

### Project Information

<b>Project Information</b>	
1. Project Title	Improving the efficiency and coverage of multi-hazard early warning systems for climate change induced hazards in Uzbekistan
2. Project Number	PIMS 6218
3. Location (Global/Region/Country)	Uzbekistan

### Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

#### QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

##### *Briefly describe in the space below how the Project mainstreams the human-rights based approach*

The project will target 11,296,000 direct and 32,390,000 indirect people across Uzbekistan that are highly vulnerable to climate change induced extreme events. With the expansions of the Multi-Hazard Early Warning System (MHEWS), the project will outreach the entire population of Uzbekistan to reduce the vulnerability to climate induced natural disasters. The project will significantly improve access to climate information and provide the ability to warn vulnerable communities of the country to an impending climate event, thereby ensure that remote, socially and economically vulnerable communities receive equal access to warnings and safety information. With this knowledge for example, during an impending events, the communities can take proactive steps to ensuring the protection of their assets through moving their belongings, animals and other important goods to higher ground, thus increasing their chances to better cope with extreme impacts from climate induced events.

This has a significant social and human rights benefits. It allows communities to be more aware of the actions they need to take prior to an event and builds climate resilience within the communities. The project's risk reduction measures accompanying the MHEWS will target the most vulnerable mountainous communities in order to enhance local adaptation capacities; reduce the risks of floods, mudflows and landslides including loss of life and assets; secure local livelihoods; and promote growth and diversification of the local economy.

The project will improve the dissemination of information to allow them to make decision prior to, during and post disasters. It will also provide valuable data that will allow for future planning on how communities need to adapt their current activities to meet the increasing threat of climate change. The project will be developing and implementing Regional Crisis Management Centres EWS (to complement a nation-wide MHEWS) and Community-Based Disaster Risk Management approaches.

There are no known indigenous peoples and/or ethnic groups and/or internally displaced peoples known to inhabit the specific areas of the interventions. However, prior to undertaking any intervention, additional stakeholder engagement will be conducted to ensure that any ethnic groups and/or internally displaced peoples are fully consulted to ensure the project will not impact on them and/or their cultures/traditions. If any people are found to be located within the area, the project will comply with the UNDP Social and Environment Standard and GCF Policies.

A grievance redress mechanism has been developed for the project (See Attachments 2 and 3).

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<p><b><i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i></b></p> <p>The project does not have a specific focus on gender although it will ensure gender equity. Many of the project beneficiaries will be women; especially within communities where the awareness building and "last mile" communication and dissemination interventions will be built. The project will ensure that women are empowered to benefit from the project interventions, including access to enhanced warning and information about climate risks, which will provide women with the improved resilience to cope with climate change impacts.</p>
<p><b><i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i></b></p> <p>The project will update the current monitoring network for weather, climate, hydrology, and cryosphere (snow and ice), through both upgrading existing (automating) and installing new monitoring equipment (AWS, automatic hydrological stations, upper air sounding stations, and strategically placed low cost radars), all on existing infrastructure.</p> <p>The project will have extremely limited environmental and social impacts, with any impacts being highly spatially and temporally restricted and totally reversible. The environmental and social impacts are likely only as a result of the structural interventions limited to the installation of the hydrometeorological observation equipment and information boards on the existing government sites. Mitigation measures have been fully defined and are outlined in Part B of this document. Based on the assessment, the project is considered to have a low risk, and less so with the management plan actions.</p> <p>The project will provide a number of significant environmental benefits. By enabling better predictive management of climate-induced disasters (floods, landslides, mudflows, etc.), the project will yield environmental benefits. The degradation of vegetation, water quality and natural habitat due to increased pressure from hydro-meteorological disasters has been a concern. This degradation reduces natural capital both directly, through destabilisation of hill slopes leading to increased risk of landslides and sediment movement, and indirectly, by impeding the long-term sustainability of agricultural livelihoods. With significant additional knowledge, this will improve beneficiaries' knowledge that will have flow on effects. Enabling the identification of landslide risk areas under heavy rainfall through this project will provide much needed information ahead of such events. Additionally the development of hydrological drought forecasting for the Syr Darya and Zeravshon rivers will enable better land use planning, water and irrigation management, especially during low flows, which will reduce the risks of salinization in agricultural areas. Mudflow and avalanche risk maps and forecasts will also provide prior warning, mitigating the need for prior blasting where there is a build up of landslips and snow.</p>

