ENVIRONMENTAL AND SOCIAL SCREENING CHECKLIST

Program IDEAS 2024

This checklist will be used to exclude the project with high or substantial risks on the environment and social community.

The term “Applicant” refers to one SRO (if there is only one SRO participating in the project proposal) or entire consortium (where two or more SROs participate in the project proposal).

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| **ENVIRONMENTAL SCREENING CHECKLIST** | | |
| **PART I Administrative and institutional data** | | |
| **1.** | Project title |  |
| **2.** | Project location | (Municipality / City, RS) |
| **3.** | Project acronym |  |
| **4.** | Duration of the project |  |
| **5.** | Principal Investigator (PI) |  |
| **6.** | Contact email address |  |
| **7.** | Scientific and Research Organization(s) (SROs) |  |
| **8.** | Proximity to nearest settlement (houses)[[1]](#footnote-1) | (in km) |
| **9.** | Proximity to nearest river/lake[[2]](#footnote-2) | (in km) |
| **10.** | Project description (Describe main project features and location of work execution): | |
|  | |
| **\* Note:** Comments/explanations below are mandatory to fill in and to give narrative explanations as much as possible in order to give as much as possible information for screening. | | |

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| **PART II Project exclusion criteria[[3]](#footnote-3)** | | | |
|  | Issue | Yes/No | Comment |
| **11.** | Is the project found on the World Bank Group exclusion list (see the Annex 01A of the ESMF[[4]](#footnote-4)) | Yes [ ] No [ ] | [ ] If yes, the project is not eligible for financing. Identify another project. |
| **12.** | Does the proposed project require a FULL Environmental Impact Assessment as per the Serbian Law on Environmental Impact Assessment (list of Projects for which full EIA is mandatory)? (see the Annex 01B of the ESMF[[5]](#footnote-5)) | Yes [ ] No [ ] | [ ] If yes, the project is not eligible for financing. Identify another project. |
| **13.** | Will the project implementation result in the involuntary land acquisition, resettlement of population or permanent land occupation, encroachment on private property, impacts on livelihood incomes? | Yes [ ] No [ ] | [ ] If yes, the project is not eligible for financing. Identify another project. |
| **14.** | Will the project involve actions which will cause new physical changes in the locality (topography, land use, waterbodies, etc.) compared to the state before reconstruction? | Yes [ ] No [ ] | [ ] Go back to original design and avoid any physical changes in the locality [ ] Develop a site specific ESMP  [ ] Exclude the project and identify another site |
| **15.** | Will the project result in increased use of natural resources such as land, water, materials or energy compared to the state before reconstruction? | Yes [ ] No [ ] | [ ] Go back to original design and avoid increase in natural resources use  [ ] Develop a site specific ESMP  [ ] Exclude the project and identify another site |

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| **PART III Basic information on the proposed project and the Applicant** | | | |
|  | Issue | Yes / No | Comment |
| **16.** | The current number of SRO(s) employees is: |  |  |
|  | (SRO name) | N/A | please write exact number |
|  | (SRO name) | N/A | please write exact number |
|  | … | … | … |
| **17.** | Are all the existing employees of the SRO(s) regularly registered for pension and disability insurance (i.e. has a certificate been submitted on paid contributions, which was issued by the competent tax authority)? |  |  |
| **18.** | Can the proposed project be deemed relevant for adaptation to climate changes or increasing resilience to climate changes? |  |  |

