre of excellence and innovation. UN-Habitat is the “thought leader” setting the global discourse and agenda on sustainable urban development, driving political discussion, generating specialized and cutting-edge knowledge, shaping technical norms, principles and standards, and acting as a multiplier in the exchange of knowledge, experience and best practice in getting cities and other human settlements right.<sup>3</sup> UN-Habitat’s mission is to promote “transformative change in cities and human settlements through knowledge, policy advice, technical assistance and collaborative action to **leave no one and no place behind**”.<sup>4</sup> Through its normative and operational work as well as coordination and focal point role within the UN system, the agency’s objective is: “to advance sustainable urbanization as a driver of development and peace to improve living conditions for all.”
41. UN-Habitat contributes to the achievement of the UN Sustainable Development Goals (SDGs),<sup>5</sup> and is the custodian agency for 9 of the 15 indicators under SDG 11: Make cities and human settlements inclusive, safe, resilient and sustainable; and supports the monitoring and reporting of 4 indicators in other SDGs.
42. UN-Habitat’s role and mandate was further strengthened in October 2016 through the adoption of the New Urban Agenda,<sup>6</sup> the outcome document of the Third United Nations Conference on Housing and Sustainable Urban Development (Habitat III).
43. In 2019, the UN-Habitat Assembly approved the Strategic Plan 2020-2023. This Plan focuses on the agency’s commitment and contribution to the implementation of a set of global agreements and goals, including: the 2030 Agenda for Sustainable Development, the 17 SDGs, the Addis Ababa Action Agenda of the Third International Conference on Financing for Development, the Sendai Framework for Disaster Risk Reduction, the Paris Agreement on Climate Change, the New York Declaration for Refugees and Migrants, and the New Urban Agenda (NUA).
44. The UN-Habitat’s Strategic Plan 2020-2023 is structured around the aspiration of achieving 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. This aspiration is captured in four mutually reinforcing and integrated goals or ‘domains of change’:
  1. Reduced spatial inequality and poverty in communities across the urban-rural continuum;
  2. Enhanced shared prosperity of cities and regions;
  3. Strengthened climate action and improved urban environment; and
  4. Effective urban crisis prevention and response.
45. UN-Habitat believes that sound management of environmental and social risks and impacts according to the ESSS, and associated with UN-Habitat-supported projects and programmes is an essential contribution to the above Goals (see [paragraph 41](#) above); as well as to prevent risks and negative impacts to undo positive impacts generated. UN-Habitat is committed to the objective of ‘do even better’ in support of people and the environment in the projects and programmes it implements and oversees. To realize this commitment, the ESSS is established providing an outline of UN-Habitat’s commitment, capacity, and procedures for the management of the environmental and social performance of projects and programmes. When feasible, UN-Habitat commits to

<sup>3</sup> [https://unhabitat.org/sites/default/files/documents/2019-09/strategic\\_plan\\_2020-2023.pdf](https://unhabitat.org/sites/default/files/documents/2019-09/strategic_plan_2020-2023.pdf), Paragraph 2, p.1

<sup>4</sup> <https://unhabitat.org/our-strategy>

<sup>5</sup> United Nations, 2015, Transforming our World: The 2030 Agenda for Sustainable Development, available at <http://tinyurl.com/Transforming-Our-World>

<sup>6</sup> United Nations 2016: <https://habitat3.org/the-new-urban-agenda/>



facilitate the enhancement of social and environmental sustainability beyond mitigation to adverse risks and impacts.

46. In 2016, UN-Habitat adopted a first version of the ESSS. In 2018 the ESSS was updated, incorporating requirements for reporting and for disclosure with stakeholders. This is the third version of the ESSS, developed in 2020-2021. It includes an organizational management approach, new project-/programme-related environmental and social principles aligned with comparable systems of multi-lateral agencies and donors, and the Social Inclusion Issues (SII) and Cross-Cutting Thematic Areas (CCTA) as included in the UN-Habitat Strategic Plan 2020-2023.
47. The ESSS sets out a systematic approach to environmental and social risk management that protects people and the environment and is harmonized with good international industry practices (GIIP).
48. All projects and programmes of UN-Habitat are within the scope of the ESSS. UN-Habitat will only participate in projects and programmes, including co-operation projects and programmes and project-/programme-related, associated facilities,<sup>7</sup> that meet the ESSS's standards proportionally and in a timely manner. To this end, UN-Habitat will, if deemed necessary, provide technical assistance services for ensuring understanding and compliance with the ESSS, also when involving third parties. This, to support long-term partnerships and to show its commitment to the ESSS to donors and member countries.
49. The ESSS's Policy Statement (see Section 5.1 Policy Statement: UN-Habitat's Commitment to Environmental and Social Sustainability) is aligned with the environmental and social safeguard policies of other entities within the United Nations system, such as the United Nations Environment Programme (UNEP) and the United Nations Development Programme (UNDP), and with the policies of other bi- and multilateral institutions and funds such as the International Finance Corporation (IFC), Adaptation Fund (AF), Green Climate Fund (GCF), and the International Union for Conservation of Nature (IUCN). This updated version also includes the recommendations of the UN Environment Management Group (EMG), outlined in their report "Moving towards a Common Approach to Environmental and Social Standards for UN Programming".<sup>8</sup>
50. UN-Habitat commits to the inclusive implementation of the Social Inclusion Issues incorporated into the ESSS (further described in Section 6.2):
  1. Human Rights: UN-Habitat is committed to the correct implementation of the United Nations system-wide human-rights-based approach, which means that all projects and programmes should further the realization of human rights, be carried out in line with human rights standards and principles, and collaboration should contribute to the capacity of duty bearers to meet their obligations and the capacity of rights-holders to claim their rights. To that end, in accordance with the Environmental and Social Safeguards Principles 1, 6 & 8 and Social Inclusion Issue 1 & 2 (see Sections 6.1. E&S Principles and Social Inclusion Issues 6.2, respectively) of this Safeguard System, UN-Habitat requires that anyone in its project and programme boundaries pays due respect for human rights, avoids infringement on the human rights of others, and addresses adverse human rights risks and impacts in UN-Habitat-supported projects and programmes.
  2. Gender: through application of Safeguard Principle 1 and Social Inclusion Issue 2 (see Sections 6.1. E&S Principles and Social Inclusion Issues 6.2, respectively), UN-Habitat is committed to prevent gender-based discrimination and expects its partners to do so as well. Gender discrimination refers to discrimination against

<sup>7</sup> Associated Facilities means facilities or activities that are not funded as part of the project and, in the judgment of UN-Habitat, are: (a) directly and significantly related to the project; (b) carried out, or planned to be carried out, contemporaneously with the project; and (c) necessary for the project to be viable and would not have been constructed, expanded or conducted if the project did not exist. For facilities or activities to be Associated Facilities, they must meet all three criteria.

<sup>8</sup> [https://unemg.org/wp-content/uploads/2019/07/FINAL\\_Model\\_Approach\\_ES-Standards-1.pdf](https://unemg.org/wp-content/uploads/2019/07/FINAL_Model_Approach_ES-Standards-1.pdf)

individuals because of their gender, gender identity or sexual orientation. It can further intersect with, and compound, discrimination on other grounds, such as ethnicity, migration status and age, among others, thus exacerbating marginalization and curtailing their ability to fully participate in and benefit from sustainable urban development. The United Nations Human Rights Council has repeatedly acknowledged the need to prevent and address discrimination based on gender identity and sexual orientation. The New Urban Agenda envisages gender equality and the empowerment of all women and girls and emphasizes the need for gender-responsiveness in all aspects of sustainable urban development. UN-Habitat has a long track record of promoting the mainstreaming and programmatic prioritization of gender in all its work;

3. Children, youth and older persons: UN-Habitat is committed to incorporate in all its projects and programmes the particular needs and vulnerabilities of children, youth and older persons in line with the 2030 Agenda's guiding principle of leaving no one behind, and the New Urban Agenda vision of cities for all. In accordance with Safeguard Principle 1 and Social Inclusion Issue 3 (see [Sections 6.1. E&S Principles and Social Inclusion Issues 6.2](#), respectively), UN-Habitat and its partners will consider the entire age spectrum to prevent discrimination in the urban setting; and
  4. Disability: UN-Habitat is committed in its projects and programmes to advocate that sustainable urban development, including in the context of poverty reduction, can only be achieved if persons with disabilities are included meaningfully in decision-making and are able to access their rights. Disability is in this context seen as the interaction between persons with impairments and attitudinal and environmental barriers that hinders their full and effective participation in society on an equal basis with others. UN-Habitat requires its partners to identify and describe persons with a disability potentially affected by a project or a programme and implement differentiated mitigation measures to address the circumstances of such individuals or groups, in accordance with Safeguard Principle 1 and Social Inclusion Issue 4 (see [Sections 6.1. E&S Principles and Social Inclusion Issues 6.2](#), respectively). UN-Habitat commits to incorporate the Cross-Cutting Thematic Areas into the ESSS (see [Section 6.3. Cross-Cutting Thematic Areas](#)):
51. UN-Habitat commits to incorporate the Cross-Cutting Thematic Areas into the ESSS (see [Section 6.3. Cross-Cutting Thematic Areas](#)):
1. Resilience: UN-Habitat is committed to building the resilience of cities and other human settlements and of their people, communities, institutions, environments, and infrastructure systems. Resilience is seen as a transversal issue and UN-Habitat expects its partners to incorporate resilience as such in projects and programmes, in line with Safeguard Principle 1 and Cross-cutting thematic area 1 (see [Sections 6.1. E&S Principles and 6.3. Cross-Cutting Thematic Areas](#), respectively); and
  2. Safety: in line with the 2030 Agenda for Sustainable Development and SDG 11, UN-Habitat is committed to aim for 'a world free of fear and violence (...) where human habitats are safe'.<sup>9</sup> Through the application of Safeguard Principle 1 and Cross-cutting thematic area 2 (see [Sections 6.1. E&S Principles and 6.3. Cross-Cutting Thematic Areas](#), respectively), UN-Habitat commits itself and its partners to assure a safe and secure environment in cities and human settlements, enabling all to live, work and participate in urban life without fear of violence and intimidation, taking into consideration that women and girls, children and youth, and persons in vulnerable situations are often particularly affected.<sup>10</sup>

<sup>9</sup> See, for example, Transforming our world: the 2030 Agenda for Sustainable Development, para. 7

<sup>10</sup> New Urban Agenda, para. 39

52. UN-Habitat will refrain from supporting a project or a programme on environmental and social grounds and where identified risks contrive the ESSS' standards or national laws or country obligations under relevant international treaties, conventions and agreements. This ESSS does not represent an express or implied waiver of UN-Habitat's mandate by the UN General Assembly to promote socially and environmentally sustainable towns and cities, international conventions or any applicable law, nor does it provide any contractual or other rights to any party.

## 5.2 Assessment, Management & Monitoring Plan

53. In the present ESSS, UN-Habitat has defined the ESSS Procedure or Plan, which includes a series of activities to provide minimum requirements to a robust risk and impact assessment, management and monitoring process to be implemented throughout UN-Habitat's involvement in a project or a programme. The ESSS Procedure is aimed at predicting and anticipating any adverse risks and impacts, that projects and programmes could have on the environment and the people in the project/programme area of influence, in such a way that measures can be developed to address the risks and impacts proportionally and in a timely manner.
54. The ESSS Procedure is a consistent approach to E&S risk and impact management within UN-Habitat, which reaches all projects and overall programmes, regardless of the project's/programme's size (funds or donations), to achieve the project's/programme's objectives and avoid harm to the surrounding people and environment.
55. The ESSS Procedure is aligned with UN-Habitat's Enterprise Risk Management (ERP) Policy, which is understood as "the process of coordinated activities designed to direct and control an organization with regard to risk". The ERM Policy focusses on the risks for UN-Habitat as a whole and the achievement of its objectives.
56. The purpose of the ESSS Procedure is to:
1. Identify risks and impacts;
  2. Assess the level of risks and impacts;
  3. Identify appropriate strategies, actions and controls to proportionally address the risks and mitigate consequent impact;
  4. Identify measures that are proportional to the level of risks and impacts associated to the project or the programme;
  5. Define and assign roles and responsibilities for each identified risk/impact;
  6. Monitor risk mitigation progress and report the status of all risks and impacts on a regular basis;
  7. Monitor the occurrence of unexpected events and/or impacts, and in case of occurrence, design and implement management plans; and
  8. Continuously review and update risks and impacts.
57. The ESSS Procedure for Assessment, Management and Monitoring is as follows. It starts with a Risk Categorization of a project or a programme into one of five risk or impact classifications: A, B, C, D or E (see below). In determining the appropriate risk category, UN-Habitat will consider several project-/programme-specific aspects, such as the type, location, sensitivity, and scale of the project/programme; the nature and magnitude of the potential environmental and social risks and impacts, including those related to natural hazards and climate change; and the capacity and commitment to manage the environmental and social risks and impacts in a manner consistent with the Safeguards. The following is the Risk Categorization (See [Annex 1B](#): Project/Programme Risk Categorization for details):

1. Category A: Projects and programmes that can potentially cause significant negative environmental or social impacts, or have profound implications affecting natural resources;
  2. Category B: Projects and programmes that have the potential to cause mostly local and short-term negative environmental or social impacts and for which effective mitigation measures are known and readily available;
    - 1.2.1. Category B1: Projects and programmes that require the application of a full ESIA process; and
    - 1.2.2. Category B2: Projects and programmes that do not require a full ESIA process but only an Environmental and Social Action Plan (ESAP).
  3. Category C: Projects and programmes that are likely to cause minimal environmental or social impacts;
  4. Category D: Projects and programmes that are likely to cause no or negligible negative environmental or social impacts;
    - 1.4.1. Category D1: No-risk projects and programmes with potential risks in the future; and
    - 1.4.2. Category D2: No-risk projects and programmes.
  5. Category E: Projects and programmes in response to a conflict or environmental hazard (emergency / humanitarian projects/programmes) focusing on Risk reduction and Rehabilitation that can potentially cause significant environmental and social impacts or have profound implications affecting natural resources. Category E projects and programmes should timely be recategorized upon finalization of response to a conflict or environmental hazard, and be recategorized to Category A, B1, B2, C, D1 or D2.
58. The Risk Categorization guides the extent and scope of the E&S management. Depending on the categorization, each UN-Habitat project and programme will go through the ESSS process defined in Figure 1, depending on the classification of risks and impacts. The ESSS procedure includes the screening, scoping, ESIA full report or ESMP, monitoring and stakeholder engagement. Supporting tools are provided for each stage of the project/programme lifecycle to address E&S management in Appendix 1 to Appendix 7.
59. UN-Habitat will review the classification assigned to the project/programme as needed, and reclassify as needed, based on changes in the scope of the project/programme and/or emerging risks and impacts arising from the project/programme identified during the review moments (as part of the monitoring tasks described below).
60. Where the project or the programme involves specific activities, parts, and works that are likely to be sources of impacts, environmental and social risks and impacts will be identified in the context of the project's/programme's area of influence and then be assessed. This area of influence encompasses, as appropriate, the area likely to be affected by:
1. The project/programme and Implementing Partner's activities and facilities that are directly owned, operated, or managed by the Implementing Partner and its contractors, and that are a component of the project/programme;
  2. Impacts from unplanned but predictable developments caused by the project/programme that may occur later and/or at a different location;

3. Indirect project/programme impacts<sup>11</sup> on the environment;
  4. Associated facilities, where: (a) A common approach has been agreed for the project or the programme, the common approach will apply to the Associated Facilities; (b) Associated Facilities are being funded by other multilateral or bilateral funding agencies, UN-Habitat may agree to apply the requirements of such other agencies for the assessment and management of environmental and social risks and impacts of the Associated Facilities, provided that such requirements will enable the project/programme to achieve objectives materially consistent with the ESSS; and
  5. Cumulative impacts that result from the incremental impact, on areas or resources used or directly impacted by the project/programme, from other existing, planned or reasonably defined developments at the time the risks and impacts identification process is conducted.
61. During the identification of activities, parts and facilities of the project/programme that are likely to generate risks and impacts, it is also necessary to identify people and groups as well as aspects of the environment that may be impacted. At the same time, and in line with the Safeguards, it will be necessary to identify people and/or groups that may be differentially or disproportionately affected by the project/programme because of their disadvantaged or vulnerable status.
  62. Where the identified risks and impacts cannot be avoided, an Environmental and Social Management Plan (ESMP) needs to be established to address the identified environmental and social risks and impacts of the project/programme. The ESMP will define the desired outcomes to address the issues raised in the risks and impacts assessment process, as measurable events to the extent possible, with elements such as performance indicators, targets that can be tracked over defined time periods, and with estimates of the resources and responsibilities for implementation. Chapter 7 describes the safeguards system templates required for each project and programme and depending on the categorization of the project/programme, Appendix 3 and Appendix 4 include templates for parts of the ESMPs.
  63. Depending on the nature and scale of the project/programme, these ESMP may consist of some documented combination of operational procedures, practices, plans, and related supporting documents (including legal agreements) that are managed in a systematic way. Depending on who will be involved in the implementation/construction and operation phases of the project/programme, this ESMP applies to interested and affected parties.
  64. In case people or groups are identified as disadvantaged or vulnerable, it will be necessary to propose and implement differentiated measures so that adverse impacts do not fall disproportionately on them, and they are not disadvantaged in sharing development benefits.
  65. Additional to the Management Plans, actions will need to be in place to make the project/programme to operate in compliance with applicable laws and regulations and meet the requirements of the Safeguards.
  66. When the projects/programmes initiate implementation phases, an E&S monitoring plan will be put in place, which will be aimed at reviewing:
    1. The effectiveness of the management programme defined for addressing E&S risks and impacts.
    2. Compliance with any related legal and/or contractual obligations and local regulatory requirements.

