



# Safeguard Risk Identification Form (SRIF)

## Section 1: Project Overview

Identification	<i>Insert Project ID# from Programme Framework Table</i> 2024000025
Project Title	<i>Insert title (adding words 'project preparation proposal for' before title)</i> Sustainable mangroves: Participatory mangrove conservation, restoration and monitoring strategies of the El Cuerval Community Council, for adaptation and mitigation with a focus on integrating peace into climate action.
Managing Division	UNEP – Climate Change Division – CTCN
Type/Location	<i>[Global/Normative; Regional; National]</i> National Columbia
Region	<i>(Africa/ Europe/ North America/ Asia Pacific/ Latin America Caribbean/ West Asia)</i> LAC
List Countries	<i>Enter country name(s)</i> Colombia
Project Description	<i>Provide the project summary and description in 2-3 paragraphs</i> Mangroves are a key ecosystem for the adaptation of coastal communities in the department of Cauca and carbon sequestration. The mangroves of El Comedero Regional Natural Park (PNREC), a sample of these ecosystems, are being degraded and deforested by common processes in the department, such as logging for illegal hunting and land use change. The CRC and the communities promote mangrove restoration and good practices for their use. However, the lack of knowledge to identify the most effective restoration processes and the absence of technological resources to design a community-based restoration monitoring process impede the progress of these efforts. This technical assistance will provide CVC technical staff and community agents with the conceptual and technical basis to design a mangrove restoration strategy for the PNREC and its monitoring, reporting and verification (MRV) system through courses, guides and pilot experiences; in a manner harmonized with national priorities and local development plans; so that it can be scaled up in other parts of Cauca.
Relevant Subprogrammes	/ EC Climate Change and Security Programme
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> 200 000 USD
Name of the UNEP project manager responsible	Rajiv Garg
Funding Source(s)	EC
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	<ul style="list-style-type: none"> <li>• Feasibility report [ ]</li> </ul>



(Please attach the documents or provide the hyperlinks)

- Gender Action Plan [this will be done during the inception phase of the implementation]
- Stakeholder Engagement Plan [ x ]
- 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 <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	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 Level<sup>2</sup> -

5	H	H	H	H	H
4	M	M	H	H	H
3	L	M	M	M	M

<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).

<sup>2</sup> **Low risk:** Negative impacts minimal or negligible: no further study or impact management required.

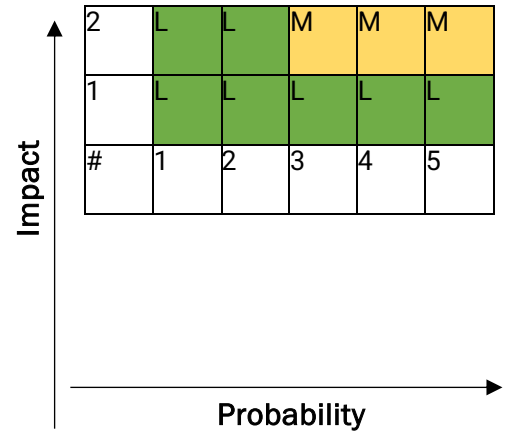
**Moderate risk:** Potential negative impacts, but limited in scale, not unprecedented or irreversible and generally limited to programme/project area; impacts amenable to management using standard mitigation measures; limited environmental or social analysis may be required to develop a Environmental 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.



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 April 2024\_\_\_\_\_

Screening review by

Name: Polycarp Odiedo

Date: 22 May 2024

Cleared<sup>3</sup>

### 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 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 \_\_\_\_\_

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

<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.



## 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 host communities that will benefit from the pilot, have been involved from the very beginning, including in the definition of the Response Plan and have signed on the response plan along with the NDE - Ministerio de Ambiente y Desarrollo Sostenible (MADS). Following latest decision taken by CTCN AB in September 2023, a gender assessment and gender action plan have become a mandatory deliverable of the CTCN and will thus be formulated during the inception stage.
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 response plan has been designed in cooperation with the Cauca Regional Autonomous Corporation (CRC) and the municipality of Timbiqui representatives who have signed on the request after a string of stakeholder engagement and discussions with the NDE and the CTCN. The response Plan plans to address the most vulnerable communities, including the youth and will have a strong gender focus.  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.
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.
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, a fixed percentage of the project costs are towards gender and youth and a mandatory gender assessment and gender action plan will be formulated.



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 5 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 has not yet been created as this project is not yet under implementation. This is expected to be created in Q2.2024 under CTCN webpage.
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	<u>CTCN webpage</u> will be updated in Q2.2024 to provide information of the safeguard mechanism as well in UNEP open data portal - <a href="https://open.unep.org/project/">https://open.unep.org/project/</a>
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 will be informed during the inception meetings organised at project level and globally during the inception workshop organised at programme level with all the selected projects
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? <sup>5</sup>	N	No, the project does not pose long-term social or economic burden on the local communities. The project's main aim is the restoration and monitoring strategies for the mangrove areas of the Cuerval Community Council, for its sustainable development.
GP10 Does the project consider potential partial economic benefits while excluding marginalized or vulnerable groups, including women in poverty?	N	No.
<b>Safeguard Standard 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management</b>		
<i>Would the project potentially involve or lead to:</i>		

<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.



1.1	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. The project will on the contrary lead to preservation of biodiversity through restoration of Mangrooves for sustainable development.
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 technical assistance will not negatively impact any protected sites.
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. Because Mangroves are a key parts of the ecosystem for the adaptation of coastal communities. The development of community based restoration and monitoring processes will reduces degradation and hence prevent encroachment.
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	N	No.
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.
<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	Yes. By facilitating the design of a mangrove restoration strategy for the mangroves and a community MRV plan, the TA will help improve the resilience against potential climate change.
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,	N	No.



	storm surges, tsunamis or volcanic eruptions in the next 30 years?		
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. Capacity building on Mangrove restoration techniques which will be conducted as part of the activities of this technical assistance will empower local communities on the importance of developing climate change resilient practices.
2.5	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	N	No. Mangrove restoration will contribute to carbon sequestration.
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 restoration of forests which then act as carbon sequestration systems. Minimized deforestation will also lead to reduced GHG emissions.
<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	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.
<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	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'	N	No negative impacts on the contrary, positive impacts are foreseen.



	health and safety (e.g. food, surface water purification, natural buffers from flooding)?		
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.
<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	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.
<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	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.
<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?	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.
<b>Safeguard Standard 8: Labor and working conditions</b>			
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.