Safeguard Risk Identification Form (SRIF)

Section 1: Project Overview

Identification	*Insert Project ID# from Programme Framework Table* AF- 2021000038 (CTCN 2021000031)
Project Title	*Insert title (adding words 'project preparation proposal for' before title)* Establishment of a skimming well gallery system for agricultural use in HDh.Nolhivaranfaru of Maldives
Managing Division	UNEP – Economic Division – CTCN
Type/Location	*[Global/Normative; Regional; National]* National
Region	*(Africa/ Europe/ North America/ Asia Pacific/ Latin America Caribbean/ West Asia)* Asia Pacific
List Countries	*Enter country name(s)* Maldives
Project Description	Water scarcity is one of the biggest challenges in Maldives arising from climate change. Excessive groundwater extraction has led to saline water intrusion and reduction of the efficiency of its natural recharge processes. This technical assistance (TA) aims to deploy an infiltration gallery system as an efficient, sustainable method for groundwater extraction for agriculture in HDh.Nolhivaranfaru Island. Site selection for installing the system in HDh.Nolhivaranfaru Island will be conducted through stakeholder consultations and preliminary investigation. The infiltration gallery system will be then designed and installed at selected site. Although no significant negative impacts from the project are expected, as one of the activities of the project and as per the Environment Impact Assessment regulations of the Government of Maldives, an environmental assessment will be conducted prior to the establishment of the infiltration gallery system at selected site. For enhancing capacity and raising awareness of farming communities at selected site, recommendations to increase water use efficiency for agriculture, guiding materials for sustainable agricultural practices and a manual for management of the system and monitoring of groundwater quality will be provided along with a training of trainers programme. Through this TA, sustainable groundwater extraction system for agricultural practices will be established, and unpolluted groundwater aquifers will be protected in HDh.Nolhivaranfaru Island.
Relevant Subprogrammes	/
Estimated duration of project	*Provide the estimate in months from project kickoff to completion. Do not include time spent on concept or design.* 18 months
Estimated cost of the project	*Provide the estimated cost for entire project in USD.* 292,400 USD

Name of the UNEP project manager responsible	Clara Landeiro
Funding Source(s)	AFCIA
Executing/Implementing partner(s)	CTCN
SRIF submission version	*If it is not the first time, mark the time of your previous submission* *Concept Review [ ] During Project development [ ] PRC [ ]* *Other _____* Version 1
Safeguard-related reports prepared so far *(Please attach the documents or provide the hyperlinks)*	• *Feasibility report [ ]* • *Gender Action Plan [ ]* • *Stakeholder Engagement Plan [ ]* • *Safeguard risk assessment or impact assessment [ ]* • *ES Management Plan or Framework [ ]* • *Indigenous Peoples Plan [ ]* • *Cultural Heritage Plan [ ]* • *Others _____*

Section 2: Safeguards Risk Summary

A. Summary of the Safeguards Risk Triggered

Safeguard Standards Triggered by the Project	Impact of Risk[1] (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M, H) *Please refer to the matrix below*
SS 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management	1	1	L
SS 2: Climate Change and Disaster Risks	2	2	L
SS 3: Pollution Prevention and Resource Efficiency	2	2	L
SS 4: Community Health, Safety and Security	1	1	L
SS 5: Cultural Heritage	1	1	L
SS 6: Displacement and Involuntary Resettlement	1	1	L
SS 7: Indigenous Peoples	1	1	L
SS 8: Labor and working conditions	1	1	L

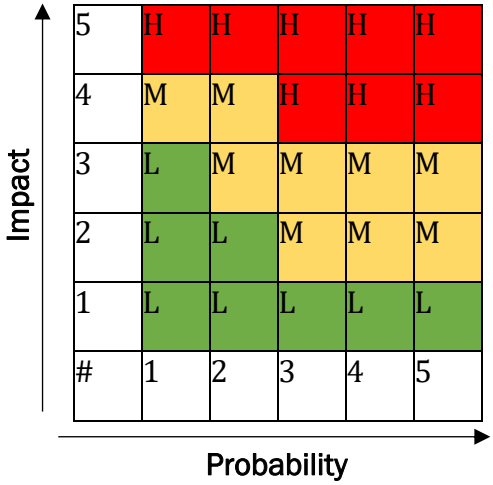
B. ESS Risk Level[2] -

[1] Refer to UNEP Environmental and Social Sustainability Framework (ESSF): Implementation Guidance Note to assign values to the Impact of Risk and the Probability of Risk to determine the overall significance of Risk (Low, Moderate or High).

