

Project Information

Project Information	
1. Project Title	Promoting Climate Resilient Food Systems for Improved Food and Nutrition Security Among the Most Vulnerable Communities in Lao PDR
2. Project Number	5911
3. Location (Global/Region/Country)	Lao PDR

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The project will invest in the resilience of food systems by strengthening agricultural support climate services and ensuring the continuity of ecosystem services in six of the most vulnerable provinces of the country: Oudomxay, Huaphanh, Luangnamtha, Phongsaly, Savannakhét and Saravan in Lao PDR. An estimated 44% of under-five children have stunted growth and 27% are severely underweight. Despite much progress along all social and economic indicators, differences in access remain large between the poor and the non-poor and between provinces. The pace of poverty reduction has been slowed by a significant number of previously non-poor households falling back into poverty – a symptom of the high vulnerability faced by most households in Lao PDR and the fragility of development in the face of external shocks, such as global economic slowdown, reduced demand from foreign markets and tourism and climate change induced natural hazards. The project will enhance resilience of smallholder farming communities in the most vulnerable areas of Lao PDR to achieve lasting food and nutrition security. In order to be resilient, communities will be able to achieve food security under any and all circumstances, regardless of the climate change scenario. Key adaptive strategies for resilient food security include diversification of food sources and income, increased crop and livestock productivity and value addition. The project will upscale proven successful approaches and technologies in the agriculture-based rural livelihoods in the provinces.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

The project will introduce tested methods for gender-disaggregated household surveys and participatory vulnerability assessments including the 'Self-evaluation and Holistic Assessment of climate Resilience of farmers and Pastoralists', the Multidimensional Poverty Assessment Tool so that local communities can participate in determining gender-responsive climate risk reduction solutions. A gender-responsive approach to extension services will be promoted to district and provincial staff so they are aware of women- and youth-specific vulnerabilities and that these are addressed when delivering climate information services. Access to climate information will set an enabling environment for women undertaking farming to improve their capacity to sustain their livelihoods as well as to cope with climate shocks. As opposed to only being involved in the production cycle, thanks to a value chain approach, women will be engaged in each cycle of the chain, from farm to fork, namely pre-production, production, harvest, storage, consuming food at the household level, and getting access to markets to strengthen their networks contributing to the increase of social capital. To maintain incentives for diversification, awareness raising on nutrition and cooking practices will encourage women to diversify in value chains while increasing household food security and nutrition diversity.

The Lao Women's Union has been involved in the development of the project. They will facilitate access to micro-credit for women to engage in new value chains promoted by the project. This access to credit will come with training in financial literacy, which will further increase opportunities for women to engage in other income-generating activities. Farmers will also benefit from training on contract farming arrangements. Training and access to micro-finance will allow women to gain independence, purchasing power, as well as better education for their children and for themselves.

Briefly describe in the space below how the Project mainstreams environmental sustainability



The project will scale up successful approaches at the watershed level using farmer field schools and farmer-based extension to enable farmers to plan land use and share resources sustainably through a value chain approach. This will include the introduction of climate-smart practices along the whole value chain; and increase in soil conservation, reduced chemical use, carbon sequestration (553,555 tons of CO₂-eq per year), reduction in water pollution, and improved irrigation and drainage. Some the environmental sustainable solutions include no-till farming combined with mulch and diversified crop sequences (crop rotations, intercropping) will provide a good protection of the soil, help retain moisture and reduce erosion and nutrient runoff, the use of farmyard manure and compost instead of chemical fertilizers on crops will, not only reduce costs of inputs for farmers but also hold and sequester GHG emissions (notably nitrous oxide, methane), reduce soil erosion and replenish exhausted soil; reducing water pollution by practicing integrated pest management and biological pest-control methods to ensure crops are protected during all growth stages in a safe manner; innovative water management practices established to sustain land productivity in the face of climate change, such as landscaping drainage control and improved irrigation, water retention ponds and a reduction in flooding event damages, water availability will increase by 20% during the dry season, further increasing agricultural productivity, but also reducing potential damages from flooding events. With this, there will be increased water resources availability and soil quality, and these interventions will also contribute to improving biodiversity. The project will also implement agroforestry solutions, including terracing using crops and fruit trees to reduce erosion and sediment transport. Agroforestry activities will also contribute to a carbon sink of 774,108 million tons of CO₂-eq per year.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.	QUESTION of the pote Note: Respo proceeding	ON 3: What is the level of significance otential social and environmental risks? spond to Questions 4 and 5 below before ng to Question 6		QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probabilit y (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Risk 1: Use of genetically modified and/or non-local provenance for seedbank and nurseries	l = 3 P = 2	Moderate	There are a number of potential impacts associated with the activity. Firstly, the release of untested crops and seeds into nurseries and seedbanks, and then subsequently into production could have significant impacts on the	No genetic modified species should be used. Only seeds and crops from local provenance should be used in nurseries. Seeds should only be collected from local producers including ethnic groups and properly labelled and stored in a controlled environment. Preference should be given to seeds with a lower need for chemicals etc. Extensive consultation should be undertaken with producers to understand their likely needs re seeds etc and their uses. This will ensure that specific seeds do not have a supply and demand issue. Finally, it is imperative that all



