



# Safeguard Risk Identification Form (SRIF)

## Section 1: Project Overview

Identification	<i>Insert Project ID# from Programme Framework Table</i> AF-2022000163
Project Title	<i>Insert title (adding words 'project preparation proposal for' before title)</i> Implementation of improvements to the National Drought Monitor of Ecuador (MONSE) for the integration of a drought risk scenario module
Managing Division	UNEP – Economic Division – CTCN
Type/Location	<i>[Global/Normative; Regional; National]</i> National Ecuador
Region	<i>(Africa/ Europe/ North America/ Asia Pacific/ Latin America Caribbean/ West Asia)</i> Latin America Caribbean
List Countries	<i>Enter country name(s)</i> Ecuador
Project Description	<p>Provide the project summary and description in 2-3 paragraphs.</p> <p>The objective of the assistance is to improve the national drought monitor (MONSE) of Ecuador to generate risk scenarios and monitor the evolution of drought episodes for risk management in the territory by integrating a scenario model obtained by using statistical parametric methods, digital and machine learning.</p> <p>So far, the MONSE only contributes to the monitoring of the current state and evolution of past drought episodes. It is imperative to a module that will allow decision makers at national, subnational and local levels to forecast the occurrence of drought episodes in Ecuador and to define actions and measures as appropriate.</p> <p>This Technical Assistance will contribute to 1) Strengthening MONSE by incorporating a forecasting module, 2) Improving the resolution of the system, 3) Providing climate information to help end-users make climate smart decisions., 4) Improving the platform to ease the decision-making process.</p> <p>The technology concept will support the Implementation of the National Drought Plan, specifically in Goal III, concerning “Priority actions for drought risk reduction” by enhancing the capacities of the National Institute of Meteorology and Hydrology (INAMHI)</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> <b>15 months</b>
Estimated cost of the project	<i>Provide the estimated cost for entire project in USD.</i> <b>140,000 USD</b>
Name of the UNEP project manager responsible	Rajiv Garg
Funding Source(s)	AFCIA
Executing/Implementing partner(s)	CTCN
SRIF submission version	<i>If it is not the first time, mark the time of your previous submission</i> <i>Concept Review [ ] During Project development [ ] PRC [ ]</i> <i>Other. _____</i> <b>Version 1</b>
Safeguard-related reports prepared so far.  <i>(Please attach the documents or provide the hyperlinks)</i>	<ul style="list-style-type: none"> <li>• <i>Feasibility report [ ]</i></li> <li>• <i>Gender Action Plan [ ]</i></li> <li>• <i>Stakeholder Engagement Plan [ ]</i></li> <li>• <i>Safeguard risk assessment or impact assessment [ ]</i></li> <li>• <i>ES Management Plan or Framework [ ]</i></li> <li>• <i>Indigenous Peoples Plan [ ]</i></li> <li>• <i>Cultural Heritage Plan [ ]</i></li> <li>• <i>Others _____</i></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)
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
SS7: Indigenous Peoples	1	1	L
SS 8: Labor and working conditions	1	1	L

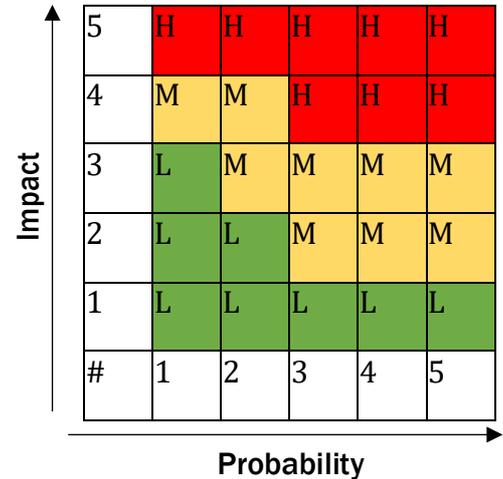
<sup>1</sup> Refer to UNEP Environmental and Social Sustainability Framework (ESSF): Implementation Guidance Note to assign values to the Impact of Risk and the Probability of Risk to determine the overall significance of Risk (Low, Moderate or High).



