



# Safeguard Risk Identification Form (SRIF)

## Section 1: Project Overview

<b>Identification</b>	<i>Insert Project ID# from Programme Framework Table</i> AF-2021000099 (CTCN 2021000042)
<b>Project Title</b>	<i>Insert title (adding words 'project preparation proposal for' before title)</i> Technical assistance the Localization of water resources management technology to adapt to climate change in Hong-Thai Binh river basin
<b>Managing Division</b>	UNEP – Economic Division – CTCN
<b>Type/Location</b>	<i>[Global/Normative; Regional; National]</i> National (Sub-national: Hong-Thai Binh river basin)
<b>Region</b>	<i>[Africa/ Europe/ North America/ Asia Pacific/ Latin America Caribbean/ West Asia]</i> Asia Pacific
<b>List Countries</b>	<i>Enter country name(s)</i> Vietnam
<b>Project Description</b>	<i>Provide the project summary and description in 2-3 paragraphs</i> <p>The objective of this technical assistance is to select and customize technologies that can provide science-based information on transboundary water resources. Previous and ongoing climate change risk and challenges to transboundary water resource management in the river basin will be identified, and the most appropriate technologies will be selected and customized to provide the selected data on the river basin. A technical manual and capacity building program will be developed. Subsequently, a training of government officials and relevant stakeholders will be conducted to enhance technical capacities.</p> <p>It should be noted that the Hong-Thai Binh river basin is a transboundary river basin that encompasses 5 major tributaries (Da River, Red River, Chay River, Lo River, and Gam River) in three countries (China, Laos and Viet Nam). The river basin covers 25 provinces with a population of 29 million people. The use of water resources upstream in China has significantly affected the water regime of the Hong-Thai Binh river basin in Viet Nam. In addition, the impacts of climate change (e.g., drought, extreme/flash flood, etc.) have exacerbated challenges to communities and households.</p> <p>The government's first priority is to finalize water resource management plans for the major river basins in the country, including the Hong-Thai Binh. Accessing reliable, up-to-date information on transboundary water resources is very important and plays a decisive role in developing water resource management plans at the river basin level. This technical assistance will assist the local</p>



	government in developing data and modeling solutions to address the needs of water management in the context of a changing climate and challenging cross/boundary data sharing issues.
<b>Relevant Subprogrammes</b>	
<b>Estimated duration of project</b>	<i>Provide the estimate in months from project kickoff to completion. Do not include time spent on concept or design.</i> 18 months
<b>Estimated cost of the project</b>	<i>Provide the estimated cost for entire project in USD.</i> 193,600 USD
<b>Name of the UNEP project manager responsible</b>	Clara Landeiro
<b>Funding Source(s)</b>	AFCIA
<b>Executing/Implementing partner(s)</b>	CTCN
<b>SRIF submission version</b>	<i>If it is not the first time, mark the time of your previous submission</i> Concept Review [ ] During Project development [ ] PRC [ ] Other _____ Version 1
<b>Safeguard-related reports prepared so far</b>  <i>(Please attach the documents or provide the hyperlinks)</i>	<ul style="list-style-type: none"> <li>• <i>Feasibility report [ ]</i></li> <li>• <i>Gender Action Plan [ ]</i></li> <li>• <i>Stakeholder Engagement Plan [ ]</i></li> <li>• <i>Safeguard risk assessment or impact assessment [ ]</i></li> <li>• <i>ES Management Plan or Framework [ ]</i></li> <li>• <i>Indigenous Peoples Plan [ ]</i></li> <li>• <i>Cultural Heritage Plan [ ]</i></li> <li>• <i>Others _____</i></li> </ul>

## Section 2: Safeguards Risk Summary

### A. Summary of the Safeguards Risk Triggered

Safeguard Standards Triggered by the Project	Impact of Risk <sup>1</sup> (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M, H)  <i>Please refer to the matrix below</i>
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	1	1	L
SS 4: Community Health, Safety and Security	1	1	L

<sup>1</sup> 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).

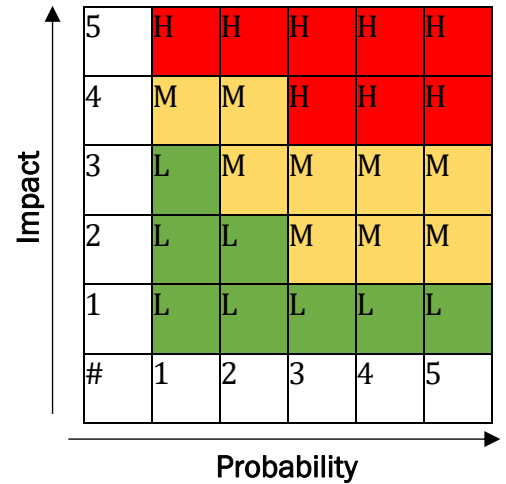


SS 5: Cultural Heritage	1	1	L
SS 6: Displacement and Involuntary Resettlement	1	1	L
SS 7: Indigenous Peoples	2	2	L
SS 8: Labor and working conditions	1	1	L

### B. ESS Risk Level<sup>2</sup> -

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: \_\_\_\_\_21 of February 2022\_\_\_\_\_

#### Screening review by

Name: Alexandra Mutungi Date: 03 March 2022

Cleared<sup>3</sup>

Signature
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### D. Safeguard Review Summary (by the safeguard team)

<sup>2</sup> **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; 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.

