



# Safeguard Risk Identification Form (SRIF)

## Section 1: Project Overview

Identification	<i>Insert Project ID# from Programme Framework Table</i> 2024000037
Project Title	<i>Insert title (adding words 'project preparation proposal for' before title)</i> Reducing smallholder vegetable farmers' vulnerability to climate change impacts including water scarcity in Mongolia through EbA and digitalized risk mitigation insurance solutions
Managing Division	UNEP – Climate Change Division – CTCN
Type/Location	<i>[Global/Normative; Regional; National]</i> National/regional Mongolia/Dundgobi and Uvurkhangai provinces
Region	<i>(Africa/ Europe/ North America/ Asia Pacific/ Latin America Caribbean/ West Asia)</i> Asia Pacific
List Countries	<i>Enter country name(s)</i> Mongolia
Project Description	<i>Provide the project summary and description in 2-3 paragraphs</i> <p>Smallholder vegetable farmers in Mongolia, particularly in the Dundgobi and Uvurkhangai provinces, face significant challenges due to climate change impacts such as water scarcity, extreme temperatures, and increased frequency of extreme weather events. These challenges threaten food security and livelihoods, as traditional farming practices are no longer sustainable under changing climatic conditions. The proposed CTCN technical assistance aims to reduce these farmers' vulnerability by developing and implementing an integrated ecosystem-based adaptation (EbA) solution. This includes identifying and promoting appropriate technologies like solar-powered irrigation systems, durable greenhouses, and agroforestry practices, as well as developing a digitalized crop insurance product to mitigate financial risks. The project will focus on policy framework development, technology assessment, financing structures, and capacity building over an 18-month period. Key national actors involved are the Ministry of Environment and Tourism and the Ministry of Food, Agriculture, and Light Industry of Mongolia. The initiative seeks to enhance climate resilience, improve livelihoods, and contribute to Mongolia's national goals for sustainable agriculture and food security.</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> 18 months
Estimated cost of the project	<i>Provide the estimated cost for entire project in USD.</i> 200,000
Name of the UNEP project manager responsible	Ariesta Ningrum, Director, CTCN



Funding Source(s)	AFCIA phase II
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"> <li>• Feasibility report [ ]</li> <li>• Gender Action Plan [this will be done during the inception phase of the implementation]</li> <li>• Stakeholder Engagement Plan [ ]</li> <li>• Safeguard risk assessment or impact assessment [ ]</li> <li>• ES Management Plan or Framework [ ]</li> <li>• Indigenous Peoples Plan [ ]</li> <li>• Cultural Heritage Plan [ ]</li> <li>• Others _____</li> </ul>

## Section 2: Safeguards Risk Summary

### A. Summary of the Safeguards Risk Triggered

Safeguard Standards Triggered by the Project	Impact of Risk <sup>1</sup> (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M, H)  <i>Please refer to the matrix below</i>
SS 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management	1	1	L
SS 2: Climate Change and Disaster Risks	1	1	L
SS 3: Pollution Prevention and Resource Efficiency	2	2	L
SS 4: Community Health, Safety and Security	2	2	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> -

<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.



Refer to the UNEP ESSF (Chapter IV) and the UNEP's ESSF Guidelines.