### B. ESS Risk Level<sup>2</sup> –

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: 27 November 2023

Screening review by

Name: Polycarp Odiedo Date: 01/12/2023

Cleared

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.

<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 an 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.

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



### D. 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 \_\_\_\_\_

## Section 3: Safeguard Risk Checklist

Screening checklist	Y/N/ Maybe	Justification for the response (please provide answers to each question)
<b>Guiding Principles</b> (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 development was undertaken in close consultation with national stakeholders, the NDE at the Ministry of Environment, and proposed by the National Institute of Meteorology and Hydrology (INAMHI). The project has analyzed and identified stakeholders who would be positively or negatively impacted by the project implementation.  The participation of women and youth will be proactively ensured throughout the implementation as per UN/CTCN rules. Furthermore, the Technical Assistance has taken into. Consideration the recently approved Gender Policy of the CTCN.

<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.



<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?</p>		<p>The project is directly related to the implementation of the National Droughts Plan, as it improves the MONSE with a scenario module for better decision making. It will also allow the integration of data from the Volunclima Network and will promote further coordination and governance amongst the governmental institutions in charge of addressing the droughts episodes in Ecuador.</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.</p>
<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>No. During the formulation of the proposal no concerns were raised about local communities or human rights. Quite the contrary, the stakeholders are keen to have reliable short-term droughts scenarios that allow local communities to respond in advance to droughts episodes and its potential impacts.</p>
<p>GP4 Does the proposed project consider gender-balanced representation in the design and implementation?</p>		<p>Yes. Gender balanced representation has been considered in the design and implementation. The CTCN has developed a gender policy and an action plan that was approved by the AB. The gender policy applies a two-pronged approach to promote gender equality including (i) gender-specific initiatives meaning “addressing gender inequitable issues” and (ii) gender mainstreaming in the sense “mainstreaming gender as a way of implementing interventions in a human rights-based approach”, so both men and women can enjoy the benefits equally. In other words, the first part would address the fact that women are underserved when it comes to technologies and capacity development, so historical imbalances need to be corrected, and the second part would provide equal/equitable opportunity to men and women.</p> <p>The AB of the CTCN includes a gender constituency and all CTCN Technical Assistancess are implemented in the presence of at least one gender expert as a mandatory requirement.</p>



<p>GP5 Did the proposed project analyze relevant gender issues and develop a gender responsive project approach?</p>		<p>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 6 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 all stakeholders. A gender assessment will also be developed as a mandatory deliverable of the CTCN and at least 5% of the budget will be allocated to gender mainstreaming activities as defined during CTCN AB Meeting held in Bonn in September 2023.</p>
<p>GP6 Does the project include a project-specific grievance redress mechanism? If yes, state the specific location of such information.</p>		<p>Yes. Specific grievance redress mechanism as per UNEP rules.</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><a href="#">CTCN webpage</a> and <a href="http://www.open.unep.org">www.open.unep.org</a> 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>Yes, the stakeholders were informed about the project and the grievance redress mechanism through the Ministry of Environment . 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.</p>
<p>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></p>		<p>No, the project has been designed to increase the resilience of Ecuador’s key affected sectors due to increased drought episodes. This will benefit local communities and economic sectors such as agriculture, and energy, amongst others, to implement timely adaptation measures in the face of a potential draft episode.</p>

