



Safeguard Risk Identification Form (SRIF)

Section 1: Project Overview

Identification	<i>Insert Project ID# from Programme Framework Table</i> AF-2021000014 (CTCN 2021000017)
Project Title	<i>Insert title (adding words 'project preparation proposal for' before title)</i> Feasibility assessment to identify a low-cost, climate resilient, re-usable, easily replicable, scalable mobile flood barrier to prevent damage from flooding and ensure water availability in times of drought in Rubira Hills, Musenyi area of Mpanda Commune in Bubanza, Burundi.
Managing Division	UNEP – Economic Division – CTCN
Type/Location	<i>[Global/Normative; Regional; National]</i> National Burundi, in Rubira Hills, Musenyi area of Mpanda Commune in Bubanza
Region	<i>(Africa/ Europe/ North America/ Asia Pacific/ Latin America Caribbean/ West Asia)</i> Africa
List Countries	<i>Enter country name(s)</i> Burundi
Project Description	<i>Provide the project summary and description in 2-3 paragraphs</i> <p>The objective of the project is to realize a feasibility assessment of a low-cost, climate resilient, re-usable, easy replicable, scalable mobile flood barrier to prevent damage from flooding and ensure water availability in times of drought in one pilot site of Rubira Hills, Musenyi area of Mpanda Commune in Bubanza, Burundi.</p> <p>The Technical assistance will also i) map the regional, sub-national and national stakeholders, ii) elaborate a flood and drought assessment, iii) define the technical characteristics of the mobile flood barrier to be used in Rubira Hill in one pilot area, iv) ensure capacity building of future users and beneficiaries of the technology, v) define a M&E framework, vi) formulate a roadmap (including financial consideration) for the scale up of the technology across Burundi.</p> <p>Burundi is the 14th most vulnerable country and is the 17th least ready country – meaning that it is extremely vulnerable to, yet very unready to combat climate change effects. Climate adaptation requires changes in behaviour and appropriate technologies and measures to increase the resilience to floods and drought and provide protection to the main sectors such as agriculture, (critical) infrastructure, people and the environment where the risk of storm surge and flooding is imminent.</p>



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> 15 months
Estimated cost of the project	<i>Provide the estimated cost for entire project in USD.</i> 250,000 USD
Name of the UNEP project manager responsible	Rajiv Garg
Funding Source(s)	AFCIA
Executing/Implementing partner(s)	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
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

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).

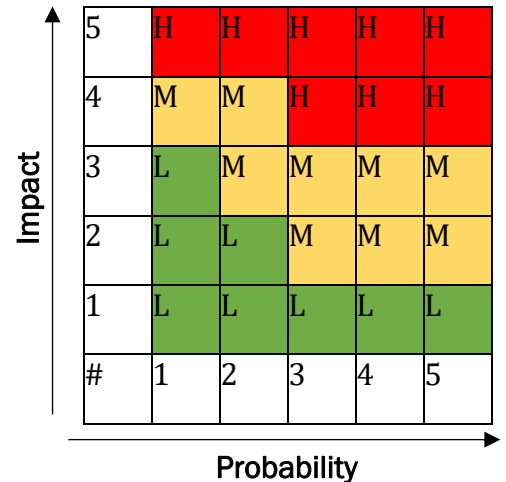


SS 4: Community Health, Safety and Security	1	1	L
SS 5: Cultural Heritage	1	1	L
SS 6: Displacement and Involuntary Resettlement	1	1	L
SS7: Indigenous Peoples	2	1	L
SS 8: Labor and working conditions	1	1	L

B. ESS Risk Level² -

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: _____Rajiv Garg_____ Date: _____26 of October 2021_____

Screening review by

Name: Yunae Yi Date: 04/11/2021

Cleared³

D. Safeguard Review Summary (by the safeguard team)

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 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.



This is likely a low risk project with a small scale pilot component. However, the guiding principles in the form of GP questions 1-10 in the Section 3 are applicable for the low risk projects. These principles should be respected during the project implementation.

E. Safeguard Recommendations (by the safeguard team)

- No specific safeguard action required
- Take Good Practice approach⁴
- 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 analysed and has identified stakeholders who are going to be positively or negatively impacted by the project implementation in consultation with the Director’s office of the Environment and Climate Change Ministry of Environment, Agriculture and Livestock as well as with Burundi Geographic Institute . The participation of women and youth will be proactively ensured throughout the implementation as per UN/CTCN rules.

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.



		Representative of the pilot sites have been involved through the Ministry and Institute. Local communities have been informed through the local representative
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?	The project has identified the vulnerable groups, including smallholder farmers, and will ensure gender and youth participation during the implementation phase through trainings and stakeholder 's 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)?	No. During the formulation of the proposal no concerns were raised about local communities or human rights. On the contrary, the stakeholders are pushing to ascertain the feasibility of this technology.
GP4	Does the proposed project consider gender-balanced representation in the design and implementation?	Yes. 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?	Yes, 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 7 experts.
GP6	Does the project include a project-specific grievance redress mechanism? If yes, state the specific location of such information.	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.	CTC-N webpage . Safeguards documents will be uploaded after approval. 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.	Yes, the stakeholders were informed about the project and the grievance redress mechanism through the Director's office of the Environment and Climate Change Ministry of Environment, Agriculture and Livestock. Stakeholders will be engaged during the implementation of the project through stakeholder consultations and capacity building that have been planned at all stages of the implementation.
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	No, the project is a feasibility assessment and will assess the feasibility for the use of a technology to prevent floods and store water for drought. There are no negative impacts foreseen, on the contrary the local

⁵For 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.



		community is keen to see the results of the feasibility assessment so that they can take appropriate decisions with a view to scale up and implementation of the technology.
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GP10 Does the project consider potential partial economic benefits while excluding marginalized or vulnerable groups, including women in poverty?		The project is expected to have direct impact on food security, as well as the economic activities of the local farmers, including women and youth. Please, refer to section 6, 10, Contribution to the SDGs of the Response Plan .
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Safeguard Standard 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management		
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<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 threats to biodiversity and/or ecosystems and ecosystem services?		No. The technical assistance is expected to protect lands from floods and drought.
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.)?		No, the activities of the project are not going to be implemented in a protected area.
1.3 conversion or degradation of habitats that are identified by authoritative sources for their high conservation and biodiversity value?		No, the project is not implemented in an 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?		No, 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)?		No, the project is expected to protect lands from floods and drought.
1.6 activities that may result in soil erosion, deterioration and/or land degradation?		No, the project is expected to protect lands from floods and drought.
1.7 reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?		No, on the contrary, it will raise the water levels.
1.8 reforestation, plantation development and/or forest harvesting?		No.
1.9 support for agricultural production, animal/fish production and harvesting		Yes, the project is expected to support agricultural production by limiting the damages due to flood and drought in the selected area of Burundi.
1.10 introduction or utilization of any invasive alien species of flora and fauna, whether accidental or intentional?		No.
1.11 handling or utilization of genetically modified organisms?		No.
1.12 collection and utilization of genetic resources?		No.

Safeguard Standard 2: Climate Change and Disaster Risks		
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<i>Would the project potentially involve or lead to:</i>		
2.1 improving resilience against potential climate change impact beyond the project intervention period?		Yes, the project, if found feasible, will lead to increase resilience against potential



		climate change impact beyond the project intervention period. It could also be scaled up to other areas of Burundi.
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?	Yes, the selected area is expected to suffer floods and drought time as it has occurred in the past. The frequency of floods and drought are expected to increase due to climate change. This technology, is found feasible, would lead to building 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)?	No.
2.4	local communities vulnerable to the impacts of climate change and disaster risks (e.g. considering level of exposure and adaptive capacity)?	Yes, as the community living in the selected area are mainly farmers.
2.5	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No.
2.6	Carbon sequestration and reduction of greenhouse emissions, resource-efficient and low carbon development, other measures for mitigating climate change	No, this is an adaptation project.
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?	No.
3.2	the generation of waste (both hazardous and non-hazardous)?	No.
3.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No.
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)	No.
3.5	the application of pesticides or fertilizers that may have a negative effect on the environment (including non-target species) or human health?	No.
3.6	significant consumption of energy, water, or other material inputs?	No.
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)?	No.
4.2	air pollution, noise, vibration, traffic, physical hazards, water runoff?	No.



4.3	exposure to water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable or noncommunicable diseases?	No. The feasibility study will only be for a short period of time.
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)?	No negative impacts on the contrary, positive impacts are foreseen.
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)?	No.
4.6	engagement of security personnel to support project activities (e.g. protection of property or personnel, patrolling of protected areas)?	No.
4.7	an influx of workers to the project area or security personnel (e.g. police, military, other)?	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?	No.
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)?	No.
5.3	utilization of Cultural Heritage for commercial or other purposes (e.g. use of objects, practices, traditional knowledge, tourism)?	No.
5.4	alterations to landscapes and natural features with cultural significance?	No.
5.5	significant land clearing, demolitions, excavations, flooding?	No.
5.6	identification and protection of cultural heritage sites or intangible forms of cultural heritage?	No.
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)?	No.
6.2	economic displacement (e.g. loss of assets or access to assets affecting for example crops, businesses, income generation sources)?	No.
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?	No.
6.3	risk of forced evictions?	No.
6.4	changes in land tenure arrangements, including communal and/or customary/traditional land tenure patterns (including temporary/permanent loss of land)?	No.
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?	No.
7.2	activities located on lands and territories claimed by indigenous peoples?	No.
7.3	impacts to the human rights of indigenous peoples or to the lands, territories and resources claimed by them?	No.
7.4	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No.
7.5	adverse effects on the development priorities, decision making mechanisms, and forms of self-government of indigenous peoples as defined by them?	No.
7.6	risks to the traditional livelihoods, physical and cultural survival of indigenous peoples?	No.
7.7	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No.
Safeguard Standard 8: Labor and working conditions		
8.1	Will the proposed project involve hiring or contracting project staff ?	Yes. The implementer will be a network member and will be obliged 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)?	No.
8.3	the use of forced labor and child labor?	No.
8.4	occupational health and safety risks (including violence and harassment)?	No.
8.5	the increase of local or regional unemployment?	No.
8.6	suppliers of goods and services who may have high risk of significant safety issues related to their own workers?	No.
8.7	unequal working opportunities and conditions for women and men	No.