---

<sup>11</sup> An indirect impact is an impact which is caused by the project and is later in time or farther removed in distance than a direct impact, but is still reasonably foreseeable, and will not include induced impacts.

3. The level of compliance of the project/programme with the Safeguards and with any other agreed actions at the time of project/programme approval.
  4. The occurrence of unexpected impacts.
67. The extent and mode of monitoring with respect to environmental and social performance will vary proportionately to the potential environmental and social risks and impacts of each project and programme. UN-Habitat will review and agree on the necessary preventive and corrective measures and additional actions that are required to support the achievement of compliance.
  68. The results of the E&S Monitoring Plan will be considered as an input for the project/programme evaluation moments. As stated in the UN-Habitat Evaluation Policy, "Monitoring and Evaluation are distinct but complementary functions. Successful evaluation hinges on the successful monitoring data that can be used in evaluation".
  69. Project-/programme-related documents will be subject to the Transparency Guiding Principle, as defined in UN-Habitat's Programme Accountability Framework. UN-Habitat will disclose relevant documentation relating to the environmental and social risks and impacts of all projects and programmes classified as Risk Category A or B to people involved or affected by the project/programme. This documentation will reflect the assessment and proposed management of the key environmental and social risks and impacts of the project/programme.
  70. In the event of risks and impacts in the project's/programme's area of influence resulting from an interested parties' actions, UN-Habitat and/or the interested party will address those risks and impacts in a manner commensurate with the control and influence over the third parties, and with due regard to conflict of interest.
  71. Where other government agencies or third parties have responsibility for managing specific risks and impacts and associated mitigation measures, UN-Habitat and/or the interested parties will monitor such mitigation measures.
  72. Where appropriate, UN-Habitat and/or the interested parties will consider involving representatives from project-/programme-affected communities and other relevant stakeholders to participate in monitoring activities, incorporating thus methods and indicators meaningful to the stakeholders. The process of public consultation and stakeholder engagement is further explained in Sections 5.4 and 7.5 for the organizational and project/programme levels, respectively, as well as in Appendices 2, 3 and 4, depending on the process carried out for each project and programme.
  73. For projects and programmes with significant impacts or that require very specific technical knowledge to mitigate, UN-Habitat and/or the interested parties may hire external experts to verify its monitoring information.
  74. UN-Habitat and/or the interested parties will prepare periodic E&S performance reports of projects and programmes (for project/programme categories A, B, C and E), to report the effective implementation of the ESSS Procedure.

### 5.3 Roles and Responsibilities

75. The following roles are involved in the organizational oversight of environmental and social impacts of all projects and programmes, and in ensuring that projects and programmes uphold standards of social inclusion and non-discrimination, economic growth and balance territorial development, climate mitigation and ecological sustainability:

1. Projects and programmes

**Responsible** – Project and Programme Managers / Regional Office HSOs Section Heads (lead section) / Regional Representatives / Programme Review Committee (PRC) and PRC Working Group Chair

**Accountable** – Division Directors

**Consulted** – Implementation Team / Implementation Lead<sup>12</sup> for high and medium risk (A, B1, B2) projects/programmes, Section Heads (partner sections), Regional Representatives (partner Regional Offices)

**Informed** – Social Inclusion Unit

## 2. Organizational

**Responsible** – Implementation Team / Implementation Lead

**Accountable** – Executive Director

**Consulted** – Division Directors

**Informed** – Branch Coordinators and Regional Representatives

76. Beside these responsibilities for overseeing the E&S performance of projects and programmes, UN-Habitat acknowledges the need to include in the organizational structure dedicated roles with the responsibility to lead and collaborate in managing the environmental and social risks and impacts at the project/programme level, working with the project and programme managers and other team members. Thus, key environmental and social responsibilities are defined and communicated to the relevant personnel and to the rest of UN-Habitat.
77. UN-Habitat has committed to install an ESSS Implementation Lead<sup>13</sup> for leading the implementation and strengthening the ESSS and included responsibilities to key support roles within UN-Habitat. At least until the hiring of the ESSS Implementation Lead and likely beyond, the ESSS Implementation Team will help to secure the support of senior management and of human and financial resources to achieve effective and continuous E&S performance and ESSS implementation within UN-Habitat.
78. The ESSS Implementation Team is formed by representative of each of the following entities (see [Appendix 8](#)):
1. Office of the Executive Direction/Legal Office: one representative;
  2. Office of the Executive Direction/Evaluation: one representative;
  3. External Relations, Strategy, Knowledge and Innovation Division: four representatives (Programme Review Committee Secretariat; Strategic Planning Unit; External Relations and Partnerships Branch and Knowledge and Innovation Branch);
  4. Urban Practices Branch, Global Solutions Division (GSD): five representatives;
  5. Programme Development Branch, GSD: three representatives;
  6. Regional Programme Division: five representatives (1 from the Division, one each nominated by the Regional Representatives); and
  7. Management Advisory and Compliance Service: two representatives (Oversight and Internal Controls Unit and Logistics Unit).
79. Once hired, and supported by the Implementation Team, the main responsibilities of the ESSS Implementation Lead (see further [Appendix 10](#)) are:

<sup>12</sup> Please see paragraphs 77 and 78 below on the definition and scope of the Implementation Team and the Implementation Lead.

<sup>13</sup> Once recruited the title of such personnel might be Environmental and Social Safeguards Officer / Expert or Sustainability Officer / Expert (if the role also encompasses broader Environmental and Social Governance of the agency).

1. Promoting, developing and supporting the implementation of the Environmental and Social Safeguards System of UN-Habitat. The ESSS Officer will head the ESSS office, provide independent oversight of the application of the ESSS Framework.
  2. Lead the ESSS Implementation Team comprised of UN-Habitat personnel, designated by the Deputy Executive Director, which will support ESSS implementation.
  3. Ensure organizational compliance with the ESSS; and
  4. Ensure compliance of project/programme approval, implementation, monitoring and reporting requirements with the ESSS framework.
80. To secure the adequate professional capacity, UN-Habitat provides E&S training according to the E&S training plan, including building online courses and programmes to strengthen the capacity of project and programme managers and support staff. The support for capacity building within UN-Habitat will be provided in a manner that is proportionate to the risk level of projects and programmes and to meet project/programme specific requirements.
81. At the project/programme level, specific roles and responsibilities are determined on the basis of the following steps:
1. Identification of the required tasks for assessment, management and monitoring of environmental and social risks and impacts of projects and programmes;
  2. Identification of responsibilities, duties and tasks, as determined in the different phases of the project/programme lifecycle; and
  3. Identification of the responsible role for each task, based on the necessary technical profile.

## 5.4 Stakeholder Engagement

82. UN-Habitat recognizes that engaging stakeholders is fundamental for ensuring that the projects and the programmes it implements are embedded in the social and environmental context in which they are carried out and promotes constructive relationships and mutual understanding between all the parties that are involved.
83. Stakeholder Engagement is based on the need to build relationships of trust and transparency between all the stakeholders, but it is also based on the right of potentially affected people to consultation and participation throughout a project's or a programme's lifecycle. This sets the necessary basis to build and maintain social acceptance vis-à-vis the project/programme as well as potential future project/programme activities and plans.
84. The scope of the Stakeholder Engagement will differ according to the degree of potential impacts of the project or the programme on different groups of stakeholders, as well as the diverging level of influence that different stakeholders exercise on a given project or programme.
85. UN-Habitat understands the stakeholder engagement as an ongoing process that may involve, to varying degrees, the following elements: stakeholder analysis and planning; disclosure and dissemination of information; consultation and participation; grievance mechanism, and ongoing reporting to people and other stakeholders involved in or affected by the project or the programme. The nature, frequency, and level of effort of stakeholder engagement may vary considerably and will be commensurate with the project's/programme's risks and adverse impacts, and the project's/programme's phase of development or implementation.
86. Stakeholder analysis and planning is to be carried out at the earliest possible stage of each project and each programme phase. Stakeholders may vary over the course of a



project/programme; UN-Habitat thus considers stakeholder engagement and planning is an iterative process that will be conducted at start of every project/programme phase. The engagement begins with identification of relevant stakeholders through a stakeholder analysis, mapping and characterizing as many stakeholders as possible, in order to achieve an appropriate understanding of the people, groups and organizations that could relate to the project/programme. Stakeholders can be grouped into categories, and it is important to understand their relationship with the project/programme and how the project/programme can potentially affect them.

87. Disclosure of Information: the first level of engagement is the disclosure of the information, and it refers to the dissemination of project/programme information to a wider public. Project-/programme-related information that should be disseminated, includes at least information about the project/programme objectives, the different phases of project/programme execution (construction, operation & maintenance, demobilization). Technical information disclosure should be available for all stakeholders and be communicated in ways that can be accessed and understood by all stakeholders (e.g., provided in local dialects, written in a style suitable to different education levels, verbally for illiterate people, for hearing and visual impaired persons, etc.).
88. Meaningful Consultation: When project-/programme-affected people and other stakeholders are subject to identified risks and adverse impacts from a project or a programme, UN-Habitat and/or the interested parties will undertake a process of consultation in a manner that provides the project-/programme-affected people and other relevant stakeholders with opportunities to express their views, without the fear of reprisals, on project/programme risks, impacts and mitigation measures, and allows UN-Habitat and/or the interested parties to responsibly consider and respond to them.
89. Pertinent consultation: UN-Habitat and/or the interested parties will tailor its consultation process to the language preferences of the project-/programme-affected people, their decision-making process, and the needs of disadvantaged or vulnerable groups, maintaining realistic expectations of the consultation process.
90. Informed Consultation and Participation: For projects and programmes with potentially significant adverse impacts on people, groups or on the environment, a process of Informed Consultation and Participation (ICP) will be implemented. ICP involves a more in-depth exchange of views and information, and an organized and iterative consultation, leading to the incorporation of stakeholder input and feedback to the project or the programme into the decision-making process. The consultation process should:
  1. Capture different views, if necessary, through separate engagements activities; and
  2. Reflect different concerns and priorities about impacts, mitigation mechanisms, and benefits, where appropriate.
91. The stakeholder consultation process and decisions reached will be documented and included in reports by UN-Habitat and/or interested parties, with special attention to give account of how, during the decision-making process, the input from stakeholders was considered to avoid or minimize risks and adverse impacts on project-/programme-affected people. Templates for these reports can be found on Appendices 1 - 4, depending on the part of the ESSS process carried out in the project or programme.
92. Women and girls; youth and children; and persons with disabilities: if a project or a programme involves negative impacts to any of these groups, special consideration needs to be given to engaging them in a process of ICP.
93. In line with the standards adopted by UN-Habitat's partners, in case the project/programme has negative impacts on Indigenous People and/or groups it may be also required to obtain their Free, Prior, and Informed Consent (FPIC). Other special requirements related to these groups are further detailed in the Safeguards (Chapter 6. Safeguards).

94. Collaboration and coordination for stakeholder engagement: in case the implementation of the project or a programme is delegated to another party, UN-Habitat will play an active role in the implementation of the engagement activities, and in monitoring that stakeholder engagement follows the requirements included in the ESSS.
95. Reporting to Project-/Programme-Affected People and Other Relevant Stakeholders: as part of the project/programme reporting for management purposes, E&S information about the project/programme will be delivered to project-/programme-affected people and other relevant stakeholders. The report will include the progress of the project implementation and ongoing risk or impacts, and any pertinent issues related to the consultation process or grievance mechanism. The frequency of these reports will be proportionate to the concerns of project-/programme-affected people and other relevant stakeholders but not less than annually.
96. Grievance Mechanism: UN-Habitat has implemented an effective grievance mechanism to receive and assist with the resolution of any concerns and grievances of stakeholders that may arise in connection with the project's/programme's E&S performance. UN-Habitat believes that prompt consideration and resolution of grievances could provide the fastest relief for complaints, clarify expectations, and build confidence amongst stakeholders.
97. Stakeholders may submit complaints regarding a UN-Habitat project or programme through the UN-Habitat communication system that is part of the grievance mechanism. The communication channel will be available online, access the form at <https://unhabitat.org/contact>; by email to [unhabitat.esss@un.org](mailto:unhabitat.esss@un.org); or by letter or by hand delivery to the UN-Habitat Headquarters in Nairobi, Kenya or any UN-Habitat Office: print and use the form available online. When bringing their concerns to UN-Habitat's attention, UN-Habitat will respond within a reasonable timeframe following these steps:
1. Receive and register communications from the public;
  2. Screen and assess the issues raised and determine how to address them;
  3. Provide, track, and document responses, if any; and
  4. Adjust the management programme, as appropriate.

## 6. Safeguards

98. Safeguards are topics or issues that must be taken into account when the environmental and social performance of the project/programme is managed. The backbone of this ESSS are the 15 Safeguards which are comprised of nine principles, four social inclusion issues and two cross-cutting thematic areas. Each Safeguard has objective(s) and requirements, which provide guidance on how to identify and address risks and impacts throughout a project's/programme's lifecycle.
99. The selection of the Safeguards has been based on multiple reference frameworks, considering key cross-cutting topics within the UN, but also key requirements of multilateral agencies and donors. Thus, this comprehensive selection resulted in a more extensive set of topics than that included in the standards that were used as a reference for the ESSS, such as the IFC Performance Standards.
100. The procedures in Sections 6.1 to 6.3 (and Appendix 1) provide requirements on how the environmental and social management process should be proportionally developed, and the Safeguards guide on what to include. The Safeguards are included in the ESSS as follows: (1) in the environmental and social scoping/screening and impact assessment process, to identify risks and impacts arising from a project or a programme; and (2) in the formulation phase, to strengthen synergies and ensuring that project/programme outcomes reach all intended beneficiaries, particularly people in vulnerable situations.
101. Projects and programmes must identify the applicability of Safeguards in the development phase (as stated in Section 7.1) and then, report on how these will be addressed in the design, implementation and monitoring phases. When the applicability of a Safeguard is discarded, this should be clearly explained and justified, considering that donors or interested parties may not always comprehend the reasoning behind this. Finally, discarding the applicability of a Safeguard does not mean that it can be completely forgotten, as its applicability will be again assessed at the later stages.

### 6.1. E&S Principles

102. The Environmental and Social Principles are a sub-component of Safeguards. They align the E&S Management of UN-Habitat's projects and programmes with the common practice of environmental and social impact assessment, as well as with the safeguards systems of most international and multilateral agencies and donors.
103. There are nine E&S Principles which shall be applied on all UN-Habitat projects and programmes (see discussion below):
  1. Labour and Working Conditions,
  2. Zero-Carbon Development, Pollution Prevention and Resource Efficiency,
  3. Climate Change Resilience, Community Health, Safety and Security,
  4. Displacement and Involuntary Resettlement,
  5. Biodiversity Conservation and Sustainable Management of Living Natural Resources,
  6. Indigenous Peoples,
  7. Cultural Heritage,
  8. Compliance with the Law, and
  9. Access and Spatial Justice.

## 6.1.1. Principle 1: Labour and Working Conditions

104. The Safeguard Principle 1 contributes directly to the following SDGs: 5, 8 and 9.

105. UN-Habitat greatly values its workforce and the workforce employed for projects and programmes. UN-Habitat is committed to complying with the international conventions of the International Labour Organization and the United Nations and promotes efforts to go beyond protecting workers' fundamental rights, by providing a sound worker-management relationship.

### Objectives

1. Provide healthy and safe occupational conditions to workers involved in the different activities and phases of the project/programme, taking into account inherent risks associated with the different types of activities, as well as behavioural safety;
2. Establish, maintain and improve a positive, open and respectful working environment and worker-management relationship amongst UN-Habitat, Interested and Affected Parties with a particular emphasis on women and persons with disability;
3. Hiring, remuneration, access to training, promotion, termination and retirement, shall be based on the principle of equal opportunity and fair treatment;
4. Protect the labour rights and integrity of project/programme workers, including vulnerable categories of project/programme workers; and
5. Avoid, under all circumstances, the use of forced labour, modern slavery and child labour. No trafficked persons will be employed in connection with the project/programme.<sup>14</sup>

### Minimum Requirements

1. Provide workers with clear and understandable information on their rights, including those related to hours of work, working conditions, compensation, occupational health & safety principles, and benefits.
2. Consider contract workers, and with special focus on vulnerable categories of workers such as, migrant workers, workers engaged by third parties, and workers in primary supply chain.
3. Monitor that in the project/programme:
  - Fair treatment, non-discrimination and equal opportunity of workers is promoted;
  - There are no restrictions for workers from joining or forming workers' organizations or collective bargaining, nor retaliation against workers who organize;
  - Special protection of young workers (16-18 years, depending on national legal provisions), and no use of child labour (children under the age of 16, depending on national legal provisions) in any manner that is economically exploitative or harmful to the child's health, education, or social development; and
  - There is no forced labour or link to human trafficking.
4. Create, implement, and publicize an effective grievance mechanism for employees, that is transparent, non-retaliatory, and easy to access.

<sup>14</sup> As understood by ILO standards

## 6.1.2. Principle 2: Zero-Carbon Development, Pollution Prevention and Resource Efficiency

106. The Safeguard Principle 2 contributes directly to the following SDGs: 6, 7, 9, 11, 12 & 13.
107. UN-Habitat recognizes that increased urbanization often generates increased levels of pollution of air, water, and land, and consumes finite resources in a manner that may threaten people and the environment at the local, regional and global levels. UN-Habitat requires projects and programmes in which it is involved to be in line with the Paris Agreement under the United Nations Framework Convention on Climate Change.