<p>GP10 Does the project consider potential partial economic benefits while excluding marginalized or vulnerable groups, including women in poverty?</p>		<p>The project is expected to have direct impact on reduced vulnerability of local communities, with a strong focus on improved decision making based on better science and with a strong Gender approach. The technical assistance is expected to enhance local capacities for effective response to climate droughts events. Please, refer to section 12, SDG Contributions of the <a href="#">Response Plan</a>.</p>
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<p><b>Safeguard Standard 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management</b></p>		
<p><i>Would the project potentially involve or lead to:</i></p>		
<p>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?</p>		<p>No. There are no conversion or degradation of habitats, neither are losses or threats to biodiversity and/or ecosystems and ecosystems services. At the opposite, the technical assistance is expected to protect implement the necessary measures and actions in the face of a potential drought episode. It is sought, in this way, to promote agro-environmental models, the sustainable management of water reservoirs for energy production, as well as early warning communications to local communities and relevant economic sectors.</p>



<p>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.)?</p>		<p>No, the project will be implemented at national level in the INAMHI .</p>
<p>1.3 conversion or degradation of habitats that are identified by authoritative sources for their high conservation and biodiversity value?</p>		<p>No, the implementation of the project will be at institutional level , with the inclusion of volunclima network members for the integration of additional climatology and ground-based data.</p>

<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.

<p>1.4 activities that are not legally permitted or are inconsistent with any officially recognized management plans for the area?</p>		<p>No, the project will have a national focal point supervising the implementation and will be developed as per UN rules and regulations.</p>
<p>1.5 risks to endangered species (e.g. reduction, encroachment on habitat)?</p>		<p>No, the project is expected to provide time information on short-term scenarios for drought episodes. This should, on the contrary, increase the resilience of the ecosystems to extreme events, by implementing better policies based on sound scientific information.</p>
<p>1.6 activities that may result in soil erosion, deterioration and/or land degradation?</p>		<p>No, the project is expected to improve the conditions of drought-prone areas in Ecuador.</p>
<p>1.7 reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?</p>		<p>No, quite the contrary, it will improve the conditions of drought-prone areas in Ecuador.</p>
<p>1.8 reforestation, plantation development and/or forest harvesting?</p>		<p>No. As an indirect result of this project, reforestation of drought-prone areas in Ecuador could be promoted by the government, based in the shorter-term scenarios and drought monitoring system results.</p>
<p>1.9 support for agricultural production, animal/fish production and harvesting</p>		<p>Yes, the project is expected to support better use of water resources in agricultural production by providing better access to water in Drought-prone areas of Ecuador.</p>
<p>1.10 introduction or utilization of any invasive alien species of flora and fauna, whether accidental or intentional?</p>		<p>No.</p>
<p>1.11 handling or utilization of genetically modified organisms?</p>		<p>No.</p>
<p>1.12 collection and utilization of genetic resources?</p>		<p>No.</p>



<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?	Yes, the project should help government of Ecuador to increase their resilience to drought episodes, as timely predictive information will be made available for policy implementation in particular the National Drought Plan.
2.2	areas that are now or are projected to be subject to natural hazards such as extreme temperatures, earthquakes, extreme precipitation and flooding, landslides, droughts, severe winds, sea level rise, storm surges, tsunami or volcanic eruptions in the next 30 years?	Yes, the improvement of the MONSE with the integration of a scenario module will allow the government of Ecuador to further implement timely actions in the face of a potential drought episode. By making available warning information and allowing better coordination amongst the governmental institutions and with local communities and relevant sectors such as agriculture and energy, etc.  This technical assistance, is found feasible, would lead to building resilience of the local communities against increaser drought episodes in Ecuador.
2.3	outputs and outcomes sensitive or vulnerable to potential impacts of climate change (e.g. changes in precipitation, temperature, salinity, extreme events)?	No.
2.4	local communities vulnerable to the impacts of climate change and disaster risks (e.g. considering level of exposure and adaptive capacity)?	Yes, local communities will benefit from an improved predictive assessment on climate and vulnerability risks. This project will enable the implementation of the National Drought Plan of Ecuador.
2.5	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No.
2.6	Carbon sequestration and reduction of greenhouse emissions, resource-efficient and low carbon development, other measures for mitigating climate change	No, this is an adaptation project and will not have impact in 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?	No.
3.2	the generation of waste (both hazardous and non-hazardous)?	No.
3.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No.
3.4	the use of chemicals or materials subject to international bans or phase-outs? (e.g. DDT, PCBs and other chemicals listed in international conventions such as the <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> )	No.