[2] **Low risk**: Negative impacts minimal or negligible: no further study or impact management required. **Moderate risk**: Potential negative impacts, but limited in scale, not unprecedented or irreversible and generally limited to programme/project area; impacts amenable to management using standard mitigation measures;

Refer to the UNEP ESSF (Chapter IV) and the UNEP's ESSF Guidelines.

Low risk	■
Moderate risk	☐
High risk	☐
Additional information required	☐



C. Development of SRIF and Screening Decision

Prepared by

Name: _____Clara Landeiro _____Date: _____18 of February 2022_____

Screening review by

Name: Alexandra Mutungi Date: 02 March 2022

Cleared[3]

D. Safeguard Review Summary (by the safeguard team)

This is a low-risk project with minimal adverse impact estimated. However, the UNEP ESSF guiding principles on resilience and sustainability, human rights, gender equality and women empowerment, accountability and leave no one behind are still applicable for low-risk projects. A precautionary approach to SS 2 - Climate Change and SS3 - Pollution, and continued stakeholder engagement should be incorporated throughout the project implementation.

A. Safeguard Recommendations (by the safeguard team)

- No specific safeguard action required ☐ ■

limited environmental or social analysis may be required to develop a Environmental and Social Management Plan (ESMP). Straightforward application of good practice may be sufficient without additional study.
High risk: Potential for significant negative impacts (e.g. irreversible, unprecedented, cumulative, significant stakeholder concerns); Environmental and Social Impact Assessment (ESIA) (or Strategic Environmental and Social Assessment (SESA)) including a full impact assessment may be required, followed by an effective comprehensive safeguard management plan.

[3] This is signed only for the full projects latest by the PRC time.

- Take Good Practice approach[4]
- Carry out further assessments (e.g., site visits, experts' inputs, consult affected communities, etc.) ☐
- Carry out impact assessments (by relevant experts) in the risk areas and develop management framework/plan ☐
- Consult Safeguards Advisor early during the full project development phase ☐
- Other _____

Section 3: Safeguard Risk Checklist

Screening checklist		Y/N/ Maybe	Justification for the response (please provide answers to each question)
Guiding Principles (these questions should be considered during the project development phase)			
GP1	Has the project analyzed and stated those who are interested and may be affected positively or negatively around the project activities, approaches or results?	Y	The project has analyzed and has identified stakeholders who are going to be positively or negatively impacted by the project implementation, in consultation with the Water and Sanitation Department of the Ministry of Environment, Climate Change and Technology. The project will ensure that the participation of local stakeholders (those who may be affected positively or negatively by project activities), including women and youth, is proactively sought throughout the implementation as per UN/CTCN rules. Local communities where the gallery infiltration system will be piloted, as well as governmental entities and other key stakeholders will be kept informed throughout the implementation of the technical assistance through the Ministry of Environment, Climate Change and Technology, as well as the Environmental Protection Agency of Maldives.

[4] Good practice approach: For most low-moderate risk projects, good practice approach may be sufficient. In that case, no separate management plan is necessary. Instead, the project document demonstrates safeguard management approach in the project activities, budget, risks management, stakeholder engagement or/and monitoring segments of the project document to avoid or minimize the identified potential risks without preparing a separate safeguard management plan.

