



Safeguard Risk Identification Form (SRIF)

Section 1: Project Overview

Identification	CTCN EC - 2023000028
Project Title	<i>Insert title (adding words 'project preparation proposal for' before title)</i> Reinforcing the implementation of climate change mitigation and adaptation actions through the development of solar energy systems at off-grid agro-industrial facilities by setting up a "Community Solar Platform".
Managing Division	UNEP – Climate Change Division – CTCN
Type/Location	<i>[Global/Normative; Regional; National]</i> National Burkina Faso
Region	<i>(Africa/ Europe/ North America/ Asia Pacific/ Latin America Caribbean/ West Asia)</i> Africa
List Countries	<i>Enter country name(s)</i> Burkina Faso
Project Description	<i>Provide the project summary and description in 2-3 paragraphs</i> The project "Reinforcement of the implementation of climate change mitigation and adaptation actions through the development of solar energy systems at off-grid agro-industrial facilities through the implementation of a "Community Solar Platform" in Burkina Faso" is structured as a technical assistance (TA) program. It aims to promote the adoption of solar energy in rural cooperative agro-industrial facilities, using innovative "pay-as-you-use" payment models to facilitate access to energy for the purposes of climate resilience and carbon sobriety. This initiative, supported by the UNFCCC's CRTIC, contributes to strengthening climate action by promoting the sustainable integration of solar systems, with the main objectives of improving access to energy, reducing CO2 emissions and transforming the renewable energy market in Burkina Faso to support the country's climate objectives. The TA proposes to analyze the "pay-as-you-go" model experimented on a dozen projects executed by Sahelia Solaire to identify possible sources of dysfunction, and to test innovative models and new approaches in at least two separate projects. For example, the TA will look at how farmers can use solar energy for agricultural machinery such as mills and gins in the grain processing process within agricultural cooperatives, and adapt the "pay-as-you-go" model to such uses accordingly.
Relevant Subprogrammes	/EU
Estimated duration of project	<i>Provide the estimate in months from project kick-off 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> 184, 500 USD
Name of the UNEP project manager responsible	Rajiv Garg
Funding Source(s)	European Commission – Climate Change and Security Programme.



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 (Please attach the documents or provide the hyperlinks)	<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	1	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
SS7: Indigenous Peoples	1	1	L
SS 8: Labor and working conditions	1	1	L

B. ESS Risk Level² -

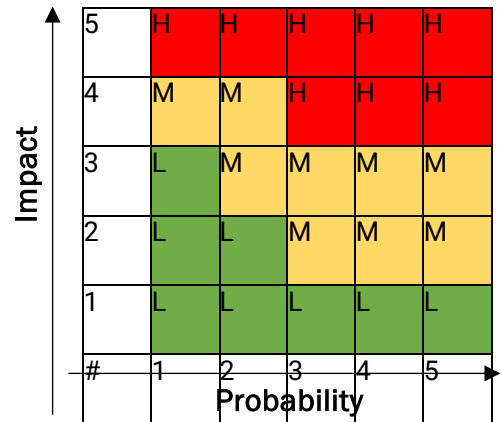
¹ Refer to UNEP Environmental and Social Sustainability Framework (ESSF): Implementation Guidance Note to assign values to the Impact of Risk and the Probability of Risk to determine the overall significance of Risk (Low, Moderate or High).

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 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.



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: _____16 of May 2024_____

Screening review by

Name: Polycarp Odiedo Date: 22 May 2024

Cleared³

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
- 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

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.