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| **PART IV Adverse Project Impacts and Risks – Information on importance for project categorization** | | | |
|  | Issue | Yes/No | Comment |
| **19.** | Are there any indications that the SRO(s) could use informal labor for the needs of the project? |  |  |
| **20.** | Are there any indications that persons of age 15 to 18 could be engaged in the project without complying with legislated provisions concerning employment and protection of such workers? |  |  |
| **21.** | Does the project include any significant potential physical hazards for workers? |  |  |
| **22.** | Would project implementation cause emissions of polluting substances in the air and/or would measures be required for environment protection in order to ensure compliance with Serbian standards? |  |  |
| **23.** | Would project implementation include discharge of wastewater and/or require environment protection measures in order to ensure compliance with Serbian standards? |  |  |
| **24.** | Would project implementation cause any emission of noise at a level that would require measures of control in order to ensure compliance with Serbian standards? Would the levels of noise affect especially sensitive receptors (natural habitats, hospitals, schools, local population ...) |  |  |
| **25.** | Would project implementation cause the onset of waste that would require special provisions for management, and which would need to be disposed of by companies authorized for waste management? |  |  |
| **26.** | Will the activity generate solid waste that may be considered hazardous, difficult to manage, or may be beyond the scope of regular household waste?  (This may include, but not limited to animal carcasses, toxic materials, pesticides, medical waste, cleaning materials, flammables etc.) |  |  |
| **27.** | In case of procurement of new equipment, would the old equipment be disposed of by an authorized company for waste management? |  |  |
| **28.** | Does each SRO have a valid environmental permit (or is in the procedure of obtaining an environmental permit as per the Serbian laws) and does the proposed activity fall under those for which this permit was issued? |  |  |
| **29.** | Does the Applicant (SRO(s)) need to follow specific Serbian environmental regulations regarding air emissions or water use? |  |  |
| **30.** | Does the Applicant (SRO(s)) have a valid water management permit that calls for special investments or measures for the enterprise’s wastewater releases (or is in the procedure of obtaining this permit as per the Serbian laws)? |  |  |
| **31.** | Are there any significant outstanding environmental fees, fines or penalties or any other environmental liabilities (e.g. pending legal proceedings involving environmental issues etc.) |  | If so, will the financing be used to correct this condition and please explain? |
| **32.** | Will the activity generate water effluents (wastewater) that may require special treatment, control or the water management permit? |  |  |
| **33.** | Will the activity consume, use or store, produce hazardous materials that:   * require special permits or licenses * require licensed or trained personnel * are outlawed or banned in EU or Western countries * are difficult, expensive, or hard to manage * are inconsistent with PPAH recommendations * may cause soil and water pollution or health hazards if adequate control measures are not in place |  |  |
| **34.** | Have there been any complaints raised by local affected people or groups or NGOs regarding conditions at the facility? |  | If so, will the grant financing be used to remedy these complaints? |
| **35.** | Will the activity be located within or close to natural habitats or areas under consideration by the Government for official protection status? Will the activity potentially impact areas of known significance to local, regional or national cultural heritage? |  |  |
| **36.** | Will the activity involve import of living organisms, e.g. saplings, insects, animals, etc. or works that can impact sensitive environmental receptors? |  |  |
| **37.** | Has the local population or any NGOs expressed concern about the proposed activity’s environmental aspects or expressed opposition? |  |  |
| **38.** | Is there any other aspect of the activity that would – through normal operations or under special conditions – cause a risk or have an impact on the environment, the population or could be considered as a nuisance (e.g. use of pesticides)? |  |  |
| **39.** | Is there any aspect or risk leading to increase of energy consumption and carbon/GHG emissions, e-waste disposal/management, increased natural resources extraction, harm the environment and wildlife (e.g. artificial intelligence development and use) |  |  |