Low risk



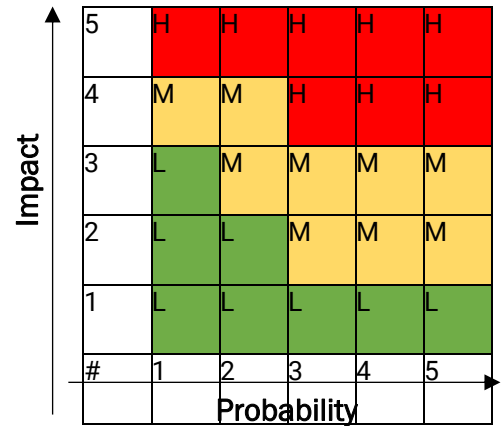
Moderate risk



High risk



Additional information required



C. Development of SRIF and Screening Decision

Prepared by

Name: Ariesta Ningrum Date: 20 of May 2025

Screening review by

Name: Polycarp Odiedo

Date: 8th April 2025

Cleared<sup>3</sup>

D. Safeguard Review Summary (by the safeguard team)

This project is considered low-risk. However, close attention must be paid to the types of fertilizers used, and appropriate measures should be put in place to ensure proper application and waste management. Despite the low-risk classification, the **UNEP ESSF guiding principles**—including resilience and sustainability; human rights; gender equality and women's empowerment; accountability; and the commitment to leave no one behind, as outlined in Section 3—remain fully applicable.

E. Safeguard Recommendations (by the safeguard team)

- No specific safeguard action required
- Take Good Practice approach<sup>4</sup>



**High risk:** Potential for significant negative impacts (e.g. irreversible, unprecedented, cumulative, significant stakeholder concerns); Environmental and Social Impact Assessment (ESIA) (or Strategic Environmental and Social Assessment (SESA)) including a full impact assessment may be required, followed by an effective comprehensive safeguard management plan.

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

<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.



- 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 clearly identifies key stakeholders, including the NDE, smallholder farmers, government agencies, financial institutions, private sector actors, and insurance companies. It acknowledges the vulnerability of farmers to climate change and economic risks, particularly regarding water scarcity and lack of insurance coverage.
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 of the project specifically highlights women and smallholder farmers as key beneficiaries. It also recognizes the economic and climate vulnerability of rural farming communities. However, the explicit mention of disabled or marginalized people and how they are engaged is limited.  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 major human rights concerns were raised during the stakeholder engagement process, but the TOR includes gender-sensitive approaches to finance, training, and technology adoption.
GP4 Does the proposed project consider gender-balanced representation in the design and implementation?	Y	The project considers gender-balanced participation in decision-making, training programs, and financial inclusion efforts to



		empower women-led farmer groups. As part of the CTCN, a mandatory gender assessment and action plan has been added to all Technical Assistances and will also apply to this project.
GP5 Did the proposed project analyze relevant gender issues and develop a gender responsive project approach?	Y	The project analyzes gender issues, particularly regarding women's role in smallholder agriculture, and integrates inclusive financial mechanisms, capacity-building, and risk mitigation measures.
GP6 Does the project include a project-specific grievance redress mechanism? If yes, state the specific location of such information.	Y	The CTCN will facilitate the communication of any concerns raised by project stakeholders through its designated service email account. These concerns will be conveyed directly to the project manager at the CTCN for appropriate attention and resolution.
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	The project information, including the safeguard documents, will be disclosed to the public on the CTCN website (ctc-n.org).
GP8 Were the stakeholders (including affected communities) informed of the projects and grievance redress mechanism? If yes, describe how they were informed.	Y	The stakeholders (including affected communities) will be informed of the projects and grievance redress mechanism.
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	The project mitigates short-term risks by focusing on sustainable financing, capacity-building, and policy frameworks to ensure long-term benefits. Additionally, the project does not pose long-term social or economic burdens on the local communities.
GP10 Does the project consider potential partial economic benefits while excluding marginalized or vulnerable groups, including women in poverty?	Y	The project prioritizes smallholder farmers and vulnerable groups, ensuring that women and economically disadvantaged farmers are included in financing schemes and insurance products.
<b>Safeguard Standard 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management</b>		
<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	The project does not convert or degrade critical natural habitats. Instead, it promotes agroforestry and ecosystem-based adaptation (EbA) to enhance land resilience.
1.2 adverse impacts specifically to habitats that are legally protected, officially proposed for protection, or recognized as protected by traditional local	N	The activities of the project are not going to be implemented in a protected area.