### Objectives

1. To avoid or minimize adverse impacts on human health and the environment by avoiding or minimizing pollution from project/programme activities;
2. To promote more sustainable use of resources, including energy and water;
3. To reduce project-/programme-related emissions of Greenhouse Gases (GHG);
4. To avoid or minimize the generation of hazardous waste; and
5. To minimize and manage the risks and impacts associated with pesticide use.

### Minimum Requirements

1. Consider environmental conditions and apply technically and financially feasible resource efficiency and pollution prevention principles and techniques that are best suited to avoid, or where avoidance is not possible, minimize adverse impacts on human health and the environment;
2. Avoid the release of pollutants or, when avoidance is not feasible, minimize and/or control the intensity and mass flow of their release. This applies to the release of pollutants to air, water, and land due to routine, non-routine, and accidental circumstances with the potential for local, regional, and transboundary impacts;
3. Avoid the generation of hazardous and non-hazardous waste materials;
4. Avoid or, when avoidance is not possible, minimize and control the release of hazardous materials. In this context, the production, transportation, handling, storage, and use of hazardous materials for project/programme activities should be assessed; and
5. With regards to climate change, projects and programmes should include a GHG emission estimate, and propose an alternative approach to avoid emissions. In case emissions cannot be avoided, a management plan should be put in place.

## 6.1.3. Principle 3: Climate Change Resilience, Community Health, Safety and Security

108. Safeguard Principle 3 contributes directly to the following SDGs: 3 & 8.
109. UN-Habitat recognizes that project/programme activities, equipment, and infrastructure can increase community exposure to risks and impacts including those caused by climate change, natural or human caused hazards. In addition, UN-Habitat recognizes that communities that are already subjected to these impacts may also experience an indirect acceleration and/or intensification of impacts due to project/programme activities. Where technically and financially feasible, the interested parties will also

apply the concept of universal access<sup>15</sup> to the design and construction of such new buildings and structures.

110. UN-Habitat also recognizes that projects and programmes should address risks and impacts related to transportation (transport of materials and people) in particular accidents and injury and the prevention of communicable diseases, including a response to health emergencies and pandemics. These are key to protect community health, safety and security.

### Objectives

1. To anticipate and avoid adverse impacts on the health and safety of the project-/programme-affected people during the project/programme lifecycle from both routine and non-routine circumstances;
2. To provide minimum requirements so safeguarding of personnel and property is carried out in accordance with relevant human rights principles and in a manner that avoids or minimizes risks to the project-/programme-affected people including occupational safety and health measures; and
3. To anticipate and avoid adverse impacts on the project/programme itself from hazards and climate change during the project/programme lifecycle.

### Minimum Requirements

1. Evaluate the risks and impacts to the health and safety of the project-/programme-affected people during the project/programme lifecycle and establish preventive and control measures consistent with good international industry practice (GIIP), such as in the World Bank Group Environmental, Health and Safety Guidelines (EHSG) or other internationally recognized sources including but not limited to protection from occupational carcinogens, injuries, particulate matters (e.g. gases and fumes) and noise;
2. The project's/programme's direct impacts on priority ecosystem services may result in adverse health and safety risks and impacts to the project-/programme-affected people. Where appropriate and feasible, identify those risks and potential impacts on priority ecosystem services that may be exacerbated by natural hazards and climate change;
3. Avoid or minimize transmission of communicable diseases that may be associated with the influx of temporary or permanent project/programme labour;
4. Prepare an Emergency Preparedness and Response Plan (EPRP) so that the project/programme team can assist and collaborate with the project-/programme-affected people, local government agencies, and other relevant parties, in their preparations to respond effectively to emergency situations, especially when their participation and collaboration are necessary to respond to such emergency situations;
5. Identify and assess the potential risks caused by natural hazards, such as earthquakes, droughts, landslides, or floods including those caused or exacerbated by climate change, as these relate to the project/programme;
6. When the project or the programme retains direct or contracted workers to provide security to safeguard its personnel and property, it will assess risks posed by its security arrangements to those within and outside the project/programme site; and
7. Consider and, where appropriate, investigate all allegations of unlawful or abusive acts of personnel, take action (or urge appropriate parties to take action) to prevent

<sup>15</sup> The concept of universal access means unimpeded access for people of all ages and abilities in different situations and under various circumstances, as set out in GIIP.

recurrence, and report unlawful and abusive acts to the appropriate public authorities.

#### 6.1.4. Principle 4: Displacement and Involuntary Resettlement

111. Safeguard Principle 4 contributes directly to the following SDGs: 1, 2, 3, 8 & 10 & 11.
112. UN-Habitat recognizes that project-/programme-related land acquisition and restrictions on land use can have adverse impacts on communities and persons that use this land.
113. Resettlement refers to both 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-/programme-related activities.
114. 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.
115. UN-Habitat may be called upon to support interested parties' activities that could lead to involuntary resettlement of individuals or communities. In that case, UN-Habitat collaboration shall be undertaken only in exceptional circumstances with full justification, appropriate protection and compensation. Activities implemented by the interested parties following the completion of the project or the programme where UN-Habitat is not involved, or activities that are not directly related to the technical assistance, are not subject to the ESSS.

##### Objectives

1. Prohibit forced evictions;<sup>16</sup>
2. Avoid voluntary and involuntary resettlement in UN-Habitat's projects and programmes and, when it is not possible to avoid, define appropriate forms of legal protection and physical and/or financial compensation; and
3. Avoid, or where avoidance is not possible, minimize adverse impacts from asset or land acquisition or restrictions on asset or land use by providing physical and/or financial compensation for loss of assets.

##### Minimum Requirements

1. Provide a detailed description of the people or community to be displaced. Describe their current situation from, at least, a demographic, social, economic anthropologic perspective;
2. Design a resettlement plan, which organizes and coordinates different actions and programmes to address resettlement;
3. 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. This compensation should improve or restore the livelihoods and the standards of living of displaced people; and
4. 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/programme development phase.

---

<sup>16</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))

### 6.1.5. Principle 5: Biodiversity Conservation and Sustainable Management of Living Natural Resources

116. Safeguard Principle 5 contributes directly to the following SDGs: 2, 6, 14 & 15
117. UN-Habitat recognizes that protecting and conserving biodiversity, maintaining ecosystem services, and sustainably managing living natural resources are fundamental to sustainable development.
118. UN-Habitat recognizes that ecosystem services are the benefits that people, including businesses, derive from ecosystems. Ecosystem services are organized into four types: (i) provisioning services, which are the products people obtain from ecosystems; (ii) regulating services, which are the benefits people obtain from the regulation of ecosystem processes; (iii) cultural services, which are the nonmaterial benefits people obtain from ecosystems; and (iv) supporting services, which are the natural processes that maintain the other services.
119. UN-Habitat recognizes that ecosystem services valued by humans are often underpinned by biodiversity. Impacts on biodiversity can therefore often adversely affect the delivery of ecosystem services.

#### Objectives

1. To protect and conserve biodiversity;
2. To protect and conserve ecosystems and maintain the benefits from the services they provide; and
3. To promote the sustainable management of living natural resources through the adoption of practices that integrate conservation needs and development priorities.

#### Minimum Requirements

1. The risks and impacts identification process should consider direct and indirect project-/programme-related impacts on biodiversity and ecosystem services and identify any significant residual impacts. As a matter of priority, the project/programme should seek to avoid impacts on biodiversity and ecosystem services;
2. For the protection and conservation of biodiversity, the mitigation hierarchy includes biodiversity offsets, which may be considered only after appropriate avoidance, minimization, and restoration measures have been applied;



3. Project and programme activities will not be implemented in areas of critical habitat,<sup>17</sup> unless all of the following are demonstrated:
  - No other viable alternatives within the region exist for development of the project or the programme on modified or natural habitats that are not critical;
  - The project/programme does not lead to measurable adverse impacts on those biodiversity values for which the critical habitat was designated, and on the ecological processes supporting those biodiversity values;
  - The project/programme does not lead to a net reduction in the global and/or national/regional/local population of any endangered species; and
  - A robust, appropriately designed, and long-term biodiversity monitoring and evaluation programme is integrated into UN-Habitat's management programme.
4. In those cases where the project/programme meets the requirements defined above, the project's/programme's mitigation strategy will be described in a Biodiversity Action Plan and will be designed to achieve net gains of those biodiversity values for which the critical habitat was designated;
5. In circumstances where a proposed project/programme is located within a legally protected area or an internationally recognized area, the project/programme will aim to meet the requirements of this Safeguard Principle, as applicable. In addition, the project/programme will:
  - Demonstrate that the proposed development in such areas is legally permitted;
  - Act in a manner consistent with any government recognized management plans for such areas;
  - Consult protected area sponsors and managers, the project-/programme-affected people, Indigenous Peoples and other stakeholders of the proposed project/programme, as appropriate; and
  - Implement additional programmes, as appropriate, to promote and enhance the conservation aims and effective management of the area.
6. Where a project/programme is likely to adversely impact ecosystem services, as determined by the risks and impacts identification process, the project/programme will conduct a systematic review to identify priority ecosystem services. Priority ecosystem services include: (i) services on which project/programme operations are most likely to have an impact and, therefore, could lead to adverse impacts to project-/programme-affected people; and/or (ii) services on which the project/programme is directly dependent for its operations (e.g., water); and
7. Adverse impacts should be avoided on ecosystem services of relevance for project-/programme-affected people and where there is direct management control or significant influence over such ecosystem services.

### 6.1.6. Principle 6: Indigenous Peoples

120. Safeguard Principle 6 contributes directly to the following SDGs: 1, 10 & 16.

121. UN-Habitat recognizes Indigenous Peoples as social groups with identities that are distinct from mainstream groups in national societies. In this ESSS, the term "Indigenous Peoples" (or as they may be referred to in the national context using an

---

<sup>17</sup> Critical habitats are areas with high biodiversity value, including (i) habitat of significant importance to Critically Endangered and/or Endangered species; (ii) habitat of significant importance to endemic and/or restricted-range species; (iii) habitat supporting globally significant concentrations of migratory species and/or congregatory species; (iv) highly threatened and/or unique ecosystems; and/or (v) areas associated with key evolutionary processes.

alternative terminology) is used in a generic sense to refer exclusively to a distinct social and cultural group possessing the following characteristics in varying degrees:

- 121.1. Self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others; and
  - 121.2. Collective attachment<sup>18</sup> to geographically distinct habitats, ancestral territories, or areas of seasonal use or occupation, as well as to the natural resources in these areas; and
  - 121.3. Customary cultural, economic, social, or political institutions that are distinct or separate from those of the mainstream society or culture; and
  - 121.4. A distinct language or dialect, often different from the official language or languages of the country or region in which they reside.
122. UN-Habitat appreciates that Indigenous People cultural and economic practices may be more dependent on eco-system services and are thus more vulnerable to the environmental impact of a project or a programme. In the project/programme area of influence with presence of Indigenous Peoples, a specific analysis should be made. The risks and impacts may include loss of identity, culture, and natural resource-based livelihoods.

### Objectives

1. Provide minimum requirements so that the project/programme avoids or addresses risks and impacts that may affect the human rights, dignity, aspirations, culture, and natural resource-based livelihoods of Indigenous Peoples; and
2. Provide minimum requirements to achieve Free, Prior and Informed Consent (FPIC) of Indigenous Peoples where their rights, lands, resources, territories, traditional livelihoods may be affected. Consent refers to the collective support of affected Indigenous Peoples communities for the project/programme activities that affect them, reached through a culturally appropriate process.

### Minimum Requirements

1. Identify and characterize Indigenous Peoples that may be affected by the project/programme;
2. When impacts cannot be avoided, define measures in order to minimize, restore or compensate these impacts in a culturally sensitive manner;
3. Justify when:
  - Indigenous Peoples will be relocating from land or natural resources that they have traditionally occupied.
  - Their cultural heritage will be significantly impacted.
4. In these cases, FPIC must be obtained; and
5. Promote participation of Indigenous Peoples in the project/programme activities and stakeholder consultations.

## 6.1.7. Principle 7: Cultural Heritage

123. Safeguard Principle 7 contributes directly to the following SDGs: 8, 11 & 16.

---

<sup>18</sup> "Collective attachment" means that for generations there has been a physical presence in and economic ties to land and territories traditionally owned, or customarily used or occupied, by the group concerned, including areas that hold special significance for it, such as sacred sites.

124. UN-Habitat recognizes the importance of cultural heritage for current and future generations and aims to manage the protection of cultural heritage in the course of relevant project/programme activities.
125. In this context, the term "cultural heritage" includes tangible and intangible<sup>19</sup> heritage, which may be recognized and valued at the local, regional, national or global level.

### Objectives

1. Protect cultural heritage from adverse impacts that may result in its damage, alteration, removal or misuse;
2. UN-Habitat, in consultation with project-/programme-affected parties (including individuals and communities), will determine whether disclosure of information regarding cultural heritage would compromise or jeopardize the safety or integrity of the cultural heritage or would endanger sources of information. In such cases, sensitive information may be omitted from public disclosure. If the project-/programme-affected parties (including individuals and communities) hold the location, characteristics, or traditional use of the cultural heritage in secret, UN-Habitat will put in place measures to maintain confidentiality; and
3. In case adverse impacts cannot be avoided, define measures to address these impacts.

### Minimum Requirements

1. Include in the description of the project's/programme's context (baseline studies) the cultural heritage present in or near the project/programme site and the surrounding area;
2. Identify and avoid significant adverse risks and impacts on tangible cultural heritage or unique natural features that embody cultural values. Where avoidance is not possible - proportionally secure that all viable and feasible alternatives have been explored - minimize and mitigate impacts through a Management Plan;
3. Promote meaningful participation and consultation with stakeholders regarding characterization, protection, utilization and management of cultural heritage in or near a project/programme site and its surroundings; and
4. When the project/programme involves cultural heritage, the Management Plan should include measures to secure the continued access of the local stakeholders to the site.

## 6.1.8. Principle 8: Compliance with the Law

126. Safeguard Principle 8 contributes directly to the SDG 16.
127. UN-Habitat recognizes the importance that projects and programmes promoted by UN-Habitat comply with all applicable domestic and international laws.

### Objective

1. Ensure that projects and programmes comply with local and national regulations as well as international standards, and that, where host country regulations differ from

---

<sup>19</sup> Tangible cultural heritage includes movable or immovable objects, sites, structures, groups of structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. Tangible cultural heritage may be located in urban or rural settings and may be above or below land or under the water. Intangible cultural heritage, which includes practices, representations, expressions, knowledge, skills - as well as the instruments, objects, artifacts and cultural spaces associated therewith - that communities and groups recognize as part of their cultural heritage, as transmitted from generation to generation and constantly recreated by them in response to their environment, their interaction with nature and their history.

the requirement of international standards, projects and programmes are aligned with whichever framework is more stringent, local or international.

### **Minimum Requirements**

1. Include as section in the reports, a description of the legal and regulatory framework for any project/programme activity that may require prior permission (such as planning permission, environmental permits, construction permits, permits for water extraction, emissions, and use or production or storage of harmful substances);
2. Identify whether host countries of projects/programmes are cited in any Human Rights Council Special Procedures (by either country or theme) and develop a list with relevant human rights issues;
3. Monitor compliance with national employment and labour laws;
4. Ensure that projects and programmes are based on the human rights standards contained in, and the principles derived from, the Universal Declaration of Human Rights and other international human rights instruments; and
5. Review the status of ratification and entry into force of the 1972 UNESCO Convention Concerning the Protection of the World Cultural and Natural Heritage by the country.

### **6.1.9. Principle 9: Access and Spatial Justice**

128. Safeguard Principle 9 contributes directly to the following SDGs: 10 and 16.

129. UN-Habitat promotes equal access to benefits in its projects and programmes and consider that addressing environmental and social risks and impact management plays a key role in seeking spatial justice. Thus, by addressing the principles of "do even better" and "leave no one behind" in the fight against spatial injustice, it is crucial to ensure access to benefits, justice and non-discrimination across all projects and programmes.

#### **Objectives**

1. To ensure fair access of all relevant stakeholders to UN-Habitat's projects and programmes;
2. To ensure fair and equitable access to project/programme measures and benefits;
3. To ensure that environmental and social risks and impacts are treated equally to achieve just project/programme outcomes; and
4. To ensure zero tolerance to environmental or social discrimination.

### Minimum requirements

5. Include in the impact assessment analysis the process of allocating and distributing environmental and social project/programme benefits and show how this process ensures fair and impartial access to these benefits;
6. Explicitly state that there will be neither environmental or social discrimination nor favouritism in accessing project/programme benefits; and
7. Define a Stakeholder Engagement Plan to ensure equal access to the process of participation and consultation for all stakeholders.

## 6.2. Social Inclusion Issues

130. Like the E&S Principles, the Social Inclusion Issues (SII) are a list of requirements that must be considered when conducting any project and programme in UN-Habitat. These are not external requirements but included as per the focus of UN-Habitat's 2020-2023 Strategic Plan.

131. Thus, its inclusion on following version of the ESSS needs to be reviewed when the new Strategic Plan of UN-Habitat is implemented.