<sup>3</sup> This is signed only for the full projects latest by the PRC time.



This is an information-based technical assistance and is therefore a low-risk project. However, the UNEP guiding principles (section 3) should still be upheld. Consider the indirect impacts to right-holders and maintain continuous stakeholder engagement throughout the project cycle.

### E. Safeguard Recommendations (by the safeguard team)

- No specific safeguard action required
- Take Good Practice approach<sup>4</sup>
- 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)
<b>Guiding Principles</b> (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 Ministry of Natural Resources of Vietnam, and the North Division for North Division for Water Resources Planning and Investigation of the National Center for Water Resources Planning and Investigation. The participation of women and youth will be proactively encouraged throughout the implementation as per UN/CTCN rules.

<sup>4</sup> 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.



		Local communities will be encouraged to engage with the project through the local government representatives and the Implementing Partner.	
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 project has identified key stakeholders at the design stage and will continue to identify additional groups to ensure indigenous ethnic minorities', gender' and youth's participation during the implementation phase through its stakeholders consultation process.
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. On the contrary, stakeholders have underlined the importance of the project in acquiring good quality data that will enable sound decision making in land and water management and planning for the improvement and safety of local communities' lives and livelihoods.
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. 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.
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	<a href="#">CTC-N webpage</a> and <a href="http://www.open.unep.org">www.open.unep.org</a> (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 Natural Resources of Vietnam and the North Division for North Division for Water Resources Planning and Investigation. The <a href="#">Response Plan</a> 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 <a href="#">CTC-N webpage</a> . Stakeholders will be engaged during the implementation of the project through stakeholder consultations that have been planned at different stages of the project implementation.
GP9	Does the project consider potential negative impacts from short-term net gain to the local communities or	N	On the contrary, the project targets the strengthening of the water management in in Northern Vietnam. The project will help



<p>countries at the risk of generating long-term social or economic burden?<sup>5</sup></p>		<p>select appropriate technologies for to provide science-based information on transboundary water resources in the Hong-Thai Binh river basin.</p> <p>Thus, this TA will contribute to enhancing climate resilience of local communities, including indigenous/ethnic minority groups, women and youth, in Northern Vietnam in the long term, in the context of a changing climate. Please, refer to section 6, 10, Contribution to the SDGs of the <a href="#">Response Plan</a>.</p> <p>There are no negative impacts foreseen, on the contrary, stakeholders have underlined the importance of providing science-based information on transboundary water resources and climate information to improve water and land management decisions in the Thai Binh River Basin.</p>
<p>GP10 Does the project consider potential partial economic benefits while excluding marginalized or vulnerable groups, including women in poverty?</p>	<p>N</p>	<p>More accurate, integrated planning for transboundary water resource management in the Hong-Thai Binh river basin made possible through this project will benefit all communities in the basin, in particular those most vulnerable to climate related risks, including floods. Please, refer to section 6, 10, Contribution to the SDGs of the <a href="#">Response Plan</a>.</p>
<p><b>Safeguard Standard 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management</b></p>		
<p><i>Would the project potentially involve or lead to:</i></p>		
<p>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?</p>	<p>N</p>	<p>There are no conversion or degradation of habitats, nor losses or threats to biodiversity and/or ecosystems and ecosystem services.</p>
<p>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.)?</p>	<p>N</p>	<p>The data and systems to be developed by the project are expected to be used to improve decision making regarding current water and land use management and planning. 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 accurate, integrated planning for transboundary water resource management in the Hong-Thai Binh river basin.</p>
<p>1.3 conversion or degradation of habitats that are identified by authoritative sources for their high conservation and biodiversity value?</p>	<p>N</p>	<p>The project focuses on data and information systems to strengthen sustainable management of water resources.</p>

<sup>5</sup>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.