### Social Screening Form (Check List)

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| **SOCIAL SCREENING FORM AND TRIGGERS FOR PROJECTS** | | | |
| Screening indicators related to Land acquisition, assets and access to resources | | | |
|  | Type of activity – Will the project: | Yes/No | |
|  | Require land acquisition (temporarily or permanently) |  |  |
|  | Use land that is currently occupied or regularly used for productive purposes (e.g. gardening, farming, pasture, fishing locations, forests) |  |  |
|  | Physically displace individuals, families or businesses |  |  |
|  | Result in the temporary or permanent loss of crops, fruit trees or household infrastructure |  |  |
|  | Result in the involuntary restriction of access by people to legally designated parks and protected areas |  |  |
|  | Result in loss of livelihood |  |  |
|  | Have negative impact to any vulnerable individuals or groups |  |  |
|  | Have negative impact to informal side road shops, traders or any nomadic type of commercial activity |  |  |
|  | Social concerns:  Are appropriate measures in place to ensure informed consent is obtained from participants in research activities?  How is privacy protected to prevent violations during data collection and analysis?  Is there a clear protocol for the ethical use of human or animal subjects in experiments? |  |  |
|  | Bias and Discrimination:  Are steps taken to identify and mitigate bias in research methodologies?  How is data collection monitored to prevent discriminatory outcomes?  What measures are implemented to address existing biases in the interpretation of research findings? |  |  |
|  | Inequitable Distribution of Benefits:  How are the benefits of scientific research distributed among different social groups?  What strategies are in place to ensure equitable access to advancements and technologies?  Are there specific initiatives to address disparities in access to research outcomes? |  |  |
|  | Community displacement:  Are potential impacts on communities, including displacement and cultural heritage loss, assessed before initiating research projects?  How are community concerts addressed and integrated into research planning and decision-making processes?  What measures are taken to minimize social disruption and mitigate the negative effects of community displacement? |  |  |
|  | Health and Safety Risks:  What protocols are in place to ensure the health and safety of researchers, participants, and surrounding communities?  How are risks related to exposure to hazardous materials or accidents in laboratories identified and managed?  Are emergency response plans in place to address potential health and safety incidents? |  |  |
|  | Employment and Economic Impacts:  Will this invitation lead to potential job displacements or changes in employment patterns assessed and mitigated?  What measures are taken to prevent job displacement caused by the potential commercialization of the research product?  Are strategies in place to promote job creation and economic opportunities resulting from scientific advancements? |  |  |
|  | Public Perception and Trust  How is public perception of research outcomes monitored and addressed?  What efforts are made to build and maintain trust in the specific research?  Are there mechanisms in place to address public concerns and misconceptions about research activities? |  |  |

If any of the boxes above are ticked YES, the project will not be eligible for financing

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| **Artificial intelligence screening questions/commitment.[[6]](#footnote-6)** | | | |
| We will respect, with full responsibility, the Ethical guidelines for the development, application and use of reliable and responsible artificial intelligence, which are listed in the CONCLUSION OF THE GOVERNMENT OF SERBIA ON THE ADOPTION OF ETHICAL GUIDELINES FOR THE DEVELOPMENT, IMPLEMENTATION AND USE OF RELIABLE AND RESPONSIBLE ARTIFICIAL INTELLIGENCE, Official Gazette of RS, 23/2023 | | | |
| **Environmental protection** | | | |
| - Are there any potential negative impacts of artificial intelligence systems on the environment? | YES | NO | Explain answer |
| - Have mechanisms been established to assess the impact of the development, application and/or use of artificial intelligence systems on life environment (for example, the amount of energy used and carbon emissions)? | YES | NO | Explain answer, and provide details |
| - Are measures defined to reduce the impact of artificial intelligence systems on the environment during its life cycle? | YES | NO | Explain answer, and provide details |
| **Impact on work and skills** | | | |
| **-** Does the artificial intelligence system affect work engagement and way of working? | YES | NO | Explain answer |
| **-** Before the introduction of the artificial intelligence system, were the employees/engaged whose work will be affected by the introduction of the system informed and consulted, as well as their representatives (unions, etc)? | YES | NO | Explain answer |
| **-** Have appropriate measures been taken to ensure an understanding of the impact of artificial intelligence systems on the way employees/engaged work? | YES | NO | Explain answer |
| **-** Does the use of artificial intelligence systems create a risk of disqualification of employees? | YES | NO | Explain answer |
| **-** Are appropriate measures taken to prevent the risk of loss of skill? | YES | NO | Explain answer |
| **-** Does the use of artificial intelligence systems promote or require new (digital) skills? | YES | NO | Explain answer |
| **-** Have the user manual and other materials necessary for the training of employees/engaged been prepared? | YES | NO | Explain answer, provide details |
| **-** Are the trainings of employees/engaged provided? | YES | NO | Explain answer |
| **Impact on society** | | | |
| **-** Can an artificial intelligence system have a negative impact on society as a whole or on democracy? | YES | NO | Explain answer |
| **-** Has the indirect impact of using artificial intelligence systems on all stakeholders or society as a whole been assessed? | YES, an impact assessment was carried out | NO |  |
| **-** Have appropriate measures been taken that reduce the potential harmful impact on society? | YES | NO | Explain answer |
| **-** Are measures taken to ensure that the artificial intelligence system does not negatively affect democracy? | YES | NO | Explain answer |
| **Note: Explanations are mandatory.** | | | |

CERTIFICATION

Applicant:

The Applicant, in signing this form proves that the project activity will not involve land acquisition, any form of construction, or will promote any activities on the World Bank Group IFC exclusion list. In addition, the Applicant is aware of the EIA requirements as per the Serbian Law and certifies that there are no Full Environmental Impact Assessment reports required.