### Part B. Identifying and Managing Social and Environmental Risks

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>	<b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			<b>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</b>
<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</b>
<p>Risk 1: Contamination of water sources</p> <p>During the installation of information boards and the rehabilitation/renovation of the existing hydromet infrastructure/facilities that may be required to allow for the new equipment to be installed on the existing site, it may be necessary to undertake activities that for example, move sediment although this is unlikely.</p> <p>Machinery will also be onsite that if not maintained properly could release fuels and oils etc. If this occurs, there is the potential for the release of chemicals, nutrients, heavy metals and other material from the sediment and for these to enter waterways and groundwater systems during the rehabilitation/renovation/installation works.</p>	<p>I = 1 P = 1</p>	<p><b>Low</b></p>	<p>All locations where renovation/installation activities will be undertaken are within the footprints of existing Government sites. No greenfield sites are proposed as part of the project.</p> <p>Should any activities be undertaken near water courses, sediment fences and bunding should be installed to ensure that no sediment and any waste is moved offsite.</p> <p>No chemicals, fuels and other materials will be left on site overnight.</p> <p>Where any rainfall is anticipated, appropriate</p>	

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			<p>material should be placed under any material that is being stored on site to ensure there is no seepage into groundwater and surface water ecosystems.</p> <p>These requirements will be included in contract documentation with vendors.</p> <p>Budget of \$20,000</p>	
<p><b>Risk 2: Construction Noise</b></p> <p>Noise must be limited to machinery used for the renovation works and then installation of the new observation infrastructure or information boards on the existing sites. It is likely that noise will be generated through the use of machinery and trucks. All machinery should be fitted with noise limiting exhausts and other appropriate interventions.</p>	<p>I = 1 P = 2</p>	<b>Low</b>	<p>The contractor that is engaged must consider any sensitive receptors including communities and environmental habitats during any component of the observation infrastructure construction/installation. Where necessary, noise shields should be constructed to reduce the potential for noise to reach these communities and/or environmentally sensitive locations if an impact occurs.</p> <p>These requirements will be included in contract documentation with vendors.</p> <p>Budget: \$15,000</p>	
<p><b>Risk 3: Sediment movement during the installation of hydro-meteorological observation equipment</b></p> <p>Rehabilitation/renovation works will be required for the installation of the early warning system, weather stations and community information boards. As such, it may be necessary to move sediment</p>	<p>I = 1 P = 2</p>	<b>Low</b>	<p>All locations where renovation/installation activities will be undertaken are within the footprints of existing Government sites. No greenfield sites are proposed as part of the project.</p>	

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<p>although this is considered to be unlikely. If not managed, this sediment could enter the aquatic environment reducing water quality, or in the alternative, be blown resulting in reduced air quality</p> <p>Machinery will also be onsite that if not maintained properly could release fuels and oils etc. If this occurs, there is the potential for the release of chemicals, nutrients, heavy metals and other material from the sediment and for these to enter waterways and groundwater systems during the rehabilitation/renovation works .</p>			<p>Should any activities be undertaken near water courses, sediment fences and bunding should be installed to ensure that no sediment and any waste is moved offsite.</p> <p>No chemicals, fuels and other materials will be left on site overnight.</p> <p>Where any rainfall is anticipated, appropriate material should be placed under any material that is being stored on site to ensure there is no seepage into groundwater and surface water ecosystems.</p> <p>These requirements will be included in contract documentation with vendors.</p> <p>Budget of \$20,000</p>	
<p>Risk 4 Vegetation Clearing</p> <p>Some vegetation may need to be removed for Activities 1.1, 2.1 and 3.3.</p>	<p>I = 1 P = 2</p>	<p><b>Low</b></p>	<p>Where any vegetation needs to be removed and/or trimmed, the Contractor, Uzhydromet, Ministry of Emergency Situations and UNDP will ensure that the vegetation being removed and/or trimmed is not a protected species, and any removal/trimming is limited to only that necessary to install the proposed infrastructure.</p> <p>Further, it will be important to ensure that any arboreal species are not impacted in</p>	

