



Safeguard Risk Identification Form (SRIF)

Section 1 : Project Overview

Identification	<i>Insert Project ID# from Programme Framework Table</i> CTCN-2021000016
Project Title	<i>Insert title (adding words 'project preparation proposal for' before title)</i> Development of the locally led technology transfer action plan and a blueprint for action for the uptake of rainwater harvesting system at the local level in Pakistan
Managing Division	UNEP – Economic Division – CTCN
Type/Location	<i>[Global/Normative; Regional; National]</i> Sub/national (area to be selected after the start of project implementation)
Region	<i>(Africa/ Europe/ North America/ Asia Pacific/ Latin America Caribbean/ West Asia)</i> Asia-Pacific
List Countries	<i>Enter country name(s)</i> Pakistan
Project Description	<i>Provide the project summary and description in 2-3 paragraphs.</i> The current freshwater resources in Pakistan (mainly snow, glacier melt and monsoon rainfall), already under substantial stress due to growing population, urbanization, and unplanned land use, are increasingly affected by climate change. Water scarcity is expected to result in a wide range of socio-economic and environmental effects in Pakistan, especially impacting vulnerable communities including women and children. While the application of rainwater harvesting system is important for sustainable water supply to local communities, there are barriers and limited capacity in identifying, deploying, and operating suitable technologies at the local level. The objective of the technical assistance (TA) is to develop a blueprint for action at the local level for the uptake of the best rainwater harvesting technologies and management model by identifying the most appropriate rainwater harvesting system and developing a locally led technology transfer action plan for deployment of the rainwater harvesting system in a selected area in Pakistan. It is expected that climate resilience in water sector at the local level in Pakistan would be enhanced through the deployment of the rainwater harvesting system planned through the TA as well as through capacity building of local government bodies and communities in the selected area.
Relevant Subprogrammes	/
Estimated duration of project	<i>Provide the estimate in months from project kickoff to completion. Do not include time spent on concept or design.</i> 12 months
Estimated cost of the project	<i>Provide the estimated cost for entire project in USD.</i> 197,200 USD
Name of the UNEP project manager responsible	Clara Landeiro
Funding Source(s)	AFCIA



Executing/Implementing partner(s)	Implementing entity: CTCN
SRIF submission version	<i>If it is not the first time, mark the time of your previous submission.</i> Concept Review [] During Project development [] PRC [] Other _____ Version 1.0
Safeguard-related reports prepared so far. <i>(Please attach the documents or provide the hyperlinks)</i>	<ul style="list-style-type: none"> • 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) <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
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 Level² -

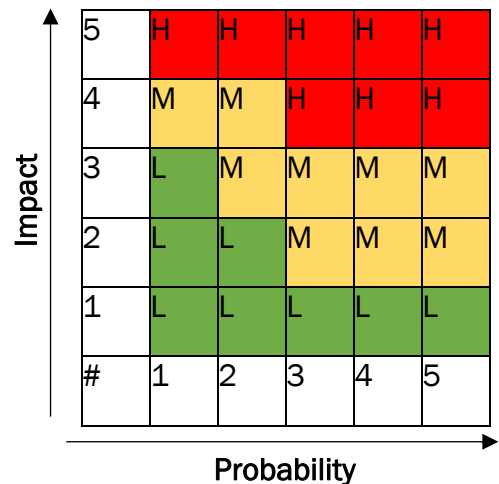
¹ Refer to UNEP Environmental and Social Sustainability Framework (ESSF): Implementation Guidance Note to assign values to the Impact of Risk and the Probability of Risk to determine the overall significance of Risk (Low, Moderate or High).

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; limited environmental or social analysis may be required to develop an 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.



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: 12 October 2023

Screening review by

Name: Polycarp Odiedo Date: 17/10/2023

Cleared³

Signature

D. Safeguard Review Summary (by the safeguard team)

This is a low-risk project. However, UNEP ESSF guiding principles - resilience and sustainability; human rights, gender equality and women empowerment, accountability and leave no one behind – as outlined in section 3 are still applicable for low-risk projects.

E. Safeguard Recommendations (by the safeguard team)

- No specific safeguard action required.
- Take Good Practice approach⁴

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

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.