GP2	Has the project identified and engaged vulnerable, marginalized people, including disabled people, through the informed, inclusive, transparent and equal manner on potential positive or negative implication of the proposed approach and their roles in the project implementation?	Y	The primary beneficiaries of the project are the vulnerable groups, including smallholder farmers. They will be engaged throughout the implementation of the project. A Project Steering Committee will be established, including representatives from vulnerable groups – they will provide crucial feedback as to the approach to be followed during implementation, including site selection.
GP3	Have local communities or individuals raised human rights or gender equality concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	N	During the formulation of the proposal no concerns were raised on human rights or gender equality.
GP4	Does the proposed project consider gender-balanced representation in the design and implementation?	Y	Gender balanced representation has been considered in the design and implementation. The Project Steering Committee, to be constituted at the start of project implementation, will strive to maintain a gender balance for inclusive design of the project. As per the CTC-N guidelines approved by the Advisory Board under Climate Convention, a fixed percentage of the project costs are towards gender and youth.
GP5	Did the proposed project analyze relevant gender issues and develop a gender responsive project approach?	Y	Gender has been considered in the design of all the activities of the project proposal. The project team consists of one gender expert out of a team of 6 experts. The expert will ensure that gender differences in access, use and management of water resources are well reflected and addressed in the project implementation.
GP6	Does the project include a project-specific grievance redress mechanism? If yes, state the specific location of such information.	Y	Specific grievance redress mechanism
GP7	Will or did the project disclose project information, including the safeguard documents? If yes, please list all the webpages where the information is (or will be) disclosed.	Y	CTC-N webpage and www.open.unep.org Safeguards documents will be uploaded after approval.
GP8	Were the stakeholders (including affected communities) informed of the projects and grievance redress mechanism? If yes, describe how they were informed.	Y	Stakeholders are informed about the project and the grievance redress mechanism through the Ministry of Environment, Climate Change and Technology. The Response Plan of the project provides the name of the focal point along with contact details. The Response plan is public and can easily be accessed from the CTCN webpage. (Please refer to the link provided in GP7). The CTCN will ensure active stakeholder engagement from the inception throughout the implementation of the project, including through its steering committee, stakeholder consultations and awareness raising and capacity building activities.

GP9	Does the project consider potential negative impacts from short-term net gain to the local communities or countries at the risk of generating long-term social or economic burden?[5]	N	The project is anticipated to have positive impacts to local communities by adopting a new method that minimizes adverse impacts of conventional technology for water collection on shallow underground water lenses. Although one cannot exclude the possibility that minor environmental impact could occur when piloting the gallery system in the HDh.Nolhivaranfaru Island, stakeholders are keen to test, operate and maintain the gallery system as necessary to avoid the severe impacts caused by the current technology used to extract underground water.
GP10	Does the project consider potential partial economic benefits while excluding marginalized or vulnerable groups, including women in poverty?	N	The project is expected to have direct positive impact on water and food security, as well as the economic activities of the local farmers and local communities, including women and youth. Please, refer to section 6, 10, Contribution to the SDGs of the Response Plan.
Safeguard Standard 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management			
Would the project potentially involve or lead to:			
1.1	conversion or degradation of habitats (including modified habitat, natural habitat and critical natural habitat), or losses and threats to biodiversity and/or ecosystems and ecosystem services?	N	The proposed infiltration gallery system in this project is beneficial as it is not expected to lead to the conversion or degradation of habitats, nor to losses or threats to biodiversity and/or ecosystems and ecosystems services. Site selection (yet to occur) will carefully consider possible disturbance during the construction stage (when digging a trench along a strip of 250m long for purposes of installation of the gallery pipe of 0.1m in diameter, at a depth of approximate 2m). In any case site will be located in or adjacent to farmed land, thus the project will not cause conversion or degradation of habitats, nor pose threats to biodiversity.
1.2	adverse impacts specifically to habitats that are legally protected, officially proposed for protection, or recognized as protected by traditional local communities and/or authoritative sources (e.g. National Park, Nature Conservancy, Indigenous Community Conserved Area, (ICCA); etc.)?	N	This TA will enable sustainable groundwater extraction system to be used for agricultural practices (avoiding negative impacts of current modes of extraction). Thus, the project is not expected to lead to adverse impacts on local habitats and their traditional local communities; on the contrary, it should enable more sustainable agriculture practices and the protection of

[5]For example, a project may consider investing in a commercial shrimp farm by clearing the nearby mangrove forest to improve the livelihood of the coastal community. However, long term economic benefit from the shrimp farm may be significantly lower than the mangroves if we consider full costs factoring safety from storms, soil protection, water quality, biodiversity and so on.