132. The following four SII are included in the ESSS:

1. Human Rights;
2. Gender;
3. Children, Youth, and Older Persons; and
4. Disability.

### 6.2.1. Social Inclusion Issue 1: Human Rights

133. SII 1 contributes directly to the following SDGs: 1, 2, 3, 4, 5, 6, 8, 10, 11 and 12.

134. UN-Habitat has adopted as a guiding principle the Human Right-based approach (HRBA) for projects and programmes, promoting the inclusion of human rights principles and standards in all stages of projects, programmes and policies.

#### Objective

135. While in the project/programme design the inclusion of the HRBA is intended to benefit all, particularly persons in vulnerable situations, in the context of the ESSS the objective is to identify, avoid and/or address potential risks and impacts that could imply human rights violations, including all forms of discrimination, in the development and implementation of projects and programmes.

#### Minimum requirements

1. Include in the process the identification and assessment of potential impacts of the project/programme on human rights;
2. Identify and characterize vulnerable groups in the area of influence of the project/programme;
3. Define measures to address potential risks and impacts on human rights and develop a monitoring plan that includes tracking human rights issues and record performance; and
4. Include human rights issues as part of consultations with stakeholders.

## 6.2.2. Social Inclusion Issue 2: Gender

136. SII 2 contributes directly to the following SDGs: 1, 4, 5, and 11.

137. UN-Habitat aims at mainstreaming gender equality and the empowerment of women, youth and the equality of all independent of sexual orientation or identity, though the integration of gender equality as a cross-cutting issue in all projects, programmes and policies.

### Objective

138. While in the project/programme design the inclusion of gender equality is intended to benefit all, particularly women and girls, in the context of the ESSS the objective is to identify, avoid and/or address potential risks and impacts that could disproportionately affect women, girls, older people and people who, based on their sexual orientation or identity, might risk marginalization, as well as to allow them to equally benefit from the project/programme.

### Minimum requirements:

1. Consider collecting gender disaggregated data to perform the environmental and social impact assessment;
2. Identify potential risks and impacts for women and girls from a project or a programme, with special focus on those that could particularly and/or disproportionately affect this group;
3. In case impacts and risks cannot be avoided, define pertinent measures in order to address these risks and impacts;
4. Promote and create conditions for the participation of women and girls in the project/programme activities and stakeholder consultations; and
5. Include in the description of the project/programme how gender equality and women's empowerment have been promoted by the project/programme.

## 6.2.3. Social Inclusion Issue 3: Children, Youth and Older Persons

139. SII 3 Contributes directly to the following SDGs: 4, 5, 10 and 11.

140. UN-Habitat recognizes that projects and programmes could have a hampering effect on the development of children, youth and older persons. For that reason, UN-Habitat promotes the designing and implementation of projects and programmes that are children, youth or older person led. To include opportunities related to involvement of these groups, 'to do even better'.

### Objective

141. While UN-Habitat's projects and programmes are intended to benefit all, including children, youth and older persons, in the context of the ESSS the objective is to identify, avoid and/or address potential risks and impacts that could disproportionately affect those groups, as well as to allow them to equally benefit from the project/programme.

### Minimum requirements

1. Collect age disaggregated data in order to perform the environmental and social risk and impact assessment;
2. Identify and avoid potential risks and impacts for children, youth and older persons from projects and programmes, with special focus on those that could particularly and/or disproportionately affect this group;

3. In case impacts and risks cannot be avoided, define pertinent measures in order to address these risks and impacts;
4. Promote the inclusion of children, youth and older persons in the project/programme activities and stakeholder consultation; and
5. Include in the description of the project/programme how the development of children, youth and older persons has been promoted by the project/programme.

### 6.2.4. Social Inclusion Issue 4: Disability

142. SII 4 contributes directly to the following SDG: 1, 10, 11.

143. UN-Habitat is committed in its projects and programmes to apply and advocate the idea that sustainable urban development, including in the context of poverty reduction, can only be achieved if persons with disabilities are proportionally and meaningfully included in decision-making processes, and are able to access their rights. Disability is in this context seen as the interaction between persons with impairments and attitudinal and environmental barriers that hinders their full and effective participation in society on an equal basis with others.

#### Objective

144. While in the project/programme design, promoting the inclusion of persons with disabilities is intended to benefit all society, in the context of the ESSS the objective is to identify, avoid and/or address potential risks and impacts that could disproportionately affect persons with disabilities, as well as to allow them to equally benefit from the project/programme and consider their valuable contribution as part of the project/programme design or implementation.

#### Minimum Requirements

1. Consider collecting disaggregated data to identify and describe persons with disabilities in the area, to perform the environmental and social impact assessment;
2. Identify potential risks and impacts for persons with disabilities from a project or a programme, with special focus on those that could particularly and/or disproportionately affect this group;
3. In case impacts and risks cannot be avoided, define pertinent measures in order to address those risks and impacts;
4. Promote participation of persons with disabilities in the project/programme activities and stakeholder consultations; and
5. Include a description of how the development of persons with disabilities has been promoted by the project/programme.

## 6.3. Cross-Cutting Thematic Areas

145. The Cross-Cutting Thematic Areas (CCTA), as well as the SII, are part of the ESSS because they included as the focus of UN-Habitat's 2020-2023 Strategic Plan. These are transversal or cross cutting issues. 5.1. Their objectives and requirements are described below.

### 6.3.1. Cross-cutting Thematic Area 1: Resilience

146. CCTA 1 contributes directly to the following SDGs: 3, 6 & 11.

147. UN-Habitat is committed to building the resilience of cities and other human settlements and of their people, communities, institutions, environments, and infrastructure

systems. Resilience is seen as a cross-cutting issue and UN-Habitat expects its partners to incorporate resilience as such in projects and programmes.

148. UN-Habitat is committed to inclusion of resilience as a cross-cutting thematic area in the ESSS. This requires in-depth understanding of the complexities of the environmental and social systems, identifying whether the project/programme potentially affects the protective factors and/or the adaptive capacity of these systems.

#### **Objective**

149. Include resilience in E&S risk and impact assessment, identifying the potential impact of the project/programme in the resilience of cities and human settlements, and the natural environment of its surrounding area.

#### **Minimum Requirements**

1. Include, in the design of the project/programme and the assessment of risks, the concept of resilience in the ecosystem service analysis developed for compliance with the Safeguard Principle 5; and
2. Include the concept of resilience in the social impact assessment of the project /programmes, with special focus on the impact of the project/programme on vulnerable groups listed in the Social Inclusion Issues.

### **6.3.2. Cross-Cutting Thematic Area 2: Safety**

150. CCTA 2 contributes directly to the following SDGs: 3, 6 & 11.

151. In line with the 2030 Agenda for Sustainable Development and SDG 11, UN-Habitat is committed to aim for 'a world free of fair and violence (...) where human habitats are safe'.

#### **Objective**

1. Through application of Safeguard Principle 3 and Cross-cutting thematic area 2, UN-Habitat commits itself and its partners to assure a safe and secure environment in cities and human settlements, enabling all to live, work and participate in urban life without fear of violence and intimidation, taking into consideration that women and girls, children and youth, and persons in vulnerable situations are often particularly affected.

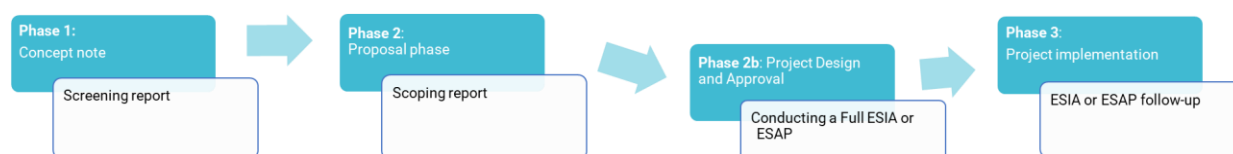
#### **Minimum Requirement**

1. Beside those requirements detailed in Safeguard Principle 3, promote the engagement of a broad range of stakeholder, partnering with local and national government; United Nations system partners, such as the United Nations Office on Drugs and Crime, United Nations Children's Fund (UNICEF) and United Nations Entity for Gender Equality and the Empowerment of Women (UN Women); the private sector; and civil society and stakeholders, including rights-holding groups, organized community groups and research institutions. This will promote safer and more secure environments through the identification of possible risks and impacts from the stakeholders.
2. Fully align project planning, implementation and monitoring with the United Nations Zero Tolerance approach to Sexual Exploitation and Abuse.



## 7. Project And Programme Level: Safeguards System

152. At the project and programme level, the overall aim of the ESSS is to ensure that UN-Habitat has procedures in place to fulfil the obligations related to the management of E&S risks and impacts for all projects and programmes. Thus, the implementation at the project and programme level meets the objectives and is aligned with the requirements set out in the previous Chapters, on the implementation at the organizational level.
153. UN-Habitat recognizes the need for close guidance on the implementation of the ESSS at the project and programme level, as the management of environmental and social risks and impacts is an organizational responsibility.
154. At the project and programme level, the ESSS follows the typical Environmental and Social Impact Assessment (ESIA) process, aligning with the most common requirements of local regulations on ESIA and international standards on environmental and social risk and impact management.
155. The tasks of the ESIA process have been aligned with the phases of the Programme and Project Review Mechanism. Thus, the ESSS follows the two stages for the preparation of a project/programme: the concept design and project/programme design (see [Appendix 9](#)). Once the project has been approved, preparation is followed by the phase of implementation.
156. An advised procedure is to follow a screening, scoping, ESIA report and follow-up/monitoring approach; these steps are discussed in Sections 7.1-7.4, below. These steps correspond to the several phases to E&S Management, as follows (see Figure 3 and for more details [Appendix 9](#)):
1. Phase 1: Concept Note, the initial preparation of the project/programme for peer review, with Safeguard Screening Report for all project/programme concepts.
  2. Phase 2a: Proposal phase, when the proposal is prepared to be presented, with (when applicable) a Safeguard Scoping Report.
  3. Phase 2b: in case it is required (by local regulation or donors, as well in case it is decided so during the proposal phase), an ESIA full Report is conducted. In case it is not necessary, an Environmental and Social Action Plan (ESAP) is designed.
  4. Project/programme implementation phase, including construction and operation of the project/programme.



**Figure 3: Phases of the project/programme and associated ESSS tasks**

157. The Safeguards System templates, referenced below and included as Appendices and Annexes, are intended to be applicable to a wide range of projects and programmes of different type, scale and risk level. These templates provide guidance, with a relatively high-level list of contents, to enable the templates to be adopted, adapted and customized to all projects and programmes.

## 7.1. Concept Note, All Projects and Programmes: Safeguard Screening Report

158. As stated in the procedure "Programme and Project Review Mechanism", the first step for a project/programme idea is the creation of a "Concept Note". As part of the ESSS tasks, all activities and parts of the project/programme, including planning support, policy advice, procurement and physical interventions, should be screened in order to make a preliminary determination, or screening, of the expected E&S risks and impact and of its relative significance.
159. The Concept Note includes a Safeguard Screening Report (SSR), which is the preliminary report on the ESSS. The SSR is mainly based on a rapid desktop evaluation, with three main goals:
1. Identification of environmental and social risks and impacts for the different environmental and social Safeguards;
  2. Categorization of the project/programme, according to the level of risk it could involve; and
  3. Proposing next steps for the environmental and social impact assessment process.
160. The Safeguard Screening Report should include:
1. Project/programme description;
  2. A summary of the biodiversity value of the area where the project/programme will be executed;
  3. Assessing the resilience to the adverse impacts of climate change and reducing the emissions of greenhouse gases;
  4. The identification of stakeholders potentially affected and interested in the project/programme;
  5. National regulations applicable to the project/programme and donors' specific requirements; and
  6. Conclusion with the Risk Categorization.
161. The project/programme description should give the PRC a preliminary overview of the work, so that they can evaluate if the Risk Categorization and proposed next steps are consistent with the scope of the project/programme.
162. The project/programme description should include a brief explanation of the type of project/programme, geographical location (country, city and/or village), duration of the project/programme activities, the scope (size), and a list of the main physical works (including those of associated facilities).
163. The assessment of the biodiversity value is aimed at identifying the main environmental risks and potential impacts of the project/programme. This section will include the list of endangered species in the project/programme area, according to the IUCN Red List (<https://www.iucnredlist.org/>), and reflect on the proximity to legally protected areas, or critical natural habitats.
164. The Screening Report also includes an initial assessment of the project's/programme's climate change adaptation measures and the inclusion of mitigation considerations in the design and planning of the project/programme.
165. The mapping of social groups or communities should lead to identifying the key social risks and impacts of the project/programme. On the one hand, the list should include demographic, cultural, economic, or social groups or activities that could be potentially affected by the project/programme; on the other, special attention should be given to

those that are considered as vulnerable groups and the potential of the occurrence of specific impacts on them.

166. A key to propose follow-up steps is to be clear about the national requirements that apply to the project/programme, as well as the criteria that donors and multilateral agencies have set. Most of the countries have regulations that specify which types of projects and programmes require an environmental and social impact assessment process. Additionally, UN-Habitat's main donors and agencies have set environmental and social standards that projects and programmes need to comply with. In the screening report these requirements and standards need to be presented.
167. The core part of the Screening Report is the conclusion, which presents the results of the initial E&S screening of the project/programme, with specific attention to:
1. The Safeguard Principles triggered by the project/programme; the way in which the Social Inclusion Issues and Cross-cutting Thematic Areas are specifically applied for the project/programme.
  2. Opportunities to enhance stakeholder benefits should also be identified at this stage.
  3. Risk Category of the project/programme: as noted elsewhere, UN-Habitat has incorporated a project/programme Risk Categorization, which encompasses 5 categories (A to E). Risk Categorization is the last step of the screening process, as it involves an evaluation of the key aspects of the project/programme, making an estimation of the expected risks and impacts.
  4. Clarification of the need for an Environmental and Social Impact Assessment: whether an ESIA is required, and at which depth, will depend on both the category of the project/programme and the requirements set by the donors or national regulation. In some cases, because of the type of project/programme, and despite the category, the elaboration of an ESIA will be required by law. If this is the case, the next step (once the screening phase is concluded), is to conduct an ESIA (see [Section 7.3. ESIA or ESAP](#)).
168. UN-Habitat's Project Review Committee Working Group and Approval Group, as defined in the "Programme and Project Review Mechanism" will be accountable for the review of the E&S Screening report of all proposed projects and programmes.
169. UN-Habitat's Project and Programme Managers and Project and Programme staff will be responsible for executing the screening in accordance with the objectives and requirements identified by ESSS. The Safeguards Screening Report will be attached to the Concept Note. The SSR template, with instructions for completion, is found at [Appendix 1](#).

## 7.2. Proposal Phase: Safeguard Scoping Report (Where Applicable, Depending on Risk Category)

170. In the case of Categories A and B1 projects and programmes an ESIA Report is required. The preparation of an ESIA involves costs (i.e., for additional studies that in most of the cases will need to be sub-contracted) and time from project and programme managers; additionally, depending on the scope of the studies and analysis, the preparation could take several months and, on top of that, the competent authority needs to assess the ESIA Report (often the Ministry of Environment, or equivalent, of a national or local government). In the case of these projects and programmes, the main emphasis of this phase should be on preparing for the ESIA and proposing a plan for executing the ESIA report in the Safeguard Scoping Report.

171. For Categories B2 and C projects and programmes, a full ESIA report is not required, but information needs to be collected in a Scoping Report in order to discard impacts and write the Management and Monitoring Plans, as part of the E&S Action Plan (ESAP). For Categories D1, D2 and E projects, a Scoping Report is not required (see [Figure 3: Phases of the project/programme and associated ESSS tasks](#)).
172. The main goal of the Scoping Report is to identify the key environmental and social issues to be studied in the ESIA or ESAP, specifying where they will be studied (area of influence of the project/programme), how they will be studied (methodologies and techniques) and which methodologies will be used to assess the impact of the project/programme. The plan should also include a strategy and a programme for the involvement of the different stakeholders.
173. The Scoping Report will be based to the full extent possible on a desktop study, but primary sourced information may be required, and, in that case, a site visit should be planned.
174. The minimal content of the Scoping Report is:
1. Legal and regulatory framework for the project/programme;
  2. Description of the project/programme;
  3. Identification of key potential environmental and social impacts;
  4. Identification of key stakeholders of the project/programme and design of an engagement plan; and
  5. Planning of the preparation of the ESIA or the ESAP.
175. First, the Scoping report should detail the legal and regulatory framework applicable to the project/programme, focusing on the environmental and socio-environmental laws, acts and other legal instruments. In case the procedure for environmental and social impact assessment is part of the regulatory framework, in this chapter the way in which the project/programme will follow the requirements the procedure should be detailed.
176. The Scoping Report should also include a description of the project/programme. Following the preliminary description included in the Concept Note, at this stage the project/programme description should begin to elaborate on the project's/programme's activities and (construction) works that could be a source of environmental or social impacts. In this description, a differentiation should be made between structures (including temporary structures and associated facilities), activities, and operating features during the construction and operation phases of the project/programme.
177. Based on the project/programme description, key environmental and social issues associated with the project/programme need to be identified. The recommendation is to engage stakeholders in the process of identifying key E&S issues by making this process as collaboratively as possible, considering that input from different stakeholders could contribute to a more comprehensive list of aspects.
178. Based on the identification of stakeholders made in the Concept Note, in the Proposal phase the task is to work on a stakeholder engagement plan for the next phases of the environmental and social impact assessment. More details about this task are provided in the section 7.5.
179. The Scoping report should conclude with, as needed, a Plan for the next step, e.g., preparation of an ESIA full report is needed or an ESAP. The Plan for the ESIA full report should include the determination of the area of influence of the project/programme, the methodology to execute the baseline studies, and the methodology to be used for the identification and assessment of the impacts. The Plan for the ESAP should include the identification of the measures to avoid negative impact, and a monitoring plan to monitor unexpected impacts.