- 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, in consultation the Ministry of Climate Change (NDE) and the Pakistan Council of Research in Water Resources (Proponent), has analyzed and identified stakeholders who are interested and may be positively or negatively impacted by the project implementation. Their input is incorporated in the implementation plan of this project. This analysis and stakeholder engagement will be complemented at the start of implementation once the target area for the intervention is selected. The participation of women and youth will be proactively encouraged throughout the implementation as per UN/CTCN rules. Local communities in the selected area 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, including vulnerable people, and it will continue to identify additional groups throughout the implementation phase to ensure indigenous ethnic minorities', gender' and youth' and different marginalize groups' participation



		through co-designing, trainings and 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 No concerns have been raised on human rights or gender equality during the development of the proposed project.
GP4	Does the proposed project consider gender-balanced representation in the design and implementation?	Y Gender balanced representation has been considered in the design of the project. The CTCN has developed a gender policy and an action plan that was approved by its Advisory Board. The gender policy applies a two-pronged approach to promote gender equality including (i) gender-specific initiatives meaning "addressing gender inequitable issues" and (ii) gender mainstreaming as "a way of implementing interventions in a human rights-based approach so both men and women can enjoy the benefits equally". It thus addresses the fact that women are underserved when it comes to technologies and capacity development, so historical imbalances may be corrected, and it provides equal/equitable opportunity to men and women. The Advisory Board of the CTCN includes a gender constituency and all CTCN Technical Assistances are implemented with the engagement of at least one gender expert and a minimum percentage of the project costs towards gender and youth as mandatory requirements.
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 the activities of the project proposal. The project team includes a gender expert, and all committees to be set up will have a balanced proportion of males and females, with at least one woman in the steering committees.
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 will soon be available on CTCN webpage. It will follow UNEP's grievance mechanism. The project will also respect the Adaptation Fund's 15 safeguard principles.
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 Safeguards documents will be uploaded after approval onto the CTC-N webpage and www.open.unep.org .
GP8	Were the stakeholders (including affected communities) informed of the projects and grievance redress mechanism? If yes, describe how they were informed.	N This will be done during the kick off of the project. The grievance redress mechanism will follow UNEP rules and procedures and will also be aligned with Adaptation Fund



		requirements. It will be available on CTCN’s webpage.
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? ⁶	Y	The project considers potential negative impacts to local communities in Pakistan through consultations and by involving stakeholders in the co-design and oversight process. The project analyses the anticipated long-term social and economic burden. These risks are identified, and mitigating measures have been formulated. E.g., a financing mechanism must be in place to ensure sustainable usage of the implemented interventions. In addition, output 4 in the response plan involves the development of a concept note by the implementing entity to assist the country in accessing various financing mechanism for large scale implementation.
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 a direct positive impact on food and water security, as well as on economic activities of local stakeholders such as farmers, herders, and food producers. The project specifically assesses the anticipated benefits for vulnerable groups, women and youth.
Safeguard Standard 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management		
<i>Would the project potentially involve or lead to:</i>		
1.1 conversion or degradation of habitats (including modified habitat, natural habitat, and critical natural habitat), or losses and threat to biodiversity, and/or ecosystems and ecosystem services?	N	No degradation, or losses and threat to biodiversity and ecosystems are foreseen. On the contrary, the project aims to enhance resilience to floods and droughts through the development of a technology action plan for surface runoff storage and for groundwater recharge in a target local areas.
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	The project shall select sites that have no habitats that are legally protected, officially proposed for protection, or recognized as protected by traditional local communities and/or authoritative sources.
1.3 conversion or degradation of habitats that are identified by authoritative sources for their high conservation and biodiversity value?	N	The project shall select sites that have no habitats that are identified by authoritative sources 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 have a local focal point supervising the implementation and will be developed as per UN rules and regulations.
1.5 risks to endangered species (e.g., reduction, encroachment on habitat)?	N	The resulting technology action plan is expected to lead to the deployment of

⁶For 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.



		technologies that can be used to protect lands from floods and drought. Sites will be selected where there is no risk to endangered species.
1.6	activities that may result in soil erosion, deterioration and/or land degradation?	Maybe In general, the project aims to protect lands from floods and drought. However, the project also aims to implement a water harvesting infrastructure and local irrigation system which could potentially have an unforeseen impact on the land. This risk will be analyzed and monitored thoroughly throughout project implementation, and mitigating measures shall be defined and implemented if needed.
1.7	reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?	N On the contrary, the project is designed to reduce water scarcity.
1.8	reforestation, plantation development and/or forest harvesting?	N The project aims to protect lands from floods and droughts.
1.9	support for agricultural production, animal/fish production and harvesting	Y The project is expected to support agricultural production by limiting the damages due to flood and drought in selected areas in Pakistan.
1.10	introduction or utilization of any invasive alien species of flora and fauna, whether accidental or intentional?	N Not applicable.
1.11	handling or utilization of genetically modified organisms?	N Not applicable.
1.12	collection and utilization of genetic resources?	N Not applicable.
Safeguard Standard 2: Climate Change and Disaster Risks		
<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 The project will increase resilience against potential climate change impact beyond the project intervention period. The project is designed to enable the sustainable implementation of tools, technologies and practices which aim to prevent / reduce damages caused by floods and droughts.
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 The areas to be selected as project sites will be areas which are severely impacted by climate change-induced floods and drought time. The combination of project interventions will lead to an increase in resilience of the local communities.
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. The project will combat the impacts of climate change, specifically flood and drought.
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 selected areas to better cope with challenges posed by climate variability and change; in fact, they are the main beneficiaries of the project. The communities will play an active role in the project and take part in the co-design process.