<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.



	communities and/or authoritative sources (e.g. National Park, Nature Conservancy, Indigenous Community Conserved Area, (ICCA); etc.)?		The technical assistance will not negatively impact these sites.
1.3	conversion or degradation of habitats that are identified by authoritative sources for their high conservation and biodiversity value?	N	The project does not convert or degrade critical natural habitats. The project activities will have no negative impact on identified and protected areas.
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. Furthermore, the project aligns with Mongolia's environmental laws and land management policies.
1.5	risks to endangered species (e.g. reduction, encroachment on habitat)?	N	There will be no added risks to endangered species because of the implementation of this project. There are no direct threats to endangered species noted.
1.6	activities that may result in soil erosion, deterioration and/or land degradation?	Y	There is potential for land-use changes, but the agroforestry component mitigates risks of soil erosion
1.7	reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?	Y	The project relies on groundwater for irrigation, which could reduce water availability. However, the project will be properly managed to mitigate this risk.
1.8	reforestation, plantation development and/or forest harvesting?	Y	The project supports agroforestry and tree-planting initiatives to enhance climate resilience.
1.9	support for agricultural production, animal/fish production and harvesting	Y	The project directly supports vegetable farming, with mechanization, irrigation, and greenhouse improvements.
1.10	introduction or utilization of any invasive alien species of flora and fauna, whether accidental or intentional?	N	The project will not involve the introduction of invasive species. However, during agroforestry activities, there exists a potential risk of the accidental introduction of invasive species. Therefore, the project will implement comprehensive measures to effectively manage this risk.
1.11	handling or utilization of genetically modified organisms?	N	There is no introducing invasive species, GMOs, or genetic resource collection.
1.12	collection and utilization of genetic resources?	N	There is no introducing invasive species, GMOs, or genetic resource collection.
<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	The project enhances climate resilience through improved water management, insurance products, and sustainable farming practices.
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,	Y	The selected provinces, Dundgobi and Uvurkhangai, are highly vulnerable to climate extremes. The project targets these risks with sustainable interventions.



	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)?	Y	The selected provinces, Dundgobi and Uvurkhangai, are highly vulnerable to climate extremes. The project targets these risks with sustainable interventions.
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 selected provinces, Dundgobi and Uvurkhangai, are highly vulnerable to climate extremes. The project targets these risks with sustainable interventions.
2.5	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	Y	Some project components (e.g., greenhouse farming, irrigation systems) could increase energy use, but mitigation strategies (e.g., solar-powered irrigation) help minimize emissions.
2.6	Carbon sequestration and reduction of greenhouse emissions, resource-efficient and low carbon development, other measures for mitigating climate change	Y	The project will lead to reduced emissions through agroforestry activities that support carbon sequestration.
<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 major pollution risks, except potential agricultural runoff from fertilizers.
3.2	the generation of waste (both hazardous and non-hazardous)?	Y	The project may generate agricultural waste, but it will be properly managed by waste management measures.
3.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	Y	The project may involve fertilizer and pesticide use. The project will be managed properly to minimise the effects on soil and water quality.
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 <a href="#">Montreal Protocol</a> , <a href="#">Minamata Convention</a> , <a href="#">Basel Convention</a> , <a href="#">Rotterdam Convention</a> , <a href="#">Stockholm Convention</a> )	Y	The project may involve fertilizer and pesticide use. The project will be managed properly to minimise the effects on soil and water quality.
3.5	the application of pesticides or fertilizers that may have a negative effect on the environment (including non-target species) or human health?	Y	The project may involve fertilizer and pesticide use. The project will be managed properly to minimise the effects on soil and water quality.
3.6	significant consumption of energy, water, or other material inputs?	N	The project introduces irrigation systems that could increase water consumption. However, smart drip irrigation and efficiency measures help mitigate excessive use.
<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	N	The project includes no major infrastructure projects.



