



Safeguard Risk Identification Form (SRIF)

Section 1: Project Overview

Identification	<i>Insert Project ID# from Programme Framework Table</i> AF- AF-2021000020 (CTCN -2021000014)
Project Title	<i>Insert title (adding words 'project preparation proposal for' before title)</i> Enhancing climate resilience and economic sustainability of livestock farming in a rural community of Mongolia.
Managing Division	UNEP -Industry and Economic Division – CTCN
Type/Location	<i>[Global/Normative; Regional; National]</i> National
Region	<i>(Africa/ Europe/ North America/ Asia Pacific/ Latin America Caribbean/ West Asia)</i> Asia
List Countries	<i>Enter country name(s)</i> Mongolia
Project Description	<p>The CTCN support is requested to strengthen climate-resilient livestock farming while deriving the economic sustainability for vulnerable herding communities in Bayantümen sum, Mongolia. The CTCN Technical Assistance (TA) will provide support:</p> <ul style="list-style-type: none">• By enhancing the capacity and knowledge of herding communities on climate-resilient livestock farming.• By facilitating the decision making to invest in community-scale sustainable meat processing system to improve livelihoods from livestock farming. <p>The CTCN TA will enable the vulnerable communities to derive the best value from the livestock farming while dealing with the adverse impacts of the climate change and using sustainable resource management practices.</p> <p>The TA would contribute to the Nationally Determined Contributions and national priorities of Mongolia in the field of climate change adaptation and mitigation.</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> 12 months
Estimated cost of the project	<i>Provide the estimated cost for entire project in USD.</i> USD 209, 600
Name of the UNEP project manager responsible	Clara Landeiro
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> <i>Concept Review [] During Project development [] PRC []</i> <i>Other _____</i> Version 1
Safeguard-related reports prepared so far	<ul style="list-style-type: none">• <i>Feasibility report []</i>• <i>Gender Action Plan []</i>



(Please attach the documents or provide the hyperlinks)

- Stakeholder Engagement Plan []
- Safeguard risk assessment or impact assessment []
- ES Management Plan or Framework []
- Indigenous Peoples Plan []
- Cultural Heritage Plan []
- Others _____

Section 2: Safeguards Risk Summary

A. Summary of the Safeguards Risk Triggered

Safeguard Standards Triggered by the Project	Impact of Risk ¹ (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M, H) <i>Please refer to the matrix below</i>
SS 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management	1	1	L
SS 2: Climate Change and Disaster Risks	2	2	L
SS 3: Pollution Prevention and Resource Efficiency	1	1	L
SS 4: Community Health, Safety and Security	1	1	L
SS 5: Cultural Heritage	1	1	L
SS 6: Displacement and Involuntary Resettlement	1	1	L
SS 7: Indigenous Peoples	2	2	L
SS 8: Labor and working conditions	1	1	L

B. ESS Risk Level² -

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

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.

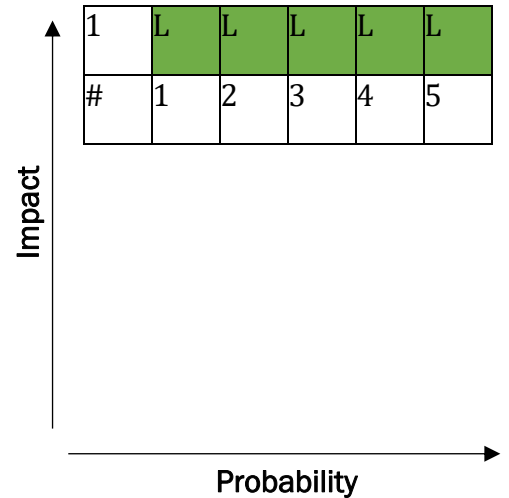
Moderate risk: Potential negative impacts, but limited in scale, not unprecedented or irreversible and generally limited to programme/project area; impacts amenable to management using standard mitigation measures; limited environmental or social analysis may be required to develop a Environmental and 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: Clara Landeiro Date: 31 May 2023

Screening review by

Name: Alexandra Mutungi Date: 21 June 2023

Cleared³

Signature 

D. Safeguard Review Summary (by the safeguard team)

This is a low-risk project. However, UNEP ESSF guiding principles - resilience and sustainability; human rights, gender equality and women empowerment, accountability and leave no one behind - are still applicable for low-risk projects. Promote information access and consistent stakeholder engagement with vulnerable groups ensuring FPIC is obtained where Indigenous Peoples and Local Communities (IPLCs) may be engaged.