180. In case stakeholder engagement activities were performed during the Proposal Phase, all records should be attached to the Scoping report, such as Presentations, audios, pictures, meeting minutes and list of attendees.
181. UN-Habitat's Project Review Committee Working Group and Approval Group, as defined in the "Programme and Project Review Mechanism" will be accountable for the review of the E&S Scoping report of all proposed projects and programmes.
182. UN-Habitat's Project and Programme Managers and Project and Programme staff will be responsible for executing the scoping in accordance with the objectives and requirements identified by ESSS. The Safeguards Scoping Report will be attached to the Project Design document, included in the "Programme and Project Review Mechanism". The template for the E&S Scoping, with instructions for completion, is found at [Appendix 2](#).

## 7.3. ESIA or ESAP

183. Once the Safeguard Scoping Report (SSR) is conducted, and thus, the category of the project/programme is reconfirmed (after initially being assessed in the screening report) and conclusions are made, it is possible to clarify whether the project/programme would need an ESIA and/or an ESMP, and to what extent.

### 7.3.1. ESIA full report: Projects and Programmes categorized as A and B1

184. After the Scoping Report has been approved by the relevant stakeholder (competent authority, and/or the multilateral agency, for instance), the preparation of the ESIA report begins. This task could be included in one of the following two phases:
1. Proposal phase (explained above): The ESIA full report is prepared right after the scoping report is approved; or
  2. Implementation phase (explained below): Once the grant for the project/programme has been awarded.
185. The selection of the Phase for the ESIA preparation to be executed, will depend on the estimated duration of this task and the approval time required in the country where the project/programme is executed, as well as the donor's requirements, among other conditions. This selection should be done as early as possible because this will allow for a more effective planning of the project/programme.
186. In case the ESIA report is prepared during the Proposal Phase, the following issues should be taken into account:
1. The environmental license or the application letter for the license needs to be attached to the proposal, when this is handed in to the donor/s; and
  2. Cost and time for the ESIA preparation should be planned in very early stages, so resources are available while preparing the proposal.
187. In case the ESIA report is prepared during the Implementation phase, it should be considered that the ESIA report preparation must be one of the first tasks once the project/programme gets the funds and starts, as no construction/operation activities should begin prior to the environmental license is granted.
188. Although the final lay-out of the ESIA report should be adapted to follow the requirements set out in local regulation, according to international best practice, the basic content of the ESIA report is:
1. Executive summary;
  2. Legal and regulatory Framework;

3. Project/Programme Description;
  4. Environmental and social baseline studies;
  5. Identification and assessment of environmental and social impacts;
  6. Identification of impact mitigation and monitoring plans; and
  7. Public participation.
189. The ESIA report shall contain a non-technical executive summary that includes the main characteristics of the project/programme, for the construction and operation phases; setting the Area of Influence of the project/programme and the results of the environmental and social baseline studies, the findings of the impact assessment, and proposed mitigation measures. The summary should be written in a non-technical language, with commonly used and understandable words, and depending on the ethnicity or nationality of the stakeholders, in some cases, it will need to be written in different languages or dialects.
190. The Consistency of the Project/programme with local policies, planned developments, and legal and regulatory requirements should be verified. A comprehensive table of applicable legislation and regulations should be presented and their relevance to the project/programme should be explained.
191. A detailed description of the scope, physical characteristics and technical specifications of the project/programme is part of the ESIA report. This technical project/programme description will include all physical and technical aspects, specifications and characteristics of the project/programme and associated facilities. In addition, the activities that will have to be executed during the different project/programme phases and the project/programme schedule should be described in the Project/Programme Description.
192. The baseline section includes a description of the baseline (i.e., reference) situation for the E&S aspects, including the methodologies used, the area of influence where the studies will be performed, the results, conclusions, and bibliography for the different baseline components.
193. The methodology used for impact identification and assessment should be described, and the results of this exercise should be presented.
194. Following the impact assessment, an Environmental and Social Management Plan (ESMP) needs to be prepared, which shall define appropriate measures to mitigate the identified and assessed impacts. As part of the ESMP, a plan for monitoring the environmental and social performance of the project/programme, which ensures that measures are being implemented as planned.
195. The ESIA report should also include a detailed description of the stakeholder engagement process, from the screening phase until the conclusion of the ESIA report. This section should include a description of the main topics and issues discussed during the stakeholder engagement process and how these have been incorporated into the ESIA process. All recording of the activities should be attached, such as audio/video recording, photographs, list of attendants and minutes of the activities.
196. The following Responsible Accountable Consulted Informed (RACI) chart is to be applied:
- Responsible** – Project and Programme Managers / Section Heads (lead section) / Regional Representatives / PRC and PRC Working Group Chair
- Accountable** – Division Directors
- Consulted** – Implementation Team Lead for high and medium risk (A, B1, B2) projects and programmes, Section Heads (partner sections), Regional Representatives (partner ROs)

## Informed – Social Inclusion Unit

with responsibilities for:

1. Project/programme activities that may cause adverse impacts must not be carried out until completion of the ESIA and, if required by national regulations, until an environmental license has been granted;
  2. Ensure that the preparation of the ESIA involves early and meaningful stakeholder engagement and participation, as well as timely disclosure of relevant information about the project/programme;
  3. Identification of and compliance with the host country's applicable legal and institutional framework and applicable international conventions;
  4. Measures to avoid, minimize, mitigate or compensate adverse impacts through management plan and actions; and
  5. Examination of whether particular individuals and groups may be affected by the project's/programme's potential adverse impacts because of their disadvantaged or marginalized status. Of the special importance is the examination of impacts on groups identified as a priority for UN-Habitat, such as women and girls, and youth.
197. UN-Habitat's Project and Programme Managers and Project and Programme staff will be responsible for leading the execution of the ESIA in accordance with the objectives and requirements identified by ESSS. The ESIA template, with instructions for completion, is found at [Appendix 3](#).

### 7.3.2. ESSS Action Plan: Projects and Programmes categorized as B2 and C

198. For those projects and programmes that do not need a full ESIA report, an ESSS Action Plan (ESAP) should be prepared. As for the ESIA full report, the execution of the ESAP could be part of one of the following two phases:
1. Proposal phase (explained above): The ESAP is prepared right after the scoping report is approved; or
  2. Implementation phase (explained below): Once the grant for the project/programme has been awarded.
199. The selection of the Phase for the ESAP preparation to be executed, will depend on the estimated schedule for writing the ESAP, approval time required in the country (in case this is needed), as well as the donor's requirements, among other reasons. This selection should be done as early as possible because this will allow a more effective planning for the project/programme.
200. In case the ESAP is prepared during the Proposal Phase, these issues should be taken into account:
1. The application letter or any other communication with Local Authorities needs to be attached to the proposal, when this is handed it to the donor/s; cost and time for the preparation of the ESAP should be considered in very early stages, so resources are available while preparing the proposal.
201. On the other side, if the ESAP report is prepared during the Implementation phase, it should be considered that the ESAP report preparation should be one of the first tasks once the project/programme gets the funds and starts.
202. Although the final lay-out of the ESAP should be adapted to follow the requirements set out in local regulation, when ESIA regulation required ESAP for low risk level projects

and programmes, according to international best practice, the minimal content of the ESIA report is:

1. From the ESIA Scoping report, a summary of the following content should be included:
    - a. Legal and regulatory Framework;
    - b. Project/Programme Description;
    - c. Environmental and social baseline studies; and
    - d. Identification and assessment of environmental and social impacts.
  2. An Environmental and Social Management Plan design;
  3. A Monitoring Plan, which include periodicity, responsible and Key Performance Indicators (KPI); and
  4. Stakeholder Engagement.
203. Since the ESAP will be implemented for Category B2 and C Projects and Programmes (that is, medium and low level E&S risks), information from the Scoping report should be included in the ESAP in order to identify: parts or activities of the project/programme that could be potential sources of impacts and those key Environmental and Social aspects that need to be monitored.
204. Following the identification of the key aspects of the project/programme and its environment, an Environmental and Social Management Plan (ESMP) needs to be prepared, which shall define the appropriate measures to avoid the occurrence of impacts and to address those impacts assessed as negligible.
205. As part of the ESMP, a plan for monitoring the environmental and social performance of the project/programme, which ensures that measures are being implemented as planned and, in case of the occurrence of unexpected impacts, measures will be taken immediately.
206. The ESAP should also include a description of the stakeholder engagement process, from the screening phase until the conclusion of the ESAP report. This section should focus on those activities that were executed in order to assess the impacts, and which lead to the discard of negative impacts or their assessment as negligible. Recording of activities needs to be attached, for instance audio/video recording, photographs, list of attendants and minutes of the activities.
207. The Regional Programme (DRP), Global Solutions Division (Programme Division) (Responsible) and Regional Programmes (Regional Representatives) (Accountable) will ensure that the ESAP process considers the following:
1. Project and programme activities should be initiated only when a ESAP is finished and approved. Special attention should be put in those countries where local regulation required the ESAP for the initiation of work;
  2. Ensure that the preparation of the ESAP involves early and meaningful stakeholder engagement and participation, as well as timely disclosure of relevant information about the project/programme;
  3. Measures to avoid adverse impacts through management plan and actions;
  4. Measures to address impacts and monitoring the occurrence of unexpected impacts; and
  5. Examination of whether individuals and groups need to validate the management and monitoring plan. Special consideration of vulnerable and/marginalized group must be taking into consideration when impacts are discard, considering that these



people and groups could be affected by the project/programme in different ways and disproportionately.

208. UN-Habitat's Project and Programme Managers and Project and Programme staff will be responsible for leading the execution of the ESAP in accordance with the objectives and requirements identified by ESSS. The ESAP template, with instructions for completion, is found at [Appendix 4](#).

## 7.4 Implementation Phase: ESIA Follow-Up and Monitoring, All Projects and Programmes

209. Together with the operational activities of the project/programme, in the implementation phase the Environmental and Social Monitoring Plan is executed. This plan is aimed at:

1. Observing the environmental and social risks and impacts of the project/programme.
2. Ensuring compliance with the regulatory framework.
3. Ensuring that the Management Plan is implemented and working as planned.

210. A responsible party within the project/programme team should be designated to lead the Environmental and Social monitoring. Additionally, there could be the need to sub-contract specialists to execute the monitoring, as there might be surveys or sampling activities to be performed that will require certification and/or special technical capabilities. Additionally, in some countries, independent parties are required to do the monitoring.

211. Monitoring activities should be recorded, and the results should be analysed, stored and kept available at all times. In some countries, the results of the monitoring need to be submitted to the competent authority; some donors also ask to include these results in the follow-up reports; and different stakeholders may ask for the disclosure of this information directly or through the UN-Habitat/interested parties' webpage, among other means. In case there are no legal requirements for disclosure, for high environmental and social risk projects and programmes, UN-Habitat should provide periodic reports to the affected communities as an update on the results of the project/programme and the implementation of the management plan.

212. Where appropriate, and feasible, involvement of different stakeholders should be considered in the monitoring. As reported, given continuity to the participatory process of the ESIA until the implementation phase could contribute complementing or verifying the monitoring activities. Consider the involvement of communities, independent specialists, NGOs and interested parties such as local or national institutions.

213. Based on the monitoring results, the implementation of corrective actions should be decided. The Project/Programme Management shall be promptly notified of any incident or accident related to the programming activities that has or is likely to have significant adverse impacts on people or the environment. Immediate measures shall be undertaken to address the incident or accident and to prevent any recurrence.

214. UN-Habitat's Project and Programme Managers and Project and Programme staff will be responsible for executing the monitoring in accordance with the objectives and requirements identified by ESSS. The Monitoring Matrixes will be attached the procedures identified in the Project Based Management Policy (PBM) for reporting implementation. The Monitoring Matrixes template, with instructions for completion, is found in [Appendix 5](#).

215. UN-Habitat's Project and Programme Managers are responsible for providing the information for the evaluation of the project/programme and the results of the E&S Monitoring will be included as an input for the procedures identified in the UN-Habitat Evaluation Policy.

## 7.5 Project's/Programme's Stakeholder Engagement Plan

216. UN-Habitat and/or the interested parties will develop and implement a Stakeholder Engagement Plan for all Projects and Programmes, which should be scaled to the project/programme risks and impacts and development stage and be tailored to the characteristics and interests of the project-/programme-affected people and other relevant stakeholders.
217. The Stakeholder Engagement Plan (SEP) should outline general principles and a strategy to identify project-/programme-affected people and other relevant stakeholders, a plan to appropriately and timely disclose information about the project/programme and for a consultation process compatible with the Safeguards.
218. Minimum requirements for a SEP are as follows:
1. Description of regulatory, lender, agency, and/or other requirements for consultation and disclosure;
  2. Provision of a strategy and timetable for sharing information and consulting with each of these groups;
  3. Identification and mapping of key stakeholders;
  4. Description of resources and responsibilities for implementing stakeholder engagement activities; and
  5. Description how stakeholder engagement activities will be incorporated into the Project/Programme.
219. Template for the registration of engagement activities, with instructions for completion, are found in [Appendix 7](#).

## 7.6 Provisions for Specific Projects and Programmes

220. No-risk projects/programmes categorised as D1 may develop risks in the future, so a Development Impact Plan (DIP) (see [Appendix 6](#)) needs to be prepared to identify these potential risks and guide their management and mitigation should they emerge.
221. For Emergency / Humanitarian Projects and Programmes (category E), UN-Habitat will start its involvement by preparing an Environmental and Social Action Plan (ESAP). The extent of potential risks and impacts related to environmental and social issues, mirrored with the aim of the project/programme, will enable UN-Habitat to focus on key material risks and impacts in the ESAP. More detailed studies (ESIA, SEP, etc.) will be conducted when the local situation is 'normalized'. Throughout involvement of UN-Habitat in category E projects and programmes, UN-Habitat will monitor the necessity of management of environmental and social risks and impacts; and adjust management regimes when deemed necessary.

**APPENDIX 1. ESSS SCREENING  
REPORT**

# Appendix 1. ESSS Screening Report

## 1. Brief Description of the Project/Programme

Topic	Explanation	Review E&S Officer
Name of the project/programme:		
Code/ID of the project/programme:		
Location:	Country, region, city, village	
Duration of project/programme activities:	Duration of the following phase (number of Months): <ul style="list-style-type: none"> <li>• Overall Project Duration:</li> <li>• Construction period if applicable:</li> <li>• Operation (in years; beyond the project duration) :</li> <li>• Decommissioning (if applicable, describe and date):</li> </ul>	
Scope:	Initial estimation of: <ul style="list-style-type: none"> <li>• Size of the project/programme (in terms of cost – USD):</li> <li>• Size of the area (km<sup>2</sup>/acres) potentially affected:</li> <li>• Number of people affected positively:</li> <li>• Number of people affected negatively:</li> <li>• Application of Social Inclusion Issues:</li> <li>• Application of Cross-cutting Thematic Areas:</li> </ul>	
Main physical works, including those of associated facilities:	Please describe in some detail.	
Type of project/programme:	Infrastructure, water and sanitation, housing, or other, capacity development, policy or technical advisory services, publication, one-off workshop or conference etc.	
Additional information:	Include any other additional information or references regarding the project/programme that would be useful to the ESSS process, including unknown information at this stage. If not described elsewhere, please describe the project here.	

Note: if information is not available or is unknown at this stage of the project/programme, please indicate so as “NA” (Not Available) and provide contextual analysis of the project site(s).

**APPENDIX 1. ESSS SCREENING  
REPORT**

## 2. The Presence of Significant Biodiversity Value

List endangered species according to the IUCN Red List (<https://www.iucnredlist.org/>) and proximity to legally protected areas, or critical natural habitats, or potential impacts to ecosystem services.<sup>20</sup>

Topic	Explanation	Review E&S Officer
Assessment of Biodiversity and natural assets in the project area:	Please provide an overview as per the above. Please also do so for policy and planning projects (not just projects with physical work).	
Critical issues:	How could biodiversity and natural assets be affected by the project (this can be short for a policy or planning project but should be comprehensive if the project could lead to a significant impact)	

Note: if information is not available or is unknown at this stage of the project/programme, please indicate so as “NA” (Not Available) and provide contextual analysis at the country level.

## 3. The Presence of Social Groups or Community

List especially those that are considered as vulnerable groups and the potential of the occurrence of social impacts.

Topic	Explanation	Review E&S Officer
Estimated population in the project/programme area:		
Are there vulnerable groups potentially affected? If yes, please specify which group (women, indigenous, poor, youth, persons with disabilities)?		

Note: if information is not available or is unknown at this stage of the project/programme, please indicate so as “NA” (Not Available) and provide contextual analysis at the country level.

## 4. National Regulations and Donor Requirements

Topic	Explanation	Review E&S Officer
Does the country or any of the project/programme countries - have ESIA regulation?	<b>Yes/No</b> <b>List key provisions</b>	
Does the regulation require that this type of project/programme develops an ESIA process?	<b>Yes/No</b> <b>Please explain</b>	
Is an ESIA process required by the donor?	<b>Yes/No</b>	
Are there gaps between the ESSS and donor Environmental and Social requirements?	<b>Yes/No</b> If the requirements are different pls explain.	