	new buildings or structures (including those accessed by the public)?		
4.2	air pollution, noise, vibration, traffic, physical hazards, water runoff?	N	No significant air pollution or traffic issues are expected.
4.3	exposure to water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable or noncommunicable diseases?	N	The project will contribute to Improved irrigation and insurance mechanisms to enhance community health.
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 are foreseen. On the contrary, positive impacts are foreseen. Nevertheless, it is important to note that excessive application of fertilizers may adversely affect natural water sources, subsequently impacting the provision of ecosystem services.
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 significant hazardous materials or security concerns noted. However, there are potential risks associated with the storage and transportation of project fertilizers. Measures will be implemented to ensure that storage is adequate, well-ventilated, and situated on a hard surface to minimize any potential risks.
4.6	engagement of security personnel to support project activities (e.g. protection of property or personnel, patrolling of protected areas)?	N	No significant hazardous materials or security concerns noted.
4.7	an influx of workers to the project area or security personnel (e.g. police, military, other)?	N	No significant hazardous materials or security concerns noted.
<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	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 cultural heritage sites or sacred lands were identified in project areas.
5.3	utilization of Cultural Heritage for commercial or other purposes (e.g. use of objects, practices, traditional knowledge, tourism)?	N	No cultural heritage sites or sacred lands were identified in project areas.
5.4	alterations to landscapes and natural features with cultural significance?	N	No cultural heritage sites or sacred lands were identified in project areas.
5.5	significant land clearing, demolitions, excavations, flooding?	N	No cultural heritage sites or sacred lands were identified in project areas.
5.6	identification and protection of cultural heritage sites or intangible forms of cultural heritage?	N	No cultural heritage sites or sacred lands were identified in project areas.
<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 involuntary displacement, evictions, or loss of land tenure rights.
6.2	economic displacement (e.g. loss of assets or access to assets affecting for example crops, businesses, income generation sources)?	N	No involuntary displacement, evictions, or loss of land tenure rights.



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 involuntary displacement, evictions, or loss of land tenure rights.
6.3	risk of forced evictions?	N	No involuntary displacement, evictions, or loss of land tenure rights.
6.4	changes in land tenure arrangements, including communal and/or customary/traditional land tenure patterns (including temporary/permanent loss of land)?	N	No involuntary displacement, evictions, or loss of land tenure rights.
<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 direct impact on Indigenous groups was identified.
7.2	activities located on lands and territories claimed by indigenous peoples?	N	No direct impact on Indigenous groups was identified.
7.3	impacts to the human rights of indigenous peoples or to the lands, territories and resources claimed by them?	N	No direct impact on Indigenous groups was identified.
7.4	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N	No direct impact on Indigenous groups was identified.
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 direct impact on Indigenous groups was identified.
7.6	risks to the traditional livelihoods, physical and cultural survival of indigenous peoples?	N	No direct impact on Indigenous groups was identified.
7.7	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	N	No direct impact on Indigenous groups was identified.
<b>Safeguard Standard 8: Labor and working conditions</b>			
8.1	Will the proposed project involve hiring or contracting project staff ?	Y	The implementer will be a CTCN network member and will be obliged to respect the UN code of conduct rules and will meet all the requisites. Also, the project engages local farmers and workers, potentially creating employment opportunities.
<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 violations of national labor laws are expected, but explicit protections for workers' rights, fair wages, and safety conditions should be detailed further.
8.3	the use of forced labor and child labor?	N	No violations of national labor laws are expected, but explicit protections for workers' rights, fair wages, and safety conditions should be detailed further.
8.4	occupational health and safety risks (including violence and harassment)?	N	No violations of national labor laws are expected, but explicit protections for workers' rights, fair wages, and safety conditions should be detailed further.



		There may be occupational health and safety concerns associated with handling fertilizers. Measures will be implemented to provide personal protective equipment to project workers and to train them in emergency response procedures.
8.5 the increase of local or regional unemployment?	N	No violations of national labor laws are expected, but explicit protections for workers' rights, fair wages, and safety conditions should be detailed further.
8.6 suppliers of goods and services who may have high risk of significant safety issues related to their own workers?	N	No violations of national labor laws are expected, but explicit protections for workers' rights, fair wages, and safety conditions should be detailed further.
8.7 unequal working opportunities and conditions for women and men	N	No violations of national labor laws are expected, but explicit protections for workers' rights, fair wages, and safety conditions should be detailed further.