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			<p>anyway through vegetation removal and/or trimming.</p> <p>Where necessary, the project will engage a arboreal animal spotter and botanist prior to the removal and/or trimming of any vegetation to ensure no important flora species are impacted and moreover, no arboreal species are impacted as a result of construction and renovation activities are undertaken.</p> <p>These requirements will be included in contract documentation with vendors.</p> <p>Budget \$10,000</p>	
<p>Risk 5: Disturbance of Riverine and Riparian Ecosystems</p> <p>There is the potential for the removal / disturbance of both riparian vegetation and riverine habitats with the installation and/or replacement of new infrastructure under Activity 1.1. This could result in disturbances to flow, arboreal habitat and benthic environments for both invertebrate and vertebrate fauna.</p>	<p>I = 1 P = 2</p>	<p><b>Low</b></p>	<p>No new works are proposed in any location that does not already have existing infrastructure on Government land.</p> <p>Prior to any activities, the contractor will under a rapid assessment consistent with international standards to identify any sensitive receptors and where observed although none are anticipated.</p> <p>The project will engage an aquatic ecologist and botanist prior to the works to ensure no important flora and fauna species are impacted.</p>	

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			<p>These requirements will be included in contract documentation with vendors.</p> <p>Budget \$10,000</p>	
<p>Risk 6: Locating infrastructure that is socially detrimental</p> <p>The automated weather stations and early warning systems will be placed at various locations on existing infrastructure. There is the potential for these to be placed in locations that are socially unacceptable if any population groups are excluded from relevant consultations or decision making.</p>	<p>I = 1 P = 2</p>	<p><b>Low</b></p>	<p>Stakeholders have been consulted during the project design and a stakeholder engagement plan was developed. Additional stakeholder consultation at local level will be undertaken prior to the selection of infrastructure (equipment) sites to ensure no impacts. No interventions will be undertaken on private land. All interventions will be constructed on existing infrastructure. Further, any works undertaken under Activity 3.3 will be visually acceptable.</p> <p>Outcome will be to ensure no social impact as all construction activities will be conducted on or within existing infrastructure.</p> <p>These requirements will be included in contract documentation with vendors. Stakeholder consultations will be pursued in accordance with the Stakeholder Engagement Plan and the Plan will be regularly updated. A Grievance Redress Mechanism is design for all stakeholders to be able to voice their</p>	

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			concerns (see Annexes 2 and 3),  Budget \$10,000	
<p><b>Risk 7: Worker's and Community Health and Safety</b></p> <p>There are unlikely to be any significant risks to the community and workers during installation and maintenance relate to health and safety including but not limited to disruptions to access to properties and businesses. Workers are only likely to be harmed through not taking appropriate hazard identification and mitigation steps.</p>	<p>I = 1 P = 2</p>	<p><b>Low</b></p>	<p>Community health and safety issues, which may occur with the project are considered to be minor and manageable.</p> <p>The project will ensure that all contractors comply with Uzbekistan's employment and labour laws and regulations. Guidelines for managing worker health and safety on site to be required from contractors as part of the bid process and included in the contracts. Further, the contractors will be required to manage any potential risks through effective codes of practice for the installation of infrastructure, training of workers and good supervision and oversight of mitigation measures as contained within Labour Management Procedures. This will include the provision of PPE etc.</p> <p>The budget for this risk will be borne by the construction component of the project and will be a requirement of the contractual documentation.</p>	
	<p><b>QUESTION 4: What is the overall Project risk categorization?</b></p>			
	<p><b>Select one (see <a href="#">SESP</a> for guidance)</b></p>			<p><b>Comments</b></p>
	<p><b>Low Risk</b></p>	<p><b>X</b></p>	<p>The project has the very limited potential to result in highly restricted spatial and temporal impacts that are</p>	



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			totally reversible. The risks are therefore considered to be low.
	<b>Moderate Risk</b>	<input type="checkbox"/>	
	<b>High Risk</b>	<input type="checkbox"/>	
	<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>		
	Check all that apply		<b>Comments</b>
	<b>Principle 1: Human Rights</b>	<input type="checkbox"/>	As all risks are low, no principles and/or standards are triggered
	<b>Principle 2: Gender Equality and Women's Empowerment</b>	<input type="checkbox"/>	
	<b>1. Biodiversity Conservation and Natural Resource Management</b>	<input type="checkbox"/>	
	<b>2. Climate Change Mitigation and Adaptation</b>	<input type="checkbox"/>	
	<b>3. Community Health, Safety and Working Conditions</b>	<input type="checkbox"/>	
	<b>4. Cultural Heritage</b>	<input type="checkbox"/>	
	<b>5. Displacement and Resettlement</b>	<input type="checkbox"/>	
	<b>6. Indigenous Peoples</b>	<input type="checkbox"/>	
	<b>7. Pollution Prevention and Resource Efficiency</b>	<input type="checkbox"/>	

### Final Sign Off

Signature	Date	Description
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases, PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.