<sup>20</sup> **Ecosystem services are the benefits provided by ecosystems that contribute to making human life both possible and worth living.** Examples of ecosystem services include products such as food and water, regulation of floods, soil erosion and disease outbreaks, and non-material benefits such as recreational and spiritual benefits in natural areas. The term ‘services’ is usually used to encompass the tangible and intangible benefits that humans obtain from ecosystems, which are sometimes separated into ‘goods’ and ‘services’. Some ecosystem services involve the direct provision of material and non-material goods to people and depend on the presence of particular species of plants and animals, for example, food, timber, and medicines. Other ecosystem services arise directly or indirectly from the functioning of ecosystem processes. For example, the service of formation of soils and soil fertility that sustains crop and livestock production depends on the ecosystem processes of decomposition and nutrient cycling by soil micro-organisms. (<http://uknea.unep-cmc.org/EcosystemAssessmentConcepts/EcosystemServices/tabid/103/Default.aspx>)

**APPENDIX 1. ESSS SCREENING REPORT**

Note: if information is not available or is unknown at this stage of the project/programme, please indicate so as “NA” (Not Available) and provide contextual analysis at the country level.

## 5. Conclusions

Topic	Conclusion	Explanation/Justification	Review E&S Officer
List of ESSS Safeguard Principles triggered by the project/programme: (see Annex 1A for the checklist of Safeguard Principles)	List all triggered principles here		
Social Inclusion Issues included in the project/programme: (see Annex 1A for the list of Social Inclusion Issues)	List all SII here. Please ensure that this aligns with the project document.		
Cross-Cutting Thematic Areas included in the project/programme: (see Annex 1A for the list of Cross-Cutting Thematic Areas)	List all CCTA here. Please ensure that this aligns with the project document.		
Risk Category of the project/programme: (see Annex 1B, for instructions for Risk Categorization)			
Proposed next steps in the process such as Development Impact Plan for D1 projects, Scoping Report for A-C and E categories), Environmental and Social Impact Assessment: (see Annex 1B, for recommendations according to each category) etc.	List steps and timelines here	Explain timelines. Explain if requirements will be met before project approval or as part of the project (this will require proof of funding and timelines within the project document)	

Note: if information is not available or is unknown at this stage of the project/programme, please indicate so as “NA” (Not Available) and provide contextual analysis at the country level. As well as of the Risk Categorization of the Project/Programme, explaining and justifying the information in the third column.

## 6. Approvals

Topic	Name, Designation, Signatures and Dates
1. Screening Report author [typically a member of the project/programme development team in partnership with stakeholders as per the Stakeholder Engagement Plan]	
2. Reviewer 1 [typically a programme manager such as Habitat Programme Managers or Chief Technical Advisors at country level, HSO at regional level or Section Chief in HQ]	
3. Endorser 1 [typically a Branch Coordinator, HSO (if project is approved at R-PRC) or Regional Representative]	
4. Endorser 2: ESSS Officer [or designated/rotating member of the ESSS Core Team]. Projects and programmes	

**APPENDIX 1. ESSS SCREENING REPORT**

categorized as A or B may be referred to a second reviewer (including outside of UN-Habitat)	
5. Endorser 3 [Chair of the PRC Working Group for projects/programmes above USD 500,000 – or Regional Representative or Division Director for projects not presented to HQ PRC. The PRC can request a second opinion on the ESSS review.	

## 7. Additional Comments by the ESSS Officer

Topic	Comments
Any additional comments on the ESSS process and rating.	For ESSS Officer Only

## APPENDIX 1. ESSS SCREENING REPORT

## Annex 1A: Checklist of Safeguard Standards

The following list includes 9 Principles (P), 4 Social Inclusion Issues (SII) and 2 Cross-Cutting Thematic Areas (CCTA).

To complete the Checklist, first identify if the project/programme may be a source of risks and impacts listed in the second column. Fill column three with “yes” or “no”. If information is not available or is unknown at this stage of the project/programme, consider performing a “Contextual Analysis” of the E&S Principles and conclude accordingly. Provide arguments and any supporting information in column four (“Explanation/Justification”) that would support the conclusion provided (“yes” or “no”). If information is not available or unknown, also include in column four the results of the Contextual Analysis. In column five identify any measures to avoid, minimize or mitigate possible risks and impacts that may be triggered by the project/programme.

Safeguard Standards	Potential risks and impacts	Is it a risk from the project/programme (yes/no)	Explanation/Justification	Measures
<b>P 1: Labour and working conditions</b>	Worker’s rights may be neglected/violated		Please always provide information here	
	The work could involve the use of child labour			
	The work could involve the use of forced labour			
	Freedom of workers' organisations or collective bargaining may be neglected.			
	May particularly affect the safety to live, work and participate in urban life for persons in vulnerable situations.			
<b>P 2: Zero-carbon development, pollution prevention and resource efficiency</b>	During construction or operation, it generates pollutants or waste, which could affect human health or the environment			
	During construction or operation, hazardous materials or pesticides, which could affect human health or the environment, may be used			
	Requires a significant amount of water and/or energy, which implies competition with host communities (for instance, water for human consumption or economic activities)			
	Does the project consider technologies and/or materials in support of a low/zero carbon development.		Please always provide information here for projects with physical works dimension	
<b>P 3: Climate change resilience,</b>	Does the project adversely affect the resilience of eco-systems, urban systems, infrastructure or		Please always provide information here – if you have	

## APPENDIX 1. ESSS SCREENING REPORT

Safeguard Standards	Potential risks and impacts	Is it a risk from the project/programme (yes/no)	Explanation/Justification	Measures
<b>community health, safety and security</b>	communities?		answered yes, please provide the details (also benefits for resilience if applicable). If you have answered no, please describe the benefits, if any for resilience.	
	Activities, machinery or infrastructure associated to the project/programme could have adverse impact on the community' health and safety			
	In case of an accident or emergency situation, the effect on the surrounding community or in the ecosystem could be significant.			
<b>P 4: Displacement and involuntary resettlement</b>	Involves displacement, physical or economic, and/or involuntary resettlement			
<b>P 5: Biodiversity conservation, and sustainable management of living natural resources</b>	May adversely impact the marine ecosystem			
	May adversely impact natural habitats			
	May adversely impact critical habitats			
	May adversely impact legally protected areas (by national or international regulations)			
<b>P 6: Indigenous peoples</b>	May adversely impact the rights, lands, resources and territories of the indigenous peoples			
<b>P 7: Cultural Heritage</b>	May adversely impact cultural heritage properties and sites of archaeological, historical, cultural, artistic, and religious significance. May adversely impact intangible heritage (uses and traditions...)			
	In case the project/programme uses cultural heritage, access and use by stakeholder is secured.			
<b>P 8: Compliance with the Law</b>	Application to environmental, building or other sectorial permits is a requirement by the local regulation			
	Activities, machinery or infrastructure associated to the project/programme do not imply/involve any violation of local regulations			
<b>P 9: Access and</b>	The equal distribution of project/programme benefits		Please always provide	



## APPENDIX 1. ESSS SCREENING REPORT

Safeguard Standards	Potential risks and impacts	Is it a risk from the project/programme (yes/no)	Explanation/Justification	Measures
<b>Spatial Justice</b>	is not guaranteed		information here	
	May adversely result in any form of discrimination in the access to the project/programme benefits		Please always provide information here	
<b>SII 1: Human Rights</b>	May result in the violation of any human right		Please always provide information here	
<b>SII 2: Gender</b>	May especially have negative impacts on girls and women		Please always provide information here	
	May adversely involve any form of discrimination against girls and women		Please always provide information here	
<b>SII 3: Children, Youth and Older persons</b>	May especially have negative impacts on children, youth and/or older persons		Please always provide information here	
	May involve any form of discrimination against children, youth or older persons		Please always provide information here	
<b>SII 4: Disability</b>	May especially have negative impacts on persons with disabilities		Please always provide information here	
	May involve any form of discrimination against persons with disabilities		Please always provide information here	
<b>CCTA 1: Resilience</b>	May affect the protective factors and/or the adaptive capacity of environmental systems		Please always provide information here	
	May affect the protective factors and/or the adaptive capacity of social (including urban, community and governance) systems.			
<b>CCTA 2: Safety</b>	May affect the safety to live, work and participate in cities and human settlements.		Please always provide information here	
	May particularly affect the safety to live, work and participate in urban life for persons in vulnerable situations.		Please always provide information here	
	May in any form risk non-compliance with the United Nations principle of zero tolerance vis-à-vis Sexual Exploitation and Abuse		Please always provide information here	

## APPENDIX 1. ESSS SCREENING REPORT

## Annex 1B: Project/Programme Risk Categorization

Category	Criteria for Categorization	Next step for the E&S assessment process
<b>Category A or high-risk project/programme</b>	<ul style="list-style-type: none"> <li>• The project/programme:               <ul style="list-style-type: none"> <li>– Produces significant quantities of greenhouse gases (i.e. large operational project with construction technology, building materials that typically result in a high degree of GHG emissions and high energy use during operations <sup>21</sup>).</li> <li>– Requires a significant amount of water and/or energy.</li> <li>– Involves displacement and/or involuntary resettlement.</li> <li>– May adversely impact critical habitats.</li> <li>– May adversely impact the rights, lands, resources and territories of indigenous peoples, women and girls, vulnerable groups, and/or youth.</li> <li>– May adversely impact cultural heritage sites or practice of historical, cultural, artistic and/or religious significance.</li> </ul> </li> <li>• The project/programme is developed in a country where labour rights and working conditions are not regulated or not guaranteed.</li> <li>• The project/programme needs an environmental license before its implementation and, because of the level of risks and or type of project/programme, it requires a full ESIA report.</li> </ul>	<p>A full Environmental and Social impact assessment process, which should include:</p> <ul style="list-style-type: none"> <li>• E&amp;S Scoping report; and</li> <li>• ESIA full report, with detailed and extended: project/programme description, baseline studies, impact assessment, and management and monitoring plans.</li> </ul>
<b>Category B1 or high to medium-risk project/programme</b>	<ul style="list-style-type: none"> <li>• Projects with physical interventions. Risk and/or impacts (as listed in Category A) are less adverse because they are:               <ul style="list-style-type: none"> <li>– Limited in extension and/or duration;</li> <li>– Site-specific; and/or</li> <li>– Reversible.</li> </ul> </li> <li>• The project/programme needs an environmental license before its implementation and, because of the level of risks and or type of project/programme, it requires a full ESIA report.</li> </ul>	<p>A full Environmental and Social impact assessment process, which should include:</p> <ul style="list-style-type: none"> <li>• E&amp;S Scoping report; and</li> <li>• ESIA full report, with detailed and extended: project/programme description, baseline studies, impact assessment, and management and monitoring plans.</li> </ul>
<b>Category B2 or medium risk project/programme</b>	<ul style="list-style-type: none"> <li>• Projects with physical interventions (housing, infrastructure etc.) with medium level environmental and social risks and/or impacts;</li> <li>• The impacts are easily minimized by an Environmental and Social Management Plan (ESMP) and the occurrence of unexpected impact could be monitored by an E&amp;S Monitoring Plan.</li> <li>• When these specific impacts are completely discarded:               <ul style="list-style-type: none"> <li>– Involuntary resettlement impacts.</li> <li>– Effect on critical or protected by law.</li> <li>– Is not expected to have impacts on indigenous people.</li> </ul> </li> </ul>	<p>ESAP or ESSS Action Plan is required. However, it might be the case that, because of the type of project/programme, local regulations require an Environmental Impact Assessment (EIA) Report. In that case an ESIA need to be prepared.</p>

<sup>21</sup> To obtain reference values for GHGs emitted, refer to national commitments as per the NDC or other policies and use national or city-level GHG accounting guidelines, alternatively use the [Greenhouse Gas Protocol for Cities](#).

## APPENDIX 1. ESSS SCREENING REPORT

Category	Criteria for Categorization	Next step for the E&S assessment process
	<ul style="list-style-type: none"> <li>• Does not affect cultural heritage properties and sites of archaeological, historical, cultural, artistic, and religious significance.</li> <li>• An environmental license is not required.</li> </ul>	
<b>Category C or low-risk project/programme</b>	<ul style="list-style-type: none"> <li>• Projects with limited physical intervention</li> <li>• It has negligible or no adverse environmental and social risks and/or impacts;</li> <li>• The impacts are easily minimized by an Environmental and Social Management Plan (ESMP).</li> <li>• When these specific impacts are completely discarded at this stage of the project/programme:               <ul style="list-style-type: none"> <li>– Involuntary resettlement impacts.</li> <li>– Effect on critical or protected by law areas and/or people.</li> <li>– Impacts on indigenous people.</li> <li>– Impact on cultural heritage properties and sites of archaeological, historical, cultural, artistic, and religious significance.</li> </ul> </li> <li>• Typically small scale community interventions in a very limited number of sites. Retrofitting activities (e.g. hurricane stapping or solar panels on roofs)</li> </ul>	<p>ESAP or ESSS Action Plan is required. However, it might be the case that, because of the type of project/programme, local regulations require an Environmental Impact Assessment (EIA) Report. In that case an ESIA needs to be prepared.</p>
<b>Category D1 or no-risk project/programme (with potential risks in the future)</b>	<ul style="list-style-type: none"> <li>• Within the specificity of the UN-Habitat projects and programmes, the following type of projects and programmes present no social or environmental risks:               <ul style="list-style-type: none"> <li>– Territorial / spatial plans.</li> <li>– Sectoral Plans.</li> <li>– Some economic development plans.</li> <li>– Certain conferences/events where for example principle 1 (labour and working conditions or SII or CCTA related safeguards are triggered).</li> </ul> </li> <li>• Typically “planning projects” without physical / infrastructure interventions where planning outcomes could however lead to environmental and social impacts and/or where early consideration of the Safeguards could minimize negative impacts and amplify positive impacts</li> </ul>	<p>Development Impact Plan (DIP) is required. These are considered as non-operational projects and programmes, which include activities that are likely to cause no or negligible negative impacts or have low level of E&amp;S risks. However, given their nature, these projects and programs may include, in later stages, the design and implementation of follow-up projects. Therefore, the preparation of a DIP is prescribed to assess possible future impacts/risks and to lay the groundwork for monitoring. Other specifications for E&amp;S tasks may include E&amp;S monitoring, management plans or the execution of a new screening assessment for the follow-up project.</p>
<b>Category D2 or no-risk project/programme</b>	<ul style="list-style-type: none"> <li>• Within the specificity of the UN-Habitat projects and programmes, the following type of projects and programmes present no social or environmental risks:               <ul style="list-style-type: none"> <li>– Preparation and distribution of documents and communication materials.</li> <li>– Organization of an event, workshop, or training.</li> <li>– Partnership coordination and management of networks, if this does not directly involve or impact city- or country level activities.</li> </ul> </li> <li>• Projects and programmes with no city- or country-level activities (e.g., knowledge management, inter- governmental processes).</li> </ul>	<p>These are considered as non-operational projects and programmes, which include projects and programmes that are likely to cause no or negligible negative impact or have low environmental or social risks. No further E&amp;S study, assessment or impact management is required.</p>

**APPENDIX 1. ESSS SCREENING REPORT**

Category	Criteria for Categorization	Next step for the E&S assessment process
<b>Category E or emergency project/programme</b>	<ul style="list-style-type: none"> <li>Projects and programmes that are designed to respond to an emergency/crisis or are part of a humanitarian action and are classified as such.</li> <li>Projects where the next steps of the ESSS can adequately be covered during the implementation stage – but where a scoping report etc. would delay approval.</li> </ul>	<p>The ESSS should be incorporated through the project design and implementation. Timing and sequence of the following ESSS' procedures and tasks should be adjusted, considering the urgency: (i) risk categorization other than "E", screening report as necessary, ESSS AP / ESAP.</p> <p>Depending on the project realities but latest when the situation transitions to stages of early recovery, rehabilitation and development, the ESSS procedures and tasks need to be updated.</p>

Note: if only a contextual analysis is provided in template 1.1 – 1.5, the risk categorization should be upgraded to a higher risk category. Upon availability of more detailed information, 1.1 – 1.5 should be adjusted and risk categorization should be reconsidered.

## APPENDIX 2. ESSS SCOPING REPORT

# Appendix 2. ESSS Scoping Report

## 1. Introduction

**Note 1:** Introduce the project/programme and/or sub-project(s), presenting:

- A brief description of the project/programme; and
- The institutional stakeholders involved.

## 2. Project/Programme Reference Framework

**Note 2:** In addition to meeting the requirements under the E&S Principles, Social Inclusion Issues and Cross-Cutting Thematic Areas, in this section should be focused on applicable environmental and socio-environmental national law of the country where the project/programme will be implemented. This includes those laws implementing host country obligations under international law. At this stage applicable regulation need to be only listed.

### 2.1. Local Laws and Regulations

**Note 3:** List applicable Environmental Law(s) or Act(s) in the country. Is there a regulatory framework in which pollution or emission of pollutants are addressed? List the regulations and laws.

### 2.2. Local Environmental Impact Assessment (EIA) Process and Requirements

**Note 4:** Complete this section answering the following:

1. List local Law(s), Act(s) or other regulatory framework(s) where the procedure for environmental and social impact assessment of project/programme is set;
2. What are the steps and requirements included in this regulatory framework?
3. Considering the answers for the two questions above, how will the project/programme follow the requirements of the Environmental and Social impact assessment procedure?

### 2.3. International Standards

**Note 5:** Does the project need to comply with any environmental or social international standards?

List the applicable standard, such as:

- IFC Performance Standards; WB Environmental and Social Framework; Adaptation Fund Environmental Policy; Green Climate Fund Environmental and Social Safeguards; United Nation standards; etc.