A. Safeguard Recommendations (by the safeguard team)

- No specific safeguard action required
- Take Good Practice approach⁴

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

⁴ Good practice approach: For most low-moderate risk projects, good practice approach may be sufficient. In that case, no separate management plan is necessary. Instead, the project document demonstrates safeguard



- 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 analyzed and has identified stakeholders who are going to be positively or negatively impacted by the project implementation in consultation with the Climate Change Department, Ministry of Environment and Tourism of Mongolia. The participation of women and youth will be proactively sought throughout the implementation as per UN/CTCN rules. Local communities and governmental entities have been informed of the technical assistance through the Climate Change Department, Ministry of Environment and Tourism of Mongolia.
GP2 Has the project identified and engaged vulnerable, marginalized people, including disabled people, through the informed, inclusive, transparent and equal manner on potential positive or negative implication of the proposed approach and their roles in the project implementation?	Y	The project has identified the vulnerable groups living in remote areas - nomadic livestock farmers - and will ensure gender and youth participation during the implementation phase through trainings and stakeholders consultation process. The mapping of the stakeholders is revised at the very beginning of the project and an inception meeting is held to inform the stakeholders of the start of the initiative, one month after the signature of the contract between UNEP and the implementer.

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.



<p>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)?</p>	<p>N</p>	<p>During the formulation of the proposal no concerns were raised by local communities on human rights. On the contrary, communities are eager for the implementation of the project which will enhance their capacity and knowledge on climate-resilient livestock farming.</p>
<p>GP4 Does the proposed project consider gender-balanced representation in the design and implementation?</p>	<p>Y</p>	<p>Gender balanced representation/participation 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 allocated towards gender and youth.</p>
<p>GP5 Did the proposed project analyze relevant gender issues and develop a gender responsive project approach?</p>	<p>Y</p>	<p>Gender has been considered in the design of all project proposed activities, as well in the composition of the implementing team. The project team consists of one gender expert out of a team of 6 experts. Project activities include a stakeholder mapping at the very beginning of the project with consideration of gender, the establishment of a Key Stakeholder Group aiming at significant representation from women (achieving over a third of women’s representation), and a participatory gender sensitive Climate Change Vulnerability Assessment on livestock farming and detailed gender assessment.</p>
<p>GP6 Does the project include a project-specific grievance redress mechanism? If yes, state the specific location of such information.</p>	<p>Y</p>	<p>Specific grievance redress mechanism as per UNEP rules and procedures is in place.</p>
<p>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.</p>	<p>Y</p>	<p>CTC-N webpage and www.open.unep.org Safeguards documents will be uploaded after approval.</p>
<p>GP8 Were the stakeholders (including affected communities) informed of the projects and grievance redress mechanism? If yes, describe how they were informed.</p>	<p>Y</p>	<p>Stakeholders are informed about the project and the grievance redress mechanism through the Climate Change Department, Ministry of Environment and Tourism of Mongolia. The Response Plan of the project provides the name of the focal point along with its contact details. The Response plan is public and can easily be accessed from the CTCN webpage. Stakeholders will be engaged during the implementation of the project through stakeholder consultations and capacity building activities that have been planned at different stages of the implementation, with continued engagement of the Key Stakeholders Group.</p>
<p>GP9 Does the project consider potential negative impacts from short-term net gain to the local communities or</p>	<p>N</p>	<p>The purpose of the technical assistance is to strengthen climate-resilient livestock farming while deriving the economic sustainability for vulnerable herding communities. This project does not generate</p>