## **Annex VI (a) – Social and Environmental Screening Template**

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### Attachment One Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
<b>Principles 1: Human Rights</b>		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	Yes
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Principle 2: Gender Equality and Women's Empowerment</b>		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	Yes
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No

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1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	Yes
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
<b>Standard 4: Cultural Heritage</b>		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No

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4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions?	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources?	No
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Yes
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?  <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No

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7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No
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### Attachment Two Complaints Register and Grievance Redress Mechanism

1. During the installation and implementation phases of any project, a person or group of people can be adversely affected, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as disruption of services, and other social and cultural issues. Grievances may also be related to environmental issues such as dust generation, damages to infrastructure due to construction, noise etc.
2. Should such a situation arise, there must be a mechanism through which affected parties can resolve such issues in a cordial manner with the project personnel in an efficient, unbiased, transparent, timely and cost-effective manner. To achieve this objective, a grievance redress mechanism has been included in the UNDP Social and Environmental Screening Procedure (SESP) Template for this project.
3. The project allows those that have a complaint and/or feel aggrieved by the project to be able to communicate their concern, complaints and/or grievances through an appropriate process. The Complaints Register and Grievance Redress Mechanism set out in this SESP are to be used as part of the project and will provide an accessible, rapid, fair and effective response to concerned stakeholders, especially any vulnerable group who often lack access to formal legal regimes.
4. While recognising that many complaints may be resolved immediately, the Complaints Register and Grievance Redress Mechanism set out in this SESP encourages mutually acceptable resolution of issues as they arise. The Complaints Register and Grievance Redress Mechanism set out in this SESP has been designed to:
  - a. be a legitimate process that allows for trust to be built between stakeholder groups and assures stakeholders that their concerns will be assessed in a fair and transparent manner;
  - b. allow simple and streamlined access to the Complaints Register and Grievance Redress Mechanism for all stakeholders and provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns;
  - c. provide clear and known procedures for each stage of the Grievance Redress Mechanism process, and provides clarity on the types of outcomes available to individuals and groups;
  - d. ensure equitable treatment to all concerned and aggrieved individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a concern, complaints and/or grievances;
  - e. to provide a transparent approach, by keeping any aggrieved individual/group informed of the progress of their complaint, the information that was used when assessing their complaint and information about the mechanisms that will be used to address it; and
  - f. enable continuous learning and improvements to the Grievance Redress Mechanism. Through continued assessment, the learnings may reduce potential complaints and grievances.
5. Eligibility criteria for the Grievance Redress Mechanism include:
  - a. Perceived negative economic, social or environmental impact on an individual and/or group, or concern about the potential to cause an impact;
  - b. clearly specified kind of impact that has occurred or has the potential to occur; and explanation of how the project caused or may cause such impact; and
  - c. individual and/or group filing of a complaint and/or grievance is impacted, or at risk of being impacted; or the individual and/or group filing a complaint and/or grievance demonstrates that it has authority from an individual and or group that have been or may potentially be impacted on to represent their interest.
6. Local communities and other interested stakeholders may raise a grievance/complaint at all times to the Ministry of Emergency Situations of the Republic of Uzbekistan (MES) and Centre of Hydrometeorological Service under the Cabinet of Ministers of Republic of Uzbekistan (Uzhydromet). Affected local communities should be informed about the SESP provisions, including its grievance mechanism and how to make a complaint.

### Complaints Register

7. Where there is a community issue raised, the following information will be recorded:
8. A complaints register will be established as part of the project to record any concerns raised by the community during construction. Any complaint will be advised to the UNDP, MES and Uzhydromet within 24 hours of receiving the complaint. The complaint will be screened. Following the screening, complaints regarding corrupt practices will be referred to the UNDP for commentary and/or advice along with the MES and Uzhydromet.
9. Wherever possible, the project team will seek to resolve the complaint as soon as possible, and thus avoid escalation of issues. However, where a complaint cannot be readily resolved, then it must be escalated.
10. A summary list of complaints received, and their disposition must be published in a report produced every six months.