			environment. Second, the	producers have access to the seed banks and nurseries to
			overuse of chemicals etc in	ensure conflict is minimised.
			the nurseries could have an	
			impact on the environment	
			including to water quality.	
			With respect to social issue,	
			there is the potential for	
			growers to no use new	
			seeds. Secondly, the new	
			seeds may not be	
			complimentary to their	
			existing crops which could	
			result in disease or pest	
			infestation.	
			During the rehabilitation of	Activities proposed as part of the project build on
			the water retention ponds, it	experiences from a number of ongoing efforts including
			will be necessary to	investments undertaken by the Asian Development Bank.
			undertake earth works to	World Bank, IUCN and UNDP. Past activities have been
			remove sediment from water	successfully undertaken and the effective methodologies
			holding locations and then	used for water retention ponds rehabilitation as part of those
			undertake the redesign	projects will be replicated (modified spatially as required).
			existing infrastructure The	By following a proven practice the project will result in
			earth works will move	reduced impacts
Risk 2 [.] Sediment movement during the			sediment that if not properly	
rehabilitation of the water retention	I = 3	Moderate	contained may be removed	To ensure that the sediment is not mobilised through
nonds	P = 3	mouorato	either as air pollution or	current movement that will result in any significant impacts
pondo			through overland flow during	it will be necessary to prepare an erosion control sediment
			a rain event	plan and install silt curtains to restrict sediment movement
				from the site Eurther, any earthworks should be undertaken
				during the dry season and compacted sufficiently to reduce
				sediment movement. The plan should contain aspects
				including but not limited to the installation of sediment
				curtains to reduce sediment movement and the quick
				placement of footing material. These impacts will be
				spatially and temporally restricted to rebabilitation periods
			During the rebabilitation of	As with the above to ensure contaminants do not ontor
			existing the water retention	waterways and groundwater systems a water guality
	I = 3 P = 2		nonde it may be necessary	monitoring plan and management framework will be
Risk 3: Contamination of existing water		Moderate	to undertake small social	developed to ensure chemicals are not released. This will
sources		Mouchale	earth works to reducion	involve testing sediment prior to movement and planning so
			earth works to redesign	that the works are not undertaken during roin system. Where
			There is the potential for the	reinfell in anticipated, appropriate material should be reased
	1	1	There is the potential for the	raman is anticipated, appropriate material should be placed



			release of chem nutrients, heavy metals other material from sediment and for thes enter waterways groundwater systems d the works.	icals, s and the se to and luring	under the sediment prior to excavation to ensure there is no seepage into groundwater systems. The water quality monitoring for the sources will be designed to identify potential impacts so that management measures can be proactively rather than reactively enacted upon.
Risk 4: Sediment movement during ecosystem revegetation works	I = 2 P = 2	Low	During tree planting reforestation, it may necessary to unde earth works to resta areas. Digging holes ef move sediment.	and / be ertake bilise tc will	There is the potential for sediment movement during planting and reforestation. To ensure that the sediment is not mobilised through either wind or more specifically water movement, it will be necessary to prepare an erosion control sediment plan and install silt curtains to restrict sediment movement. The plan shall contain aspects including but not limited to the installation of sediment curtains to reduce sediment movement and the covering of sediment where practicable.
Risk 5: Construction Noise	l = 1 P = 1	Low	Noise will occur throug use of constru equipment. This can in on local communities the adjacent area.	h the uction npact using	The construction contractor should consider any sensitive receptors including communities. Noise will be limited to small machine preparing the pads for the tanks and power tools to construct the tanks. Re the wetland rehabilitation, it is likely that more noise will be generated through the use of excavators and trucks moving sediment from the water retention ponds. Where necessary, noise shields should be constructed to reduce the potential for noise to reach these communities if an impact occurs. The noise will have very limited temporal scales.
Risk 6: Non-inclusion of ethnic groups	I = 2 P = 2	Low	Lao PDR has as mar 240 ethnic groups, alth the Government recognise 49 different e groups. Ethnic groups of in the six provinces w the project will implemented. The failu consult fully could res conflict.	ny as lough only ethnic occur vhere be ure to ult in	Consultations have been undertaken with ethnic groups in the specific districts. Consultations should remain ongoing. An Ethnic Groups' Planning Framework has been developed for the project and when implemented, will significantly reduce the risk. No exclusion of indigenous people or ethnic groups from activities of the project will take place.
	QUESTIO	N 4: What is the	overall Project risk c	atego	prization?
	S Low Dig t	Select one (see Se	ESP for guidance)		Comments
	LOW RISK				



	Moderate Risk	X	The project will involve the development and upgrading of water retention ponds that will involve the movement of sediment etc. If this work is undertaken in the dry season, this will reduce the impacts. The project will also include ethnic groups (Lao PDR classifies indigenous peoples as ethnic minorities).
	High Risk		
	QUESTION 5: Based on the identified risks an relevant?	ld risk	categorization, what requirements of the SES are
	Check all that apply		Comments
	Principle 1: Human Rights		
	Principle 2: Gender Equality and Women's Empowerment	x	The project is designed to have gender as a primary focus. This should significantly increase women's roles in the project and communities. No children (girls or boys) will be employed.
	1. Biodiversity Conservation and Natural Resource Management	x	The project has been designed to water management and resilience to climate change. There is the potential for short term small scale impacts to existing water retention ponds. Importantly, the project intends to improve these ecosystems within the short term, but creating an environmental benefit that will have flow on beneficial impacts to biodiversity. No intrusion into critical habitats of endangered or protected species will take place. The project will not involve the use of genetic material or extraction of genetic material and there will be no commercialization of genetic resources. No support for tobacco plantations will take place.
	2. Climate Change Mitigation and Adaptation	x	The project will not result in the production of significant emissions. Emissions will be restricted to works associated with the water retention pond rehabilitation works. Other project activities can provide significant mitigation benefits through sequestering carbon dioxide. No cutting or degradation of forest areas, watersheds or wetlands. The project will include activities related to watershed restoration and re-forestation.