Environmental and Social Expert engaged by the project:[[7]](#footnote-7)

I hereby certify that I have thoroughly examined all the potential adverse effects of this project. To the best of our knowledge, the project **does not avoid /avoids** all adverse social impacts (in case the project Does Not Avoid adverse social impacts list at least two excluding the projects eligibility).

### Ethical Issues

In case ethical issues apply, the Applicants should mark respective issues in the following table

|  |  |  |
| --- | --- | --- |
| **ETHICS ISSUES** | **YES/No** | **Project Proposal section nº** |
| **1.ANIMALS** | | |
| Does your research involve animals?  If Yes, following Information should be provided:   1. Details of the species and rationale for their use, numbers of animals to be used, nature of the experiments, procedures and techniques to be used. 2. Justification of animal use (including the kind of animals to be used) and why alternatives cannot be used. |  |  |
| **2.OTHER ETHICS ISSUES** | | |
| Are there any other ethics issues that should be taken into consideration? Please specify |  |  |
| **I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL** |  |  |

If the Applicant has entered any ethics issues in the ethical issue table in the administrative proposal forms, the Applicant, if deemed necessary by the Science Fund, will be required to:

* submit an ethics self-assessment, which describes how the proposal meets the national legal and ethical requirements;
* explain in detail how applicant intends to address the issues in the ethical issues table, in particular as regards research methodology (e.g. clinical trials, etc.);
* elaborate the potential impact of the research (e.g. environmental damage, benefit-sharing, etc.).

The Applicant, in signing this form, proves that the grant activity will not involve land acquisition, any form of construction, or will promote any activities on the WB IFC Project Exclusion List. In addition, the applicant is aware of the EIA requirements as per the Serbian Law and certifies that there are no Full Environmental Impact Assessment reports required.

|  |  |
| --- | --- |
| **Form filled out by (Principal Investigator)** | |
| Date |  |
| Name |  |
| Title |  |
| Signature |  |

|  |  |  |
| --- | --- | --- |
| **Signed out by authorized persons of all SROs participating in the Project Proposal** | | |
| First and last name | SRO (full name, abbreviation/acronym) | Signature and stamp[[8]](#footnote-8) |
| Dean/director[[9]](#footnote-9) |  |  |
| Dean/director |  |  |
| ... |  |  |

\*adjust the number of rows according to the number of SROs participating in the Project Proposal

|  |  |
| --- | --- |
| Form checked by  (The Science Fund’s Independent Environmental and Social Expert)  Project category is:   * (1) low risk 𝥷 * (2) moderate risk 𝥷 * (3) substantial risk 𝥷 * (4) high risk 𝥷 | |
| Date |  |
| Time |  |
| Title |  |
| Signature |  |

1. Information for every SRO participating in the Project is required. [↑](#footnote-ref-1)
2. Information for every SRO participating in the Project is required.

   [↑](#footnote-ref-2)
3. The PART II Project exclusion criteria must be filled-out by Applicant. Project exclusion criteria should be. [↑](#footnote-ref-3)
4. For more information see: Environmental and Social Management Framework document which is part of project documentation. [↑](#footnote-ref-4)
5. For more information see: Environmental and Social Management Framework document which is part of project documentation. [↑](#footnote-ref-5)
6. In line with the CONCLUSION OF THE GOVERNMENT OF SERBIA ON ADOPTION OF ETHICAL GUIDELINES FOR THE DEVELOPMENT, IMPLEMENTATION AND USE OF RELIABLE AND RESPONSIBLE ARTIFICIAL INTELLIGENCE, Official Gazette of RS, 23/2023, ad 4.6.1. (under heading 4.6. - Social and environmental well-being). [↑](#footnote-ref-6)
7. This part will be filled-out by the Science Fund’s Independent Environmental and Social Expert. [↑](#footnote-ref-7)
8. The document shall not be stamped if SRO has no legal obligation to use a stamp. [↑](#footnote-ref-8)
9. The questionnaire should be signed by authorized persons of all SROs participating in the Project. [↑](#footnote-ref-9)