2.5	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	N	No.
2.6	Carbon sequestration and reduction of greenhouse emissions, resource-efficient and low carbon development, other measures for mitigating climate change	N	Not applicable.
Safeguard Standard 3: Pollution Prevention and Resource Efficiency			
<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	Not applicable.
3.2	the generation of waste (both hazardous and non-hazardous)?	N	Not applicable.
3.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	N	Not applicable.
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	Not applicable.
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	Eventually, the project will lead to the improvement of agricultural practices along with the development of technology/physical infrastructure to withstand climate change-induced flood and drought. It is not expected to lead to the application of pesticides or fertilizers that may have a negative effect on the environment.
3.6	significant consumption of energy, water, or other material inputs?	N	On the contrary, the project will increase water security.
Safeguard Standard 4: Community Health, Safety and Security			
<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	On the contrary, the project will enhance natural resources including water and food by enhancing resilience to floods and droughts.
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	Not applicable.
4.6	engagement of security personnel to support project activities (e.g. protection of property or personnel, patrolling of protected areas)?	N	No.



4.7	an influx of workers to the project area or security personnel (e.g. police, military, other)?	N	No.
Safeguard Standard 5: Cultural Heritage			
<i>Would the project potentially involve or lead to:</i>			
5.1	activities adjacent to or within a Cultural Heritage site?	N	Project sites will be selected in alignment with this safeguard standard, ensuring that there are no adverse impacts to cultural heritage.
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	Project sites will be selected ensuring that there would be no adverse impacts to cultural heritage.
5.3	utilization of Cultural Heritage for commercial or other purposes (e.g. use of objects, practices, traditional knowledge, tourism)?	N	Not applicable
5.4	alterations to landscapes and natural features with cultural significance?	N	Project sites will be selected in alignment with this safeguard standard, ensuring that there are no adverse impacts to cultural heritage.
5.5	significant land clearing, demolitions, excavations, flooding?	N	The project shall develop technology action plan for preventing flooding rather than causing flooding.
5.6	identification and protection of cultural heritage sites or intangible forms of cultural heritage	N	The project sites will be selected taking into consideration the cultural heritage sites to avoid them. The project aims to protect lands (and possibly cultural heritage sites) from flooding.
Safeguard Standard 6: Displacement and Involuntary Resettlement			
<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.
6.3	involuntary restrictions on land/water use that deny a community the use of resources to which they have traditional or recognizable use rights?	N	No restrictions on land/water use are expected.
6.4	risk of forced evictions?	N	None.
6.5	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			
<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?	N	There are several ethnic and religious minorities in Pakistan. In any case, at this stage of the project when project sites have yet to be selected, and where only development of a technology action plan will be undertaken, the rating of this safeguard is scored at 1.
7.2	activities located on lands and territories claimed by indigenous peoples?	N	Not applicable.



7.3	impacts to the human rights of indigenous peoples or to the lands, territories and resources claimed by them?	N	Not applicable.
7.4	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N	Not applicable.
7.5	adverse effects on the development priorities, decision making mechanisms, and forms of self-government of indigenous peoples as defined by them?	N	Not applicable.
7.6	risks to the traditional livelihoods, physical and cultural survival of indigenous peoples?	N	Not applicable.
7.7	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	N	Not applicable.
Safeguard Standard 8: Labor and working conditions			
8.1	Will the proposed project involve hiring or contracting project staff?	Y	Yes. The implementer will be a network member and will be obligated 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	No.
8.3	the use of forced labor and child labor?	N	No.
8.4	occupational health and safety risks (including violence and harassment)?	N	No.
8.5	the increase of local or regional unemployment?	N	No.
8.6	suppliers of goods and services who may have high risk of significant safety issues related to their own workers?	N	No.
8.7	unequal working opportunities and conditions for women and men	N	No.