## APPENDIX 2. ESSS SCOPING REPORT

### 3. Preliminary Project/Programme Description

**Note 6:** Complete this section with information about the project/programme. At this stage, the aim is to draft on the project's activities and works that could be source of environmental or social impacts. This description should differentiate between the activities and works of the construction and the operation phases. In case there are figures, photo compositions and/or sketches available, these should be also included.

#### 3.1. Project/Programme Specifics

**Note 7:** In this section, include the following information about the project/programme:

1. Location;
2. Schedule; and
3. Financial investment.

#### 3.2. Preparation/Implementation/Construction Phase

**Note 8:** Include information about:

1. List and brief description of the temporary parts, actions and works;
2. List of main supplies that will be needed; and
3. List of potential pollutants to be generated and generation of waste.

#### 3.3. Operation phase

**Note 9:** Include information about:

1. List and brief description of the permanent parts including shelter/housing and infrastructure, actions and works;
2. List of main supplies that will be needed; and
3. List of potential pollutants to be generated and the generation of waste.

### 4. Identification of Key Environmental and Social Issues

**Note 10:** Make a list of the potential key impacts and risks of the project/programme. This list is made by checking the thematic areas defined in the ESSS.

Use the check list included in Annex 2A and argue about the level of risk (probability of occurrence and the potential severity of the risk in case it is realized).

If risk categorization is reconsidered due to change of project/programme design or area of influence, update the list accordingly.

## APPENDIX 2. ESSS SCOPING REPORT

## 5. Stakeholder Engagement

**Note 11:** Include in this section the different steps and tasks in the stakeholder engagement process, from the identification of different groups of stakeholders through to grievance management. It is important to note that the magnitude and scope of the engagement process is directly proportional to the type of project/programme and its impacts.

### 5.1. The Framework

**Note 12:** In case there is a regulatory framework for the environmental and social impact assessment, in this section the requirements for the engagement process set in that framework should be outlined.

### 5.2. The Plan

**Note 13:** Present a plan to engage different stakeholders during the preparation of the ESIA. The plan should include the following:

1. Identify and get to know as many stakeholders as possible, to achieve an appropriate understanding of the people and institutions that could relate to the project/programme;
2. Select methods engagement techniques and consultation methods, based on the different characteristics of the stakeholder groups identified. Generally, engagement and participation methods can follow one or several of the following approaches: technical meeting, community meeting, open house and communication tools; and
3. Set a communication mechanism should be set. On the one hand, a telephone number or email address where stakeholder could approach the project/programme manager or personnel from UN-Habitat; on the other hand, a procedure that ensure that there is a reply to all questions and concerns.

## 6. Plan of Study for the ESIA or ESAP

**Note 14:** Define a plan on how the ESIA report or ESAP will be prepared, focusing on how the environmental and social issues will be addressed. See Chapter 6 of the ESSS if an ESIA is required for your project/programme.

### 6.1. Setting the Area of Influence

**Note 15:** Set the geographical area where the impacts of the project/programme can potentially occur. This will be the area where the studies will be performed. This generally consists of multiple layers, which may or may not coincide for the different environmental or social aspects being considered.

## APPENDIX 2. ESSS SCOPING REPORT

## 6.2. Baseline Studies

**Note 16:** In this section list the environmental and social aspect that will be studied in order characterize the baseline situation in the Area of Influence. The area of influence should be defined during site selection, if applicable to the project/programme.

As a reference, use the following list of environmental and social aspects.

Environmental aspects:

- Climate and meteorology;
- Air quality;
- Geology and geomorphology (a soil map of the proposed Irrigation Area and Project Area);
- Noise and vibration;
- Hydrology and hydrogeology;
- Current water management practices, specifically prioritization schemes for different water uses;
- Surface and groundwater quality (including description and discharge rates of polluting sources);
- Determination of ecological flow on the basis of an ecological assessment.;
- Aquatic flora and fauna;
- Terrestrial flora and fauna;
- Ecosystem services;
- Endangered species, sensitive habitats and other ecological (sensitive) areas; and
- Landscape.

Social aspects:

- Demographics;
- Road and transport infrastructure;
- Public utilities and services;
- Community structures;
- Socio-economic conditions:
  - Poverty;
  - Number and characteristics of vulnerable households;
  - Employment and income;
  - Education; and
  - Housing.
- Socio-economic activities;
- Land ownership and plot sizes (residential and agricultural);
- Land use patterns;
- Cultural heritage (e.g., archaeological and historical properties);
- Community health and safety;
- Recreation;
- Labor and working conditions; and
- Planned development activities.



## APPENDIX 2. ESSS SCOPING REPORT

## 6.3. Impact assessment

**Note 16:** In this section, describe the methodology to be used for impact identification and assessment.

1. Select a methodology that meets international good practice on impact assessment.
2. The selected methodology should, at least, consider the following steps:
  - a. Determine the different impact sources that are linked to the project's/programme's physical structures (temporary or permanent), activities and operating features;
  - b. Relate different impact sources and the environmental and social baseline aspects; and
  - c. Assess the impacts. In this plan clearly present the indicators that will be used in the assessment of impacts (e.g., extension, probability, duration, reversibility, intensity, synergic or cumulative nature, etc.).

All impacts need to be identified and assessed, whether they are beneficial or adverse, short or long-term, temporary or permanent, direct or indirect, local or transboundary. In addition, it is vital that the impact assessment assesses potential cumulative impacts, resulting from interaction between the project/programme and other developments in the Area of Influence.

## 7. Approvals

Topic	Name, Designation, Signatures and Dates
1. Scoping Report author [typically a member of the project/programme development team in partnership with stakeholders as per the Stakeholder Engagement Plan]	
2. Reviewer 1 [typically a programme manager such as Habitat Programme Managers or Chief Technical Advisors at country level, HSO at regional level or Section Chief in HQ]	
3. Endorser 1 [typically a Branch Coordinator, HSO (if project is approved at R-PRC) or Regional Representative]	
4. Endorser 2: ESSS Officer [or designated/rotating member of the ESSS Core Team]. Projects and programmes categorized as A or B may be referred to a second reviewer (including outside of UN-Habitat)	
5. Endorser 3 [Chair of the PRC Working Group for projects/programmes above USD 500,000 – or Regional Representative or Division Director for projects not presented to HQ PRC. The PRC can request a second opinion on the ESSS review]	

**APPENDIX 2. ESSS SCOPING REPORT**

## 8. Additional Comments by the ESSS Officer

Topic	Comments
Any additional comments on the ESSS process and rating.	For ESSS Officer Only

## APPENDIX 2. ESSS SCOPING REPORT

## Annex 2A

The following list includes nine Principles (P), four Social Inclusion Issues (SII) and two Cross-Cutting Thematic Areas (CCTA).

Safeguards	Potential risks and impacts	Level of risk (low, medium, high). Explain/justify in case of medium/high risk <sup>22</sup>
<b>P 1: Labour and working conditions</b>	Worker's rights may be neglected/violated	
	The work could involve the use of child labour	
	The work could involve the use of forced labour	
	Freedom of workers' organisations or collective bargaining may be neglected	
	May particularly affect the safety to live, work and participate in urban life for persons in vulnerable situations.	
<b>P 2: Zero-carbon development, pollution prevention and resource efficiency</b>	During construction or operation, it generates pollutants or waste, which could affect human health or the environment	
	During construction or operation, hazardous materials or pesticides, which could affect human health or the environment, may be used	
	Requires a significant amount of water and/or energy, which implies competition with host communities (for instance, water for human consumption or economic activities)	
	Does the project consider technologies and/or materials in support of low/zero carbon development	
<b>P 3: Climate change resilience, community health, safety and security</b>	Does the project adversely affect the resilience of ecosystems, urban systems, infrastructure or communities?	
	Activities, machinery or infrastructure associated to the project/programme could have adverse impact on the community' health and safety	
	In case of an accident or emergency situation, the effect on the surrounding community or in the ecosystem could be significant.	
<b>P 4: Displacement and involuntary resettlement</b>	Involves displacement, physical or economic, and/or involuntary resettlement	
<b>P 5: Biodiversity conservation, and sustainable management of living natural resources</b>	May adversely impact the marine ecosystem	
	May adversely impact natural habitats	
	May adversely impact critical habitats	
	May adversely impact legally protected areas (by national or international regulations)	
<b>P 6: Indigenous peoples</b>	May adversely impact the rights, lands, resources and territories of the indigenous peoples	
<b>P 7: Cultural Heritage</b>	May adversely impact cultural heritage properties and sites of archaeological, historical, cultural, artistic, and religious significance. May adversely impact intangible heritage (uses and traditions...)	
	In case the project/programme uses cultural heritage, access and use by stakeholder is secured	
<b>P 8: Compliance with the Law</b>	Application to environmental, building or other sectorial permits is a requirement by the local regulation	

<sup>22</sup> Taking into account the principle/safeguard to which it refers, consider the level of impact of the risk: low, if there is little or no likelihood of the risk occurring; medium, if there is a possibility of the risk occurring without it being serious; and high, if the risk is likely to occur and to a significant extent.

## APPENDIX 2. ESSS SCOPING REPORT

Safeguards	Potential risks and impacts	Level of risk (low, medium, high). Explain/justify in case of medium/high risk <sup>22</sup>
	Activities, machinery or infrastructure associated to the project/programme do not imply/involve any violation of local regulations	
<b>P 9: Access and Spatial Justice</b>	The equal distribution of project/programme benefits is not guaranteed	
	May adversely result in any form of discrimination in the access to the project/programme benefits	
<b>SII 1: Human Rights</b>	May result in the violation of any human right	
<b>SII 2: Gender</b>	May especially have negative impacts on girls and women	
	May adversely involve any form of discrimination against girls and women	
<b>SII 3: Children, Youth and Older persons</b>	May especially have negative impacts on children, youth and/or older persons	
	May involve any form of discrimination against children, youth or older persons	
<b>SII 4: Disability</b>	May especially have negative impacts on persons with disabilities	
	May involve any form of discrimination against persons with disabilities	
<b>CCTA 1: Resilience</b>	May affect the protective factors and/or the adaptive capacity of environmental systems	
	May affect the protective factors and/or the adaptive capacity of social (including urban, community and governance) systems.	
<b>CCTA 2: Safety</b>	May affect the safety to live, work and participate in cities and human settlements.	
	May particularly affect the safety to live, work and participate in urban life for persons in vulnerable situations.	
	May in any form risk non-compliance with the United Nations principle of zero tolerance vis-à-vis Sexual Exploitation and Abuse	

## APPENDIX 3. ESIA REPORT

# Appendix 3. ESIA Report

## 1. Executive Summary

**Note 1:** This is a non-technical executive summary, which includes the main content of the ESIA in a language that is easy to understand by different audiences, especially community stakeholders.

The executive summary should include:

- The main characteristics of the project/programme, for construction and operation phases.
- Setting the Area of Influence of the project/programme and the results of the environmental and social baseline studies.
- The findings of the impact assessment, and proposed mitigation measures.
- Description of the process of stakeholder engagement.

## 2. Policy, Legal and Institutional Framework

**Note 2:** This section should be focused on the environmental and socio-environmental regulation.

### 2.1. Institutional Environmental and Social Policies

**Note 3:** Make a reference in case Un-Habitat's, Financial Institutions' or donors' standards are applicable to the project.

Institution/ Organization	Name/Number of the Standards	Applicability to the Project/Programme	How this is addressed in the ESIA

### 2.2. Policy and Legal Framework

**Note 4:**

Is there an Environmental Law or Act in the country? Is there a regulatory framework in which pollution or emission of pollutants are addressed?

Complete this section analyzing existing applicable laws and rules, International Conventions, Treaties and Agreements, and national and international standards and guidelines

Complete the table with the following information:

1. The number, name and the year in which the regulatory body was enacted.
2. A brief description, with the topics or issues addressed in the regulatory body.
3. This is the key information in this section: how does it apply and how will the topics or issues included in the regulatory body be considered in the ESIA.

#	Proclamation/ Regulation	Brief Description	Applicability to this Project/Programme
1			
2			
3			

## APPENDIX 3. ESIA REPORT

### 3. Project/Programme Description and Alternative Selection

**Note 5:** In this section a detailed description of the project/programme should be made. The final aim of this description is to identify the source of impacts: where, how and when they could occur.

#### 3.1. General Overview

**Note 6:** In this section, describe:

- The schedule of the project/programme, by days/months, detail the duration of the different activities within the phases of construction and operation; and
- The budget, with as much detail as possible.

#### 3.2. Project/Programme Location

**Note 7:** In this section, present:

- Location of the project/programme, including country, region, municipality and neighbourhood; and
- Including overview maps of the project/programme and the project/programme area.

#### 3.3. Description of the Project's/Programme's Physical Components and Structures

**Note 8:** In this section, present:

- Temporary structures of the project/programme (those that are part of the construction phase);
- Permanent structures of the project/programme (those that are part of the operation phase); and
- Including figures with the project's/programme's layout.

#### 3.4. Description of the Project's/Programme's Activities

**Note 9:** Activities for the construction and operation phases include, but are not limited to:

- Storage of materials;
- Provision of basic supplies;
- Provision of basic utilities;
- Machinery or equipment to be used;
- Estimation of emissions;
- Waste generation; and
- Vehicular flow associated.

## APPENDIX 3. ESIA REPORT

## 4. Baselines Studies

### 4.1. Setting the Study Limits

Identifying and justifying the Area of Influence.

Including information about political/administrative division.

### 4.2. Methodology and Objectives

Including a general overview and specificities for each dimension or aspects.

## 5. Impact and Risk Assessment

### 5.1. Impact and Risk Assessment Methodology

### 5.2. Impact and Risk Identification and Assessment

Include for each project/programme phase relevant maps, aerial photos, satellite images in proper scale clearly indicating the location of sources of Adverse Impacts, the spatial and temporal distribution of such impacts and with reference to the Description of the Surrounding Environment, the components that are likely to be impacted and the nature of the impacts.

## 6. Environmental and Social Management Plan

**Note 10:** The ESMP is formed by measures that address all environmental and social impacts derived from the Impact and Risk Assessment. Aim of the ESMP is to define appropriate measures to mitigate the identified and assessed impacts. As part of the ESMP, a plan for monitoring the environmental and social performance of the project/programme, which ensures that measures are being implemented as planned.

### 6.1. Content of Each Measure

**Note 11:** Complete the following table for each measure that is part of the ESMP.

Environmental or social aspect affected by the impact	(Aspects that were considered in the Baseline studies)
Associated impact	(Identified and assessed in the chapter below)
Project/programme phase	(Construction or operation)
Type of measure	(Minimization, mitigation or compensation)
Name of the measure	
Objective	
Description	
Location for the implementation	(Project/programme area, area of influence or other)
Method of implementation	
Timeframe	(Construction or operation; days/months/years)

## APPENDIX 3. ESIA REPORT

Monitoring	Indicator: Means of verification: Frequency:
------------	--

## 6.2. Monitoring

**Note 12:** The Management Plan should include the monitoring of the project/programme during the implementation phase. Monitoring is aimed at: observing that environmental and social risks and impacts of the project/programme, ensuring compliance with the regulatory framework and ensuring that the Management Plan is implemented and working according to plan.

Type, scope and frequency of the monitoring plan should be planned accordingly to the magnitude of the project's/programme's risks and impacts.

The Monitoring plan should include, for every measure (measure defined to address the assessed impacts) a description of:

- The monitoring indicators;
- The frequency of the monitoring;
- Monitoring roles and responsibilities; and
- Means of verification.

## 7. Public Consultation and Disclosure

**Note 13:** In this section include a description of the main topics and issues discussed during the stakeholder engagement process and how these were incorporated into the ESIA process.

### 7.1. Approach

**Note 14:** Describe the strategy used for engaging stakeholders, referring to the Stakeholder Engagement Plan defined in the Safeguard Scoping Report. This section should be a brief description of the actual implementation of the Plan:

- How was implemented the during the Screening, Scoping and ESIA phase;
- What kind of activities were implemented; and
- Who participate in the activities?

### 7.2. Summary of Consultations and Activities Undertaken

**Note 15:** Complete the following table, describing each of the engagement activities implemented. There should be one table for each of the phases: screening, scoping and ESIA.

Additionally, attach as annexes of this section all Minutes of meetings, pictures, audios and other materials resulting from engagement activities with stakeholders (including authorities at the national and local level, communities, interested parties, etc.)



**APPENDIX 3. ESIA REPORT**

Date	Stakeholders	Location	Key topics discussed

**7.3. Results of Consultations**

**Note 16:** Complete the following table, listing the Question/observation/Comment received, the engagement activity (in which activity, when) and detailing how the Question/observation/ Comment is addressed in the ESIA. It is important to mention that this table is the core of this chapter, as it shows the actual participation of the stakeholders.

Question/observation/ Comment	Activity in which it was presented	How it was addressed on the ESIA

**7.4. Further Activities**

**Note 17:** Describe planned activities for engaging stakeholders when the Environmental License is granted, that is, during construction and operation.

## APPENDIX 4. ESAP

# Appendix 4. ESAP

## 1. Introduction

**Note 1:** Introduce the project/programme, presenting:

- A brief description of the project;
- The institutional stakeholders involved; and
- The content of this report.

## 2. Results of the Scoping Report

**Note 2:** This section should be focused on providing an overview of the project's/programme's sources of impacts and risks.

### 2.1. Regulatory Framework

**Note 3:** Provide an overview of the key environmental and socio-environmental regulatory framework of the where the project/programme will be implemented and the international standards that applied to the project/programme.

### 2.2. Project/Programme Description

**Note 4:** Complete this section with information about the project/programme. In this report the aim is to draft on the project's/programme's activities and works that could be source of environmental or social impacts. This description should differentiate between the activities and works of the construction and the operation (maintenance) phases.

## APPENDIX 4. ESAP

## 2.3. Identification and Assessment of Environmental and Social Impacts

**Note 5:** Make a detailed list of the potential key impacts and risks of the project/programme in each environmental and social aspects.

As a reference, use the following list of environmental and social aspects.

Environmental aspects:

- Climate and meteorology;
- Air quality;
- Geology and geomorphology (a soil map of the proposed Irrigation Area and Project Area);
- Noise and vibration;
- Hydrology and hydrogeology;
- Current water management practices, specifically prioritization schemes for different water uses;
- Surface and groundwater quality (including description and discharge rates of polluting sources);
- Determination of ecological flow on the basis of an ecological assessment;
- Aquatic flora and fauna;
- Terrestrial flora and fauna;
- Ecosystem services;
- Endangered species, sensitive habitats and other ecological (sensitive) areas; and
- Landscape.

Social aspects:

- Demographics;
- Road and transport infrastructure;
- Public utilities and services;
- Community structures;
- Socio-economic conditions:
  - Poverty;
  - Number and characteristics of vulnerable households;
  - Employment and income;
  - Education; and
  - Housing.
- Socio-economic activities;
- Land ownership and plot sizes (residential and agricultural);
- Land use patterns;
- Cultural heritage (e.g., archaeological and historical properties);
- Public health;
- Recreation;
- Labor and working conditions; and
- Planned development activities.

## APPENDIX 4. ESAP

### 3. Environmental and Social Management Plan

**Note 6:** The Management Plan is formed by measures that address environmental and social impacts. As the ESAP is thought for Category C projects/programmes, the Management Plan should be focused on management of activities with minimal or no adverse risks and impacts.

#### 3.1. Content of Each Measure

**Note 7:** Complete the following table for each measure that is part of the Management Plan.

Environmental or social aspect affected by the impact	(Aspects that were considered in the Baseline studies)
Associated impact	(Identified and assessed in the chapter below)
Project/programme phase	(Construction or operation)
Type of measure	(Avoidance or mitigation)
Name of the measure	
Objective	
Description	
Location for the implementation	(project/programme area, area of influence or other)
Method of implementation	
Timeframe	(Construction or operation; days/months/years)
Monitoring	Indicator: Means of verification: Frequency:

#### 3.2. Monitoring Plan

**Note 8:** The Management Plan should include the monitoring of the project/programme during the implementation phase.

Type, scope and frequency of the monitoring plan should be planned accordingly to the magnitude of the project's/programme's risks and impacts.

The Monitoring plan should include, for every measure (measure defined to address the assessed impacts) a description of:

- The monitoring indicators;
- The frequency of the monitoring;
- Monitoring roles and responsibilities; and
- Means of verification.

**APPENDIX 4. ESAP**

## 4. Stakeholder Engagement

**Note 9:** Include in this section the different steps and tasks in the stakeholder engagement process, from the identification of different groups of stakeholders through to grievance management.

It is important to note that the magnitude and scope of the engagement process is directly proportional to the type of project/programme and its impacts.

**APPENDIX 5. ESSS MONITORING MATRIXES**

# Appendix 5. ESSS Monitoring Matrixes

**Note 1:** The Environmental and Social Monitoring is aimed at:

1. Observing the environmental and social risks and impacts of the project/programme;
2. Ensuring that the Management Plan is implemented and working according to plan; and
3. Ensuring compliance with the regulatory framework.

In order to implement the monitoring, two matrixes should be used during the operation phase.

1. Regulatory and legal Matrix; and
2. ESMP follow-up Matrix.

## 1. Regulation and Legal Matrix

#	Phase	Name of the requirement	International Standard	National regulation/law applicable	Description of the regulatory/legal requirement	Institution who checks/audits	Operational risk	Environmental aspect or component	Status of Compliance	Observations

**APPENDIX 5. ESSS MONITORING MATRIXES**

**Note 2:** The table should be complete according to:

**Column #:** number (ID) of the requirement;

**Column Phase:** Phase of the project/programme in or throughout which a certain requirement must be met (construction phase, operation phase, or construction and operation phase);

**Column Name of the requirement:** Indicate in a few words the focus of the requirement;

**Column international standard:** the standard or regulation in which the requirement originates (if the source concerns a national regulation, this column will remain empty and only complete the next column);

**Column National regulation:** The national law or regulation in which the requirement originates (if the source concerns an international standard, this column will remain empty);

**Column Check or audit:** Institution or person who checks or audits, indicating who carries responsibility for ensuring compliance;

**Column Operational Risks:** Name and describe the operational risks associated with the requirement. This will be a qualitative description of the risk associated with non-compliance;

**Column E&S Aspect:** Environmental or social aspect to which the operational risk relates;

**Column Status:** Status of compliance (fully compliant, partially compliant, or not complaint); and

**Column Observations:** leaving space for comments/observations regarding the level of compliance or the steps that need to be taken to reach or maintain full compliance.

## 2. ESMP Follow-Up Matrix

#	Name	Phase	Associated Impact	Indicator	Means of verification	Frequency	Institution or person who checks/audits	Status of Compliance	Results	Corrective Measures

**APPENDIX 5. ESSS MONITORING MATRIXES**

**Note 2:** The table should be complete according to:

**Column #:** number (ID) of the measure;

**Column Name:** Indicate in a few words the focus of the measure;

**Column Phase:** Phase of the project/programme in or throughout which a measure needs to be monitored (construction phase, operation phase, or construction and operation phase);

**Column Indicator:** Data or information used to know or assess the performance of a measure;

**Column Means of Verification:** Records that will be used to verify that the measure is working according to plan;

**Column Frequency:** Frequency of the monitoring (e.g., weekly, monthly, etc.);

**Column Status:** Status of the monitoring (fully compliant, partially compliant, or not complaint);

**Column Result:** Description of the results, explaining its contents in somewhat more detail; and

**Column Corrective Measures:** Is there a need for corrective measures? Which one? Who will be responsible?



**APPENDIX 6. DEVELOPMENT IMPACT PLAN**

# Appendix 6. Development Impact Plan (DIP)

## 1. Activities overview and potential associated risks

List the main activities to be carried out throughout the project and the potential risks that it may develop in the future.

N°	Name of activity	Description	Applicable safeguards and potential risk (see Annex 1A). Justify	Review E&S Officer

## 2. Follow-up: activities and timeline

List each of the activities with their duration and a proposed timeline for monitoring to ensure direct observation of the activity, subsequent development phases, changes that may occur and measurement of the associated risk/impact.

N°	Duration	Proposed observation timeline	Means of monitoring each associated impact	Stakeholder responsible for monitoring	Review E&S Officer

APPENDIX 7. RECORDS OF PARTICIPATORY ACTIVITIES

# Appendix 7. Records of Participatory Activities

## Proposed Format for the List of Attendees

<b>LOGO 1</b>	<b>List of Attendees</b> Activity: [name of the activity] Project/programme: [name of the project/programme/activity]	<b>LOGO 2</b>
---------------	---	---------------

N°	Name	Gender	Institution / Organization	Telephone	e-mail	Signature
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

Date:

Duration:

N° of Attendees

Page N°:

**APPENDIX 7. RECORDS OF PARTICIPATORY ACTIVITIES**

## Proposed Format for the Minutes of Meeting

Date	
Venue	
Main goals of the activity	<ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> </ol>
Total number of attendees	
Description of attendees according to categories	<ol style="list-style-type: none"> <li>1.</li> <li>2.</li> <li>3.</li> <li>4.</li> <li>5.</li> </ol>

**APPENDIX 7. RECORDS OF PARTICIPATORY ACTIVITIES**

Main topics discussed (and actions agreed):

--	--

## APPENDIX 8. IMPLEMENTATION TEAM

## Appendix 8. ESSS 3.0 Implementation Team

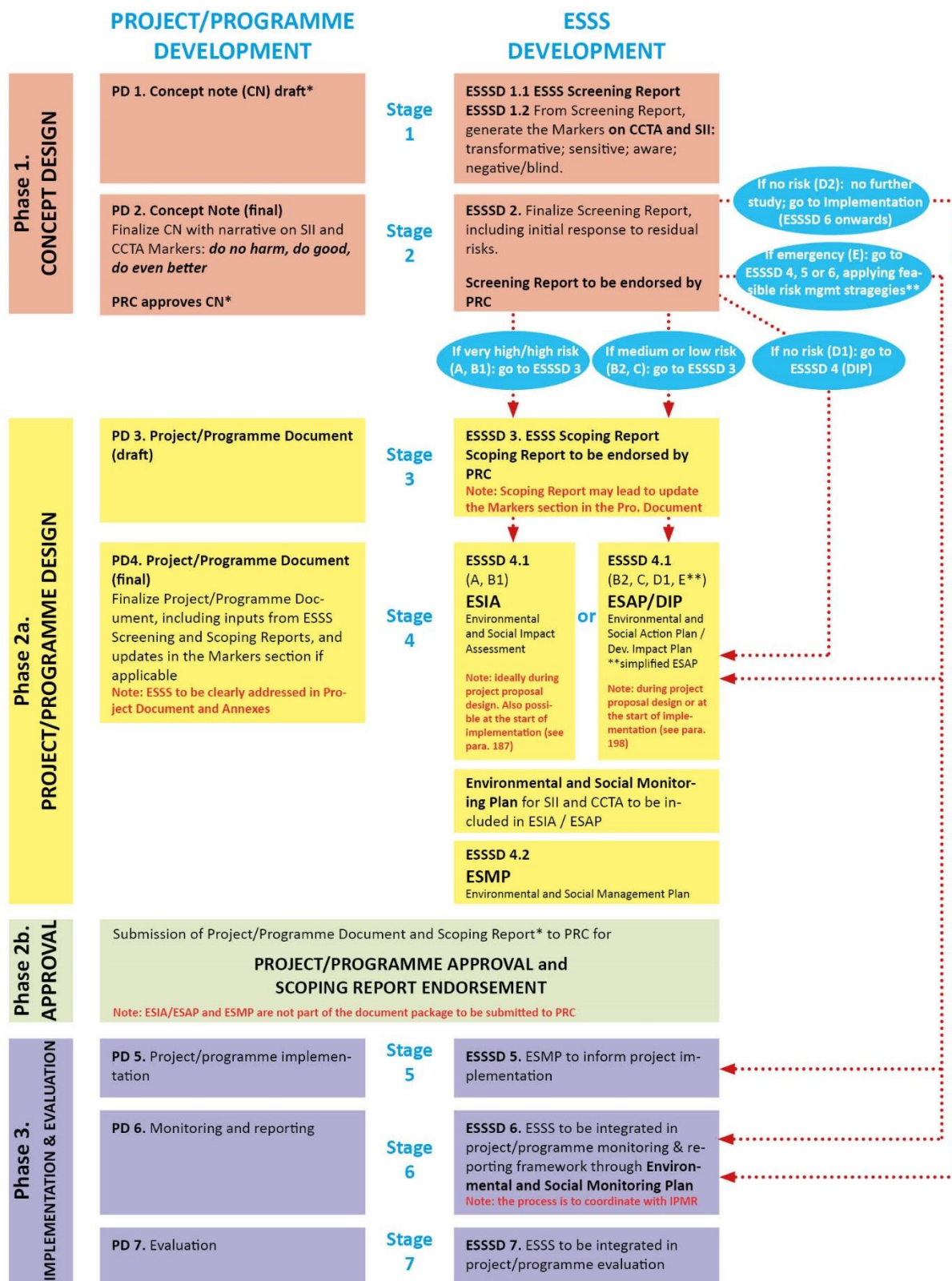
The ESSS 3.0 Implementation Team is composed by the following members.<sup>23</sup> For questions, please send an email to [unhabitat.esss@un.org](mailto:unhabitat.esss@un.org)

ERSKID	Strategic Planning Unit	Fee Stehle
ERSKID	PRC Secretariat	Rosa Muraguri-Mwololo
ERSKID	Knowledge and Innovation Branch	Isabel Shirin Enyonam Wetzell
ERSKID	External Relations and Partnerships Branch	Lucia Kiwala
GSD	Planning, Finance and Economy Section, UPB	Sebastian Lange
GSD	Urban Basic Services Section, UPB	Nao Takeuchi
GSD	Human Rights and Social Inclusion Unit, UPB	Angela Mwai
GSD	Capacity Development and Training Unit, PDB	Raphaelle Vignol
GSD	Programme Development Branch	Katja Schaefer
GSD	Land, Housing and Shelter Section, UPB	Robert Lewis-Lettington
GSD	Policy, Legislation and Governance Section, UPB	Anne Amin
MACS	Oversight and Internal controls Unit	Modupe Adebanjo
MACS	Logistics Unit, ICT	Kamal Naim
OED	Legal Unit	Saidou Ndow
OED	Independent Evaluation Unit	Martin Barugahare
RPD	ROLAC / Planning, Finance and Economy Section	Javier Torner
RPD	ROAP / PDB	Bernhard Barth (Chair)
RPD	ROAf	Fruzsina Straus
RPD	Regional Programmes Division,	Xuesai Ma
RPD	ROAS	Yasmine Mostafa

<sup>23</sup> As per the circular of 10 March 2021 by Bernhard Barth and the follow up message by Neil Khor

APPENDIX 9. WORKFLOW

# Appendix 9. Workflow Project/Programme Management & ESSS Alignment



\* If the CN is not required, skip PD 1 and PD 2. In this case, the Screening Report is to be submitted to PRC together with the Scoping Report and Project/Programme Document (Project/Programme Design phase)

\*\* Projects categorized as “emergency” (E) will need to follow the ESSS workflow once the project situation allows; a new Screening Report should determine the final categorization and the appropriate follow up action

**APPENDIX 10. RESPONSIBILITIES  
IMPLEMENTATION LEAD**

## Appendix 10. Responsibilities of the ESSS Implementation Lead

1. Promoting, developing and supporting the implementation of the Environmental and Social Safeguards System of UN-Habitat. The ESSS Officer will head the ESSS office, provide independent oversight of the application of the ESSS Framework.
2. Lead the ESSS Implementation Team comprised of UN-Habitat personnel, designated by the Deputy Executive Director, which will support ESSS implementation.
3. Ensure organizational compliance with the ESSS, in particular:
  - i. Advises the ED;
  - ii. Ensures change management process including training and knowledge management;
  - iii. Delivery of annual ESSS report which includes monitoring at project/programme and institutional level;
  - iv. Adjust SOPs at the institutional level; and
  - v. Periodically reviews the ESSS in accordance with UN requirements, requirements of partners/donors and with good industry practices, in close collaboration with relevant partners/donors.
4. Ensure compliance of project/programme approval, implementation, monitoring and reporting requirements with the ESSS framework. In particular:
  - i. Review/verify scoping and screening of A, B1 and B2 projects and programmes;
  - ii. Sampling of other-rated projects and programmes (gradual implementation to all projects and programmes (A, B1, B2, C, D & E) in 2/3 years);
  - iii. Advice PRC on compliance with ESSS requirements;
  - iv. Organize and conduct monitoring and review of project/programme level ESSS reporting; and
  - v. Adjust the SOPs for project/programme level ESSS roll out, in particular for interested parties.
5. Perform other related duties as may be assigned.

## Document Information

<b>Title</b>	UN-Habitat Environmental and Social Safeguards System (ESSS)
<b>Version</b>	3.1
<b>Source language</b>	English
<b>Responsible Officer</b>	Implementation Team (see Appendix 8)
<b>Developed by</b>	Implementation Team (see Appendix 8)
<b>Subjects</b>	Safeguard Standards, Screening, Risk Categorization, Scoping, Impact Assessment, Monitoring, Stakeholder Engagement, Communication Mechanism
<b>Date approved</b>	16 August 2021
<b>Original version 3.0 approved by</b>	Executive Director
<b>Revised version approved by</b>	Programme Management Committee (8 December 2021)
<b>Applicable to</b>	UN-Habitat staff and partners executing UN-Habitat projects and programmes
<b>Purpose</b>	To provide guidance for the integration of environmental and social safeguards, in order to address potential risks and impacts of UN-Habitat projects and programmes
<b>Conforms to</b>	Internationally accepted environmental and social safeguard policies and standards, as well as requirements by multi-lateral donors and agencies
<b>Related Documents</b>	<ul style="list-style-type: none"> <li>• ESSS 2.0 (2018)</li> <li>• Programme and Project Review Mechanism (2020);</li> <li>• Policy for Implementing Partners v2.0 (2017);</li> <li>• UN-Habitat Policy and Plan for Gender Equality and the Empowerment of Women in Urban Development and Human Settlements (2014);</li> <li>• Enterprise Risk Management Implementation Guidelines (2015);</li> <li>• Evaluation Policy (2013); and</li> <li>• UN-Habitat Accountability Policy (2012).</li> </ul>
<b>Distribution</b>	www.unhabitat.org

## Document History:

Version	Release date	Summary of changes
Version 1.0	9 December 2016	Original version
Version 2.0	18 June 2018	Revised version, specifying 1) reporting requirements for moderate risk projects; and 2) disclosure requirements
Version 3.0	6 September 2021	Revised version, updating and incorporating environmental and social requirements for a fully operating Management System.
Version 3.1	15 December 2021	Slightly revised version, including the split of Category D into D1 and D2, additional annotations to enhance the screening and scoping templates, edits for language and consistency.