			groundwater aquifers in HDh. Nolhivaranfaru Island.
1.3	conversion or degradation of habitats that are identified by authoritative sources for their high conservation and biodiversity value?	N	The project will not be implemented in an area identified for their high conservation and biodiversity value.
1.4	activities that are not legally permitted or are inconsistent with any officially recognized management plans for the area?	N	The project will not be in an area where activities are not legally permitted.
1.5	risks to endangered species (e.g. reduction, encroachment on habitat)?	N	The project is expected to improve groundwater extraction methods currently in used and thus contribute to increasing climate resilience of local communities which depend on scarce freshwater resources and agriculture land for their survival. The project is not expected to lead to habitat encroachment or to pose risks to endangered species/habitats.
1.6	activities that may result in soil erosion, deterioration and/or land degradation?	N	Though there will be minor soil disturbance during the construction phase of the project for the installation of the infiltration gallery pipe (0.1m diameter) underground and 2 pumping wells (1m diameter), once construction work is completed ground cover will be restored and no impacts are expected regarding soil erosion, or land degradation.
1.7	reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?	N	The project/technology selected is designed to ensure sustainability of the fragile aquifer (freshwater lens) of the island. Currently, existing methods of ground water extraction and agriculture practices are posing at the sustainability of ground water resources, and the project's objective is to address this problem. Thus, on the contrary, the project will contribute to improved water quantity and quality of groundwater resources.
1.8	reforestation, plantation development and/or forest harvesting?	N	The project is not planning any reforestation, plantation development and/or forest harvesting.
1.9	support for agricultural production, animal/fish production and harvesting	Y	This technical assistance project would support sustainable agriculture production through promoting sustainable groundwater management (including extraction) and sustainable agricultural practices (which is also a component of this project, in addition to piloting the infiltration gallery system) in HDh.Nolhivaranfaru Island.
1.10	introduction or utilization of any invasive alien species of flora and fauna, whether accidental or intentional?	N	None.
1.11	handling or utilization of genetically modified organisms?	N	None.
1.12	collection and utilization of genetic resources?	N	None.

Safeguard Standard 2: Climate Change and Disaster Risks		
Would the project potentially involve or lead to:		
2.1 improving resilience against potential climate change impact beyond the project intervention period?	Y	The project, if found feasible, will lead to increased resilience against climate change impacts beyond the project intervention period, in particular contributing to the resilience of smallholder farmers and local community of the HDh.Nolhivaranfaru Island. Furthermore, it is also expected that point groundwater extraction methods currently used in other islands could be replaced with the proposed infiltration gallery system piloted through this project, which would contribute to increasing the capacity of climate resilience with sustainable water supply for agriculture in Maldives.
2.2 areas that are now or are projected to be subject to natural hazards such as extreme temperatures, earthquakes, extreme precipitation and flooding, landslides, droughts, severe winds, sea level rise, storm surges, tsunami or volcanic eruptions in the next 30 years?	Y	During drought season, over-pumping can alter the size of the groundwater aquifer and limit recovery to its former size. Therefore, it is vital to develop and deploy an efficient method for groundwater extraction in order to ensure sustainable use of limited water resources with minimum impact on the aquifers in Maldives.
2.3 outputs and outcomes sensitive or vulnerable to potential impacts of climate change (e.g. changes in precipitation, temperature, salinity, extreme events)?	N	The risk level is evaluated as level 2 as the effectiveness of the infiltration gallery system being piloted may be impacted by extreme weather events and by e.g. changes the amount of precipitation and surface runoff. As indicated in the summary, the project includes, as part of its design, in/depth technical studies including environmental impact assessment and the design of a monitoring system (also building capacity of local stakeholders to use the technology and monitoring system to be developed).
2.4 local communities vulnerable to the impacts of climate change and disaster risks (e.g. considering level of exposure and adaptive capacity)?	Y	The project will help reduce the extreme vulnerability of local communities of the Maldives, one of most vulnerable countries in the world, by providing the sustainable, efficient method for groundwater extraction for agriculture to farming communities in the island.
2.5 increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	N	No significant GHG emissions are expected (from pumping water through the pumping wells) as per comparison with BAU.
2.6 Carbon sequestration and reduction of greenhouse emissions, resource-efficient and low carbon development, other measures for mitigating climate change	N	This is an adaptation project; no expected measures to reduce GHG have been included.
Safeguard Standard 3: Pollution Prevention and Resource Efficiency		
Would the project potentially involve or lead to:		