countries at the risk of generating long-term social or economic burden? ⁵		long- or short-term social or economic burden on the country/local communities.
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 combating the negative effects of climate change, specifically by strengthening climate-resilient livestock farming while deriving the economic sustainability for vulnerable herding communities in Mongolia. No group will be excluded from benefiting from the results of this technical assistance.
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. On the contrary, the technical assistance will result in more climate resilient livestock farming with long-term benefits for the ecosystem's health.
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	No adverse impacts are expected on habitats that are being used by traditional local communities is unknown.
1.3 conversion or degradation of habitats that are identified by authoritative sources for their high conservation and biodiversity value?	N	The project is not implemented in an area identified by authoritative sources for their high conservation and biodiversity value.
1.4 activities that are not legally permitted or are inconsistent with any officially recognized management plans for the area?	N	The project will not be in an area where activities are not legally permitted, or otherwise inconsistent with officially recognized management plans for the area.
1.5 risks to endangered species (e.g., reduction, encroachment on habitat)?	N	The project is expected to strengthen climate-resilient livestock farming while deriving the economic sustainability for vulnerable herding communities, and thus reducing the pressure on the environment.
1.6 activities that may result in soil erosion, deterioration and/or land degradation?	N	On the contrary, the project is expected reduce pressure on resources and thus contribute to decrease land degradation. The project is expected to help provide pathways to adapt to climate change by strengthening climate-resilient livestock farming and hence deriving the economic sustainability for vulnerable herding communities.
1.7 reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?	N	The project will have no negative impacts on water resources.
1.8 reforestation, plantation development and/or forest harvesting?	N	The project is not planning any reforestation, plantation development and/or forest harvesting.

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.



1.9	support for agricultural production, animal/fish production and harvesting	Y	The project is expected to support climate resilient livestock farming.
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	The project, will lead to increased resilience against potential climate change impacts beyond the project intervention period, as it aims to derive economic sustainability of herding communities.
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	Even though Mongolia is affected by storms, dust storms, windstorms, thunderstorms, and snowstorms, and other extreme weather events, and their frequency is estimated to increase, this project will not lead to an increase exposure to climate related disasters. It will help to identify vulnerabilities, as well as technologies and practices that can increase resiliency of local herding communities.
2.3	Outputs and outcomes sensitive or vulnerable to potential impacts of climate change (e.g., changes in precipitation, temperature, salinity, extreme events)?	N	No.
2.4	Local communities vulnerable to the impacts of climate change and disaster risks (e.g., considering level of exposure and adaptive capacity)?	N	The project will not increase vulnerability of local communities. On the contrary, the project will positively impact vulnerable nomadic livestock farmers through identification of the pastureland management measures and development of community-scale business models.
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	The project is expected to both contribute to reduce GHG emissions (from livestock management) as well as lead to increased carbon sequestration (through better grassland/pasture management)
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 Montreal Protocol , Minamata Convention , Basel Convention , Rotterdam Convention , Stockholm Convention)	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.
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 adverse impacts are expected. On the contrary, positive impacts relating to sustainable livestock farming 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.
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?	Maybe	The rating of the safeguards has been scored as level 2 as the project results will aim to be implemented locally (Bayantumen Soum, 4 th Bagh) but later scaled up to national level.
7.2	activities located on lands and territories claimed by indigenous peoples?	Maybe	The Technical assistance will be implemented in Bayantumen Soum, 4 th Bagh. The Safeguard has been rated as risk level 2.
7.3	impacts to the human rights of indigenous peoples or to the lands, territories and resources claimed by them?	N	The project is expected to identify pastureland management measures and develop community-scale business models for local herding communities.
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. On the contrary, the project is expected to lead to increased knowledge and access to decision support tools that can assist local communities to strengthen their climate-resilient livestock farming activities.
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	The implementer will be a CTCN network member selected through a bidding process under UNGM and will be mandated 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.