### Grievance Redress Mechanism

11. The Grievance Redress Mechanism has been designed to be problem-solving mechanism with voluntary good-faith efforts. The Grievance Redress Mechanism is not a substitute for the legal process. The Grievance Redress Mechanism will as far as practicable, try to resolve complaints and/or grievances on terms that are mutually acceptable to all parties. When making a complaint and/or grievance, all parties must act at all times, in good faith and should not attempt to delay and or hinder any mutually acceptable resolution.
12. In order to ensure smooth implementation of the project and timely and effectively addressing of problems that may be encountered during implementation, a robust Grievance Redress Mechanism, which will enable to the MES and Uzhydromet to address the grievances of the stakeholders of the project has been established.
13. All complaints and/or grievances regarding social and environmental issues can be received either orally (to field staff), by phone, in complaints box or in writing to the UNDP, MES and Uzhydromet. A key part of the grievance redress mechanism is the requirement for the MES and Uzhydromet/PMU to maintain a register of complaints and/or grievances received at the respective project site offices. All complainants shall be treated respectfully, politely and with sensitivity. Every possible effort should be made by the MES and Uzhydromet/PMU and construction contractor to resolve the issues referred to in the complaint and/or grievance within their purview. However, there may be certain problems that are more complex and cannot be solved through project-level mechanisms. Such grievances will be referred to the Grievance Redress Committee. It would be responsibility of the MES and Uzhydromet to solve these issues through a sound /robust process.
14. The Grievance Redress Mechanism has been designed to ensure that an individual and/or group are not financially impacted by the process of making a complaint and/or grievance. The Grievance Redress Mechanism will cover any reasonable costs in engaging a suitably qualified person to assist in the preparation of a legitimate complaint and/or grievance. Where a complaint and/or grievance is seen to be ineligible, the Grievance Redress Mechanism will not cover these costs.
15. Information about the Grievance Redress Mechanism and how to make a complaint and/or grievance will be placed at prominent places for the information of the key stakeholders and beneficiaries and well as made accessible on the UNDP Country Office and project web sites (in the local languages). Further, this information will be communicated during the national Inception Workshop and local community level project meetings prior to commencement of the project implementation.
16. The contact address for the project-level grievance redress mechanism will be established within the NIM Partner (EE/MES) following the project approval. The contact address will be communicated to stakeholders prior to the signature of the project document.
17. The Gender Specialist (Advisor) in the PMU will be designated as the key officer in charge of the Grievance Redress Mechanism. The Terms of Reference for these positions (as amended from time to time) will have the following key responsibilities:
  - a. coordinate formation of Grievance Redress Committees before the commencement of constructions to resolve issues;



- b. act as the focal point at the PMU on Grievance Redress issues and facilitate the resolution of issues within the PMU;
  - c. create awareness of the Grievance Redress Mechanism amongst all the stakeholders through public awareness campaigns;
  - d. assist in redress of all grievances by coordinating with the concerned parties;
  - e. maintain information on grievances and redress;
  - f. monitor the activities of MES and Uzhydromet on grievances issues; and
  - g. prepare the progress for monthly/quarterly reports.
18. A two-tier Grievance Redress Mechanism structure has been developed to address all complaints and/or grievances in the project. The first tier redress mechanism involves the receipt of a complaint and/or grievance at the local and basin level. The stakeholders are informed of various points of making a complaint and/or grievance (if any) and the PMU collects the complaints and/or grievances from these points on a regular basis and record them. This is followed by coordinating with the concerned people to redress the grievances. The Gender Specialist of the PMU will coordinate the activities at the respective District level to address the grievances and would act as the focal point in this regard. The Chair of the Local Mahalla (community) Committee or in the absence of the latter, any officer given the responsibility of this would coordinate with the Gender Specialist of the PMU, MES and Uzhydromet in redressing the grievances. The designated representatives of the Local Authorities including the members of the two-tier Committees are provided with sufficient training on the procedures of redress to continue such systems in future.
  19. The grievance can be made orally (to the field staff), by phone, in complaints box or in writing to the UNDP, MES and Uzhydromet. Complainants may specifically contact the Gender Specialist and request confidentiality if they have concerns about retaliation. In cases where confidentiality is requested (i.e. not revealing the complainant's identity to UNDP, MES and Uzhydromet. In these cases, the Gender Specialist will review the complaint and/or grievance, discuss it with the complainant, and determine how best to engage project executing entities while preserving confidentiality for the complainant.
  20. As soon as a complaint and/or grievance is received, the Gender Specialist would issue an acknowledgement. The Chair of the Local Mahalla (Community) Committee receiving the complaint and/or grievance should try to obtain relevant basic information regarding the grievance and the complainant and will immediately inform the Gender Specialist in the PMU.
  21. The PMU will maintain a Complaint /Grievance Redress register at the Mahalla and District Levels. Keeping records collected from relevant bodies is the responsibility of PMU.
  22. After registering the complaint and/or grievance, the Gender Specialist will study the complaint and/or grievance made in detail and forward the complaint and/or grievance to the concerned officer with specific dates for replying and redressing the same. The Gender Specialist will hold meetings with the affected persons /complainant and then attempt to find a solution to the complaint and/or grievance received. If necessary, meetings will be held with the concerned affected persons /complainant and the concerned officer to find a solution to the problem and develop plans to redress the grievance. The deliberations of the meetings and decisions taken are recorded. All meetings in connection with the Grievance Redress Mechanism, including the meetings of the Grievance Redress Committee, must be recorded. The Gender Specialist for the Grievances Redress Mechanism will be actively involved in all activities.
  23. A Community Project Implementation Committee would be formed to oversee the first tier of the Grievance Redress Mechanism. The Community Project Implementation Committee would include:
    - a. Chair of the Local Mahalla (Community) Committee;
    - b. Representative of community initiatives groups;
    - c. Representative of the Women's Committee;
    - d. Representative of Youth Organization (Yoshlar Ittifoqi);
    - e. Project Manager; and
    - f. Gender Specialist.
  24. The resolution at the first tier will be normally be completed within fifteen (15) working days and the complaint and/or grievance will be notified of the proposed response through a disclosure form. The