3.1	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?	N	None.
3.2	the generation of waste (both hazardous and non-hazardous)?	N	None.
3.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	N	None.
3.4	the use of chemicals or materials subject to international bans or phase-outs? (e.g. DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention)	N	None.
3.5	the application of pesticides or fertilizers that may have a negative effect on the environment (including non-target species) or human health?	N	None.
3.6	significant consumption of energy, water, or other material inputs?	N	Though no significant consumption of material inputs is expected, risk level is assessed as level 2. It is noted that the gallery system to be installed requires gravel to encase the gallery pipeline. Measures have been taken in tendering to avoid utilization of local coral gravel (as per government regulations); gravel will likely be imported from overseas.
Safeguard Standard 4: Community Health, Safety and Security			
Would the project potentially involve or lead to:			
4.1	the design, construction, operation and/or decommissioning of structural elements such as new buildings or structures (including those accessed by the public)?	N	None.
4.2	air pollution, noise, vibration, traffic, physical hazards, water runoff?	N	None.
4.3	exposure to water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable or noncommunicable diseases?	N	None.
4.4	adverse impacts on natural resources and/or ecosystem services relevant to the communities' health and safety (e.g. food, surface water purification, natural buffers from flooding)?	N	None. On the contrary, positive impacts are expected.
4.5	transport, storage use and/or disposal of hazardous or dangerous materials (e.g. fuel, explosives, other chemicals that may cause an emergency event)?	N	None.
4.6	engagement of security personnel to support project activities (e.g. protection of property or personnel, patrolling of protected areas)?	N	None.
4.7	an influx of workers to the project area or security personnel (e.g. police, military, other)?	N	None.
Safeguard Standard 5: Cultural Heritage			
Would the project potentially involve or lead to:			

5.1	activities adjacent to or within a Cultural Heritage site?	N	None.
5.2	adverse impacts to sites, structures or objects with historical, cultural, artistic, traditional or religious values or to intangible forms of cultural heritage (e.g. knowledge, innovations, practices)?	N	None.
5.3	utilization of Cultural Heritage for commercial or other purposes (e.g. use of objects, practices, traditional knowledge, tourism)?	N	None.
5.4	alterations to landscapes and natural features with cultural significance?	N	None.
5.5	significant land clearing, demolitions, excavations, flooding?	N	None.
5.6	identification and protection of cultural heritage sites or intangible forms of cultural heritage?	N	None.
Safeguard Standard 6: Displacement and Involuntary Resettlement			
Would the project potentially involve or lead to:			
6.1	full or partial physical displacement or relocation of people (whether temporary or permanent)?	N	None.
6.2	economic displacement (e.g. loss of assets or access to assets affecting for example crops, businesses, income generation sources)?	N	None.
6.2	involuntary restrictions on land/water use that deny a community the use of resources to which they have traditional or recognizable use rights?	N	None.
6.3	risk of forced evictions?	N	None.
6.4	changes in land tenure arrangements, including communal and/or customary/traditional land tenure patterns (including temporary/permanent loss of land)?	N	None.
Safeguard Standard 7: Indigenous Peoples			
Would the project potentially involve or lead to:			
7.1	areas where indigenous peoples are present or uncontacted or isolated indigenous peoples inhabit or where it is believed these peoples may inhabit?	N	None.
7.2	activities located on lands and territories claimed by indigenous peoples?	N	None.
7.3	impacts to the human rights of indigenous peoples or to the lands, territories and resources claimed by them?	N	None.
7.4	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N	None.
7.5	adverse effects on the development priorities, decision making mechanisms, and forms of self-government of indigenous peoples as defined by them?	N	None.
7.6	risks to the traditional livelihoods, physical and cultural survival of indigenous peoples?	N	None.
7.7	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	N	None.

Safeguard Standard 8: Labor and working conditions		
8.1 Will the proposed project involve hiring or contracting project staff ?	Y	The implementer will be a network member selected through the bidding process under UNGM and will be mandated to respect the UN code of conduct rules and will meet all the requisites.
If the answer to 8.1 is yes, would the project potentially involve or lead to:		
8.2 working conditions that do not meet national labour laws or international commitments (e.g. ILO conventions)?	N	None.
8.3 the use of forced labor and child labor?	N	None.
8.4 occupational health and safety risks (including violence and harassment)?	N	None.
8.5 the increase of local or regional unemployment?	N	None.
8.6 suppliers of goods and services who may have high risk of significant safety issues related to their own workers?	N	None.
8.7 unequal working opportunities and conditions for women and men	N	None.