3.5	the application of pesticides or fertilizers that may have a negative effect on the environment (including non-target species) or human health?		No.
3.6	significant consumption of energy, water, or other material inputs?		No.
<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)?		No.
4.2	air pollution, noise, vibration, traffic, physical hazards, water runoff?		No.
4.3	exposure to water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable or noncommunicable diseases?		No.
4.4	adverse impacts on natural resources and/or ecosystem services relevant to the communities' health and safety (e.g. food, surface water purification, natural buffers from flooding)?		No negative impacts on the contrary, positive impacts are foreseen.
4.5	transport, storage use and/or disposal of hazardous or dangerous materials (e.g. fuel, explosives, other chemicals that may cause an emergency event)?		No.
4.6	engagement of security personnel to support project activities (e.g. protection of property or personnel, patrolling of protected areas)?		No.
4.7	an influx of workers to the project area or security personnel (e.g. police, military, other)?		No.
<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?		No.
5.2	adverse impacts to sites, structures or objects with historical, cultural, artistic, traditional or religious values or to intangible forms of cultural heritage (e.g. knowledge, innovations, practices)?		No.
5.3	utilization of Cultural Heritage for commercial or other purposes (e.g. use of objects, practices, traditional knowledge, tourism)?		No.
5.4	alterations to landscapes and natural features with cultural significance?		No.
5.5	significant land clearing, demolitions, excavations, flooding?		No.
5.6	identification and protection of cultural heritage sites or intangible forms of cultural heritage?		No.
<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)?		No.



6.2	economic displacement (e.g. loss of assets or access to assets affecting for example crops, businesses, income generation sources)?		No.
6.2	involuntary restrictions on land/water use that deny a community the use of resources to which they have traditional or recognizable use rights?		No.
6.3	risk of forced evictions?		No.
6.4	changes in land tenure arrangements, including communal and/or customary/traditional land tenure patterns (including temporary/permanent loss of land)?		No.
<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?		Yes. Rural communities are also affected by the increased drought episodes in Ecuador. Increased resolution of the MONSE, shall made available better information for the implementation of specific policies and activities in these areas.
7.2	activities located on lands and territories claimed by indigenous peoples?		No, directly. The project will not be implemented in a specific area, but it might provide information for territories claimed by indigenous peoples who would benefit of timely information of any potential drought episode.
7.3	impacts to the human rights of indigenous peoples or to the lands, territories and resources claimed by them?		No. Since the project does not involve direct activities in the territory, no impacts on human rights for indigenous peoples are foreseen.
7.4	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?		No. This project shall include resilience measures to reduce the impact of drought episodes in the whole territory of Ecuador, including territories claimed by indigenous peoples.
7.5	adverse effects on the development priorities, decision making mechanisms, and forms of self-government of indigenous peoples as defined by them?		No. as potential droughts episodes will be identified timely, the response from the government of Ecuador will include constant dialogue with the local communities. Accessing to improved information on droughts will provide elements for dialogue on adaptation measures and will strengthen these communities' capacities for governance, will empower women and indigenous communities and will rescue ancestral practices for the care of the territory
7.6	risks to the traditional livelihoods, physical and cultural survival of indigenous peoples?		No.
7.7	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?		No.
<b>Safeguard Standard 8: Labor and working conditions</b>			
8.1	Will the proposed project involve hiring or contracting project staff ?		Yes. The implementer will be a CTCN network member 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)?		No.
8.3 the use of forced labor and child labor?		No.
8.4 occupational health and safety risks (including violence and harassment)?		No.
8.5 the increase of local or regional unemployment?		No.
8.6 suppliers of goods and services who may have high risk of significant safety issues related to their own workers?		No.
8.7 unequal working opportunities and conditions for women and men		No.