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resolution process should comply with the requirements of the Grievance Redress Mechanism in that it should, as far as practicable, be informal with all parties acting in good faith. Further, the Grievance Redress Mechanism should, as far as practicable, achieve mutually acceptable outcomes for all parties.

25. Should the grievance be not resolved within this period to the satisfaction of the complainant, the grievance will be referred to the next level of Grievance Redress Mechanism. If the gender officer feels that adequate solutions can be established within the next five working days, the officer can decide on retaining the issue at the first level by informing the complainant accordingly. However, if the complainant requests for an immediate transfer to the next level, the matter must be referred to the next tier. In any case, where the issue is not addressed within twenty (20) working days, the matter is referred to the next level.
26. Any grievance related to corruption or any unethical practice is to be considered within and subject for the State Law of the Republic of Uzbekistan on Appeals from the physical persons and legal entities <sup>1</sup>(#ZRU-445, dd. 11 September 2017, Tashkent), in accordance to which the grievances can be subsequently referred to the several bodies including the General Prosecutor's Office of Uzbekistan, National People's Reception offices (option for virtual offices can be used), mass media, state court system. Within the UNDP, the Office of Audit and Investigation in New York can be used where the grievance cannot be resolved within Uzbekistan.
27. The Grievance Redress Committee formed at every district level would address the grievance in the second tier. A Grievance Redress Committee will be constituted for every district by the circulars issued by the Regional Governor who would also be the Chairman of the Committee.
28. The Structure of the committee would be:
  - a. Chairman – Regional Governor/Khokim;
  - b. Representative of regional branch of Women's Committee;
  - c. Representative of regional branch of nationwide movement "Yuksalish";
  - d. Representative of regional branch of Youth Organization (Yoshlar Ittifoqi); and
  - e. Representative of Ecological Movement of Uzbekistan.
29. The Gender Officer from the PMU will coordinate with the respective Commissioner of Local Government in getting these Committees constituted for each region and get the necessary circulars issued in this regard so that they can be convened whenever required.
30. The Terms of Reference for the Grievance Redress Committee are:
  - a. providing support to the affected persons in solving their problems;
  - b. prioritise grievances and resolve them at the earliest;
  - c. provide information to the PMU, MES and Uzhydromet on serious cases at the earliest opportunity;
  - d. Coordinate with the aggrieved person/group and obtain proper and timely information on the solution worked out for his/her grievance; and
  - e. study the normally occurring grievances and advise PMU, National and District Steering Committee on remedial actions to avoid further occurrences.
31. The Grievance Redress Committee will hold the necessary meetings with the aggrieved party/complainant and the concerned officer and attempt to find a solution acceptable at all levels. The Grievance Redress Committee would record the minutes of the meeting.
32. Grievance Redress Committee will communicate proposed responses to the complainant formally. If the proposed response satisfies the complainant, the response will be implemented, and the complaint and/or grievance closed. In cases, where a proposed response is unsatisfactory to the complainant, the Grievance Redress Committee may choose to revise the proposed response to meet the complainant's remaining concerns, or to indicate to the complainant that no other response appears feasible to the Grievance Redress Committee. The complainant may decide to take a legal or any other recourse if s/he is not satisfied with the resolutions due to the deliberations of the three tiers of the grievance redress mechanism.