1.4	activities that are not legally permitted or are inconsistent with any officially recognized management plans for the area?	N	The project does not involve activities which not legally permitted.
1.5	risks to endangered species (e.g. reduction, encroachment on habitat)?	N	The project does not pose risks to endangered species or habitats.
1.6	activities that may result in soil erosion, deterioration and/or land degradation?	N	On the contrary, the project will contribute to more accurate, integrated water management planning and thus it is expected to create the conditions to better address land degradation issues in the basin.
1.7	reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?	N	On the contrary, the data and systems to be developed by the project are expected to lead to improved decision making regarding water resources management and planning in the basin, despite a challenging transboundary context.
1.8	reforestation, plantation development and/or forest harvesting?	N	The project is not planning any reforestation, plantation development and/or forest harvesting activities.
1.9	support for agricultural production, animal/fish production and harvesting	N	The project is not planning any agricultural production, animal/fish production or harvesting activities, though the production of climate and water resources information may contribute in the long term for better management of economic activities such as agriculture and inland fisheries.
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.
<b>Safeguard Standard 2: Climate Change and Disaster Risks</b>			
<i>Would the project potentially involve or lead to:</i>			
2.1	improving resilience against potential climate change impact beyond the project intervention period?	Y	<p>The project, if found feasible, will lead to increase resilience against potential climate change impacts, including floods and droughts, beyond the project intervention period.</p> <p>The systems and lessons learned from the implementation of this project could also be applied to other areas of Vietnam beyond the Thai Binh river basin.</p> <p>For example, the central government including the Ministry of Natural Resources and Environment (NDE of Viet Nam), with support from NAWAPI (proponent of the TA), could develop and implement programmes/projects to replicate the outputs and outcomes of this technical assistance (TA) to other river basins in Viet Nam. The science-based information generated from the TA could be also applied as input data for higher-quality downscaled</p>



		climate modelling, the results of which could be used in developing a relevant climate adaptation plan and associated strategies/programmes/projects in the Hong-Thai Binh river basin.
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	Vietnam was ranked by the Global Climate Risk Index 2020 as the sixth country in the world most affected by climate variability and extreme weather events over the period 1999-2018. As other countries in the region, Vietnam is projected to experience increased frequency of climate related natural disasters and extreme heat events. The effects of climate change are already causing significant social and economic impact to the country, as well as to the Thai Binh river basin, the target area for this project. The project will help identify climate change risks and challenges to transboundary water resources management in the basin, as well as technologies to provide science-based information on transboundary water resources and will develop a decision support system to enable more accurate water resources management and planning of the Thai Binh river basin.
2.3 outputs and outcomes sensitive or vulnerable to potential impacts of climate change (e.g. changes in precipitation, temperature, salinity, extreme events)?	N	None.
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 aims to help communities in the river basin to better cope with challenges posed by climate variability and change (as referred to in 2.2).
2.5 increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	N	None.
2.6 Carbon sequestration and reduction of greenhouse emissions, resource-efficient and low carbon development, other measures for mitigating climate change	N	None.
<b>Safeguard Standard 3: Pollution Prevention and Resource Efficiency</b>		
<i>Would the project potentially involve or lead to:</i>		
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	N	None.



	such as the <a href="#">Montreal Protocol</a> , <a href="#">Minamata Convention</a> , <a href="#">Basel Convention</a> , <a href="#">Rotterdam Convention</a> , <a href="#">Stockholm Convention</a> )		
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	None.
<b>Safeguard Standard 4: Community Health, Safety and Security</b>			
<i>Would the project potentially involve or lead to:</i>			
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 through more accurate, integrated planning for transboundary water resource management in the Hong-Thai Binh river basin.
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.
<b>Safeguard Standard 5: Cultural Heritage</b>			
<i>Would the project potentially involve or lead to:</i>			
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.
<b>Safeguard Standard 6: Displacement and Involuntary Resettlement</b>			
<i>Would the project potentially involve or lead to:</i>			



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.
<b>Safeguard Standard 7: Indigenous Peoples</b>			
<i>Would the project potentially involve or lead to:</i>			
7.1	areas where indigenous peoples are present or uncontacted or isolated indigenous peoples inhabit or where it is believed these peoples may inhabit?	Maybe	Indigenous Peoples in Vietnam account for about 14.1 million people or around 14.7% of the country's total population of about 96 million. Vietnam has 54 recognized ethnic groups, 53 of which are minority ethnic groups. In the Thai Binh Basin, minority ethnic groups' presence seems to be more significant in the uplands. The rating of the safeguards has been scored as level 2 as the project will be implemented in areas where indigenous peoples and ethnic minority groups live, though most of the activities of the project are related to environmental/water planning and management data and information.
7.2	activities located on lands and territories claimed by indigenous peoples?	Maybe	This technical assistance mostly involves information and systems, though there may be some data collection in selected points in the basin (to be selected after the start of the project implementation). The Safeguard has been rated as risk level 2.
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. On the contrary, the project is expected to lead to increased access to science-based data to support decision making regarding water resources planning and management in the basin.
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.



<b>Safeguard Standard 8: Labor and working conditions</b>		
8.1 Will the proposed project involve hiring or contracting project staff?	Y	The implementer will be a CTCN 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.
<i>If the answer to 8.1 is yes, would the project potentially involve or lead to:</i>		
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.