- 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	<p>In consultation with the benefiting community, and other stakeholders, the Ministry of the Environment, Green Economy and Climate Change, the project has analyzed and identified stakeholders who would be positively or negatively impacted by the project implementation. The project activities and approaches will be outlined during the kick-off of the project once all the stakeholders are mapped.</p> <p>The participation of women and youth will be proactively ensured throughout the implementation as per UN/CTCN rules. Representative of the pilot sites have been involved through the Ministry and the project proponent.</p>
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	<p>The project has identified areas and vulnerable groups most vulnerable to the effects of climate change. These communities include Low-income households, Subsistence or small-scale farmers, Landless peasants, Nomadic pastoralists, Sedentary herders, Cotton growing households, Migrant workers, Victims of conflicts, Refugees, internally displaced people, Individuals marginalized through community and household disputes, small-scale agricultural producers, Unemployed, and Internally displaced people. Representatives from these communities will be included as part of stakeholders. In addition, the project implementation team will ensure gender and youth participation through trainings and consultation process.</p> <p>The mapping of the stakeholders will be revised at the very beginning of the project and an inception meeting will be planned to inform the stakeholders of the start of the initiative one month after the signature of the contract between UNEP and the implementer. Throughout the</p>



		implementation period of this project, the stakeholder working group will be informed in a transparent manner the implication of each methodology used in the project. Suggestions will be taken from the SWG to ensure the vulnerable groups are not negatively impacted by the project.
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. During the formulation of the proposal/technology concept, no concerns were raised about local communities or human rights. Quite the contrary, the project proponent has provided past and ongoing efforts conducted by the country to resolve the presented problem which is a big percentage of the population lacking power and access to the grid. These activities include, SONABEL's major electrification projects, FasoBiogaz which specializes in energy production through the recovery of raw materials, and the Burkina Faso National Bio Digester Program (PNB-BF). The local communities are supporting the implementation of this project as it will complement the ongoing efforts. No human rights concerns or inequalities on gender have been expressed by local communities.
GP4 Does the proposed project consider gender-balanced representation in the design and implementation?	Y	Yes. Gender balanced representation has been considered in the design and implementation. As per the CTCN guidelines approved by the Advisory Board under Climate Convention, five percent of the project costs are towards gender and youth and a mandatory Gender Assessment and Gender Action Plan will be requested to the Implementing Partner. The IP is also requested to have a gender specialist for the implementation of this project.
GP5 Did the proposed project analyze relevant gender issues and develop a gender responsive project approach?	Y	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 8 experts. The stakeholders will be mapped at the very beginning of the project with gender representative participation. An inception meeting will be organized one month after the signature of the contract between UNEP and the implementer. This inception meeting will be the opportunity to identify the needs, concerns, ideas, opportunities, roles in the implementation of each stakeholder. In addition, based on the decision taken during CTCN's Advisory



		Board Meeting held in Sept 2023, a minimum of 5% of the budget will be used for gender mainstreaming activities and a gender assessment will be requested as a mandatory deliverable.
GP6 Does the project include a project-specific grievance redress mechanism? If yes, state the specific location of such information.	Y	A specific page describing the Grievance Mechanisms will be created under CTCN webpage. This is expected to be created during Q2, 2024.
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	CTCN webpage will contain project documents. In addition, A specific safeguard mechanism will be created and safeguard information will be found there.
GP8 Were the stakeholders (including affected communities) informed of the projects and grievance redress mechanism? If yes, describe how they were informed.	Y	Yes, the stakeholders were informed about the project and the grievance redress mechanism through Ministry of the Environment, Green Economy and Climate Change. 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	N	No, the project does not pose long-term social or economic burden on the local communities. Instead, the technical assistance aims to strengthen resilience to climate change by promoting the adoption of sustainable solar energy solutions. This assistance could reach a significant number of people in rural communities, improving their quality of life and strengthening their resilience to the adverse effects of climate change.
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 impact on food security, as well as the economic activities of the local farmers, including women and youth. Please, refer to section 12, SDG Contributions of the Response Plan .
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 threats to biodiversity and/or ecosystems and ecosystem services?	N	No. There are no conversion or degradation of habitats, neither are losses or threats to biodiversity and/or ecosystems and ecosystems services. This Technical assistance aims to promote the adoption of solar energy in

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.



		rural cooperative agro-industrial facilities, using innovative "pay-as-you-use" payment models to facilitate access to energy for the purposes of climate resilience and carbon emissions reduction.
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 technical assistance will not pilot a technology. It will focus on developing a business model for the already developed Sahelia Solar, by introducing an innovative energy payment system based on the "Pay As You Use" model to strengthen sustainable access to energy in the Ouahigouya commune. As such, the TA will not have any physical impacts on habitats or any interference with the conservancies.
1.3 conversion or degradation of habitats that are identified by authoritative sources for their high conservation and biodiversity value?	N	No.
1.4 activities that are not legally permitted or are inconsistent with any officially recognized management plans for the area?	N	No, the project will have a national 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	No.
1.6 activities that may result in soil erosion, deterioration and/or land degradation?	N	No.
1.7 reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?	N	No.
1.8 reforestation, plantation development and/or forest harvesting?	N	No.
1.9 support for agricultural production, animal/fish production and harvesting	Y	Yes, in the long-term, once the business models for pays as you use are developed and adopted, farmers will have more access to energy which can be used for both irrigation and storage purposes hence reducing losses associated with lack of energy access.
1.10 introduction or utilization of any invasive alien species of flora and fauna, whether accidental or intentional?	N	No.
1.11 handling or utilization of genetically modified organisms?	N	No.
1.12 collection and utilization of genetic resources?	N	No.
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	Yes, increasing access to efficient energy source through pay as you use models will increase the flexibility and resilience of the people of the commune of Ouahigouya by reducing their dependence on rainfed agriculture.



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?	N	No, this project does not involve pilot implementation. Therefore, no physical areas will be directly affected by its implementation.
2.3	outputs and outcomes sensitive or vulnerable to potential impacts of climate change (e.g. changes in precipitation, temperature, salinity, extreme events)?	N	No.
2.4	local communities vulnerable to the impacts of climate change and disaster risks (e.g. considering level of exposure and adaptive capacity)?	Y	Yes, at the end of this technical assistance, the local communities will benefit from: Improved Food Security:
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	Y	Yes. The project will lead to reduced emissions through by encouraging more people to use the Saheilo solar through an affordable pay as you use business model leading to reduced dependence on fossil fuels.
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	No.
3.2	the generation of waste (both hazardous and non-hazardous)?	N	No.
3.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	N	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 <u>Montreal Protocol</u> , <u>Minamata Convention</u> , <u>Basel Convention</u> , <u>Rotterdam Convention</u> , <u>Stockholm Convention</u>)	N	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?	N	No.
3.6	significant consumption of energy, water, or other material inputs?	N	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)?	N	No.
4.2	air pollution, noise, vibration, traffic, physical hazards, water runoff?	N	No.
4.3	exposure to water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable or noncommunicable diseases?	N	No. The technical assistance 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)?	N	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)?	N	No.
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	No, the project activities will not be implemented near cultural heritage sites.
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	No.
5.3	utilization of Cultural Heritage for commercial or other purposes (e.g. use of objects, practices, traditional knowledge, tourism)?	N	No.
5.4	alterations to landscapes and natural features with cultural significance?	N	No.
5.5	significant land clearing, demolitions, excavations, flooding?	N	No.
5.6	identification and protection of cultural heritage sites or intangible forms of cultural heritage?	N	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)?	N	No.
6.2	economic displacement (e.g. loss of assets or access to assets affecting for example crops, businesses, income generation sources)?	N	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?	N	No.
6.3	risk of forced evictions?	N	No.
6.4	changes in land tenure arrangements, including communal and/or customary/traditional land tenure patterns (including temporary/permanent loss of land)?	N	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?	N	No.
7.2	activities located on lands and territories claimed by indigenous peoples?	N	No.



7.3	impacts to the human rights of indigenous peoples or to the lands, territories and resources claimed by them?	N	No.
7.4	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N	No.
7.5	adverse effects on the development priorities, decision making mechanisms, and forms of self-government of indigenous peoples as defined by them?	N	No.
7.6	risks to the traditional livelihoods, physical and cultural survival of indigenous peoples?	N	No.
7.7	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	N	No.
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 CTCN 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 labor 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.