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<sup>1</sup> <https://lex.uz/docs/3336171>

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33. In addition to the project-level and national grievance redress mechanisms, complainants have the option to access UNDP's Accountability Mechanism, with both compliance and grievance functions. The Social and Environmental Compliance Unit investigates allegations that UNDP's Standards, screening procedure or other UNDP social and environmental commitments are not being implemented adequately, and that harm may result to people or the environment. The Social and Environmental Compliance Unit is housed in the Office of Audit and Investigations and managed by a Lead Compliance Officer. A compliance review is available to any community or individual with concerns about the impacts of a UNDP programme or project. The Social and Environmental Compliance Unit is mandated to independently and impartially investigate valid requests from locally impacted people, and to report its findings and recommendations publicly.
34. The Stakeholder Response Mechanism offers locally affected people an opportunity to work with other stakeholders to resolve concerns, complaints and/or grievances about the social and environmental impacts of a UNDP project. The Stakeholder Response Mechanism is intended to supplement the proactive stakeholder engagement that is required of UNDP and its Implementing Partners throughout the project cycle. Communities and individuals may request a Stakeholder Response Mechanism process when they have used standard channels for project management and quality assurance and are not satisfied with the response (in this case the project level grievance redress mechanism). When a valid Stakeholder Response Mechanism request is submitted, UNDP focal points at country, regional and headquarters levels will work with concerned stakeholders and Implementing Partners to address and resolve the concerns. Visit [www.undp.org/secu-srm](http://www.undp.org/secu-srm) for more details. The relevant form is attached at the end of the Annex 3.

### **The Green Climate Fund (GCF) Independent Redress Mechanism (IRM)**

35. The GCF IRM responds to complaints by people who feel they have been adversely affected by GCF projects or programmes failing to implement GCF operational policies and procedures. This includes allegations of a failure to follow adequate environmental and social safeguards. The IRM can also accept requests by developing country National Designated Authorities, or focal points, for the GCF Board to reconsider funding proposals which the GCF has rejected.
36. Detailed information about the GCF IRM is available at: <https://irm.greenclimate.fund/>. The GCF IRM could be contacted at: [irm@gcfund.org](mailto:irm@gcfund.org).

### Attachment Three Guidance for Submitting a Request to the Social and Environmental Compliance Unit and/or the Stakeholder Response Mechanism

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*Empowered lives.  
Resilient nations.*

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#### **Purpose of this form**

- **If you use this form, please put your answers in bold writing to distinguish text**
- **The use of this form is recommended, but not required. It can also serve as a guide when drafting a request.**

This form is intended to assist in:

- (1) Submitting a request when you believe UNDP is not complying with its social or environmental policies or commitments and you believe you are being harmed as a result. This request could initiate a 'compliance review', which is an independent investigation conducted by the Social and Environmental Compliance Unit (SECU), within UNDP's Office of Audit and Investigations, to determine if UNDP policies or commitments have been violated and to identify measures to address these violations. SECU would interact with you during the compliance review to determine the facts of the situation. You would be kept informed about the results of the compliance review.  
  
and/or
- (2) Submitting a request for UNDP "Stakeholder Response" when you believe a UNDP project is having or may have an adverse social or environmental impact on you and you would like to initiate a process that brings together affected communities and other stakeholders (e.g., government representatives, UNDP, etc.) to jointly address your concerns. This Stakeholder Response process would be led by the UNDP Country Office or facilitated through UNDP headquarters. UNDP staff would communicate and interact with you as part of the response, both for fact-finding and for developing solutions. Other project stakeholders may also be involved if needed.

Please note that if you have not already made an effort to resolve your concern by communicating directly with the government representatives and UNDP staff responsible for this project, you should do so before making a request to UNDP's Stakeholder Response Mechanism.

**Confidentiality** If you choose the Compliance Review process, you may keep your identity confidential (known only to the Compliance Review team). If you choose the Stakeholder Response Mechanism, you can choose to keep your identity confidential during the initial eligibility screening and assessment of your case. If your request is eligible and the assessment indicates that a response is appropriate, UNDP staff will discuss the proposed response with you, and will also discuss whether and how to maintain confidentiality of your identity.

### Guidance

When submitting a request please provide as much information as possible. If you accidentally email an incomplete form, or have additional information you would like to provide, simply send a follow-up email explaining any changes.

### Information about You

Are you...

1. A person affected by a UNDP-supported project?

Mark "X" next to the answer that applies to you: Yes: No:

2. An authorised representative of an affected person or group?

Mark "X" next to the answer that applies to you: Yes: No:

*If you are an authorised representative, please provide the names of all the people whom you are representing, and documentation of their authorisation for you to act on their behalf, by attaching one or more files to this form.*

3. First name:
4. Last name:
5. Any other identifying information:
6. Mailing address:
7. Email address:
8. Telephone Number (with country code):
9. Your address/location:
10. Nearest city or town:
11. Any additional instructions on how to contact you:
12. Country:

### **What you are seeking from UNDP: Compliance Review and/or Stakeholder Response**

You have four options:

- Submit a request for a Compliance Review;
  - Submit a request for a Stakeholder Response;
  - Submit a request for both a Compliance Review and a Stakeholder Response;
  - State that you are unsure whether you would like Compliance Review or Stakeholder Response and that you desire both entities to review your case.
13. Are you concerned that UNDP's failure to meet a UNDP social and/or environmental policy or commitment is harming, or could harm, you or your community? Mark "X" next to the answer that applies to you: Yes: No:
14. Would you like your name(s) to remain confidential throughout the Compliance Review process?

Mark "X" next to the answer that applies to you: Yes: No:

If confidentiality is requested, please state why:

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15. Would you like to work with other stakeholders, e.g., the government, UNDP, etc. to jointly resolve a concern about social or environmental impacts or risks you believe you are experiencing because of a UNDP project?

Mark "X" next to the answer that applies to you: Yes: No:

16. Would you like your name(s) to remain confidential during the initial assessment of your request for a response?

Mark "X" next to the answer that applies to you: Yes: No:

If confidentiality is requested, please state why:

17. Requests for Stakeholder Response will be handled through UNDP Country Offices unless you indicate that you would like your request to be handled through UNDP Headquarters. Would you like UNDP Headquarters to handle your request?

Mark "X" next to the answer that applies to you: Yes: No:

If you have indicated yes, please indicate why your request should be handled through UNDP Headquarters:

18. Are you seeking both Compliance Review and Stakeholder Response?

Mark "X" next to the answer that applies to you: Yes: No:

19. Are you unsure whether you would like to request a Compliance Review or a Stakeholder Response? Mark "X" next to the answer that applies to you: Yes: No:

### Information about the UNDP Project you are concerned about, and the nature of your concern:

20. Which UNDP-supported project are you concerned about? (if known):

21. Project name (if known):

22. Please provide a short description of your concerns about the project. If you have concerns about UNDP's failure to comply with its social or environmental policies and commitments, and can identify these policies and commitments, please do (not required). Please describe, as well, the types of environmental and social impacts that may occur, or have occurred, as a result. If more space is required, please attach any documents. You may write in any language you choose

23. Have you discussed your concerns with the government representatives and UNDP staff responsible for this project? Non-governmental organisations?

Mark "X" next to the answer that applies to you: Yes: No:

If you answered yes, please provide the name(s) of those you have discussed your concerns with  
Name of Officials You have Already Contacted Regarding this Issue:

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First Name	Last Name	Title/Affiliation	Estimated Date of Contact	Response from the Individual
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24. Are there other individuals or groups that are adversely affected by the project?

Mark "X" next to the answer that applies to you: Yes: No:

25. Please provide the names and/or description of other individuals or groups that support the request:

First Name	Last Name	Title/Affiliation	Contact Information
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Please attach to your email any documents you wish to send to SECU and/or the SRM. If all of your attachments do not fit in one email, please feel free to send multiple emails.

### Submission and Support

To submit your request, or if you need assistance please email: [project.concerns@undp.org](mailto:project.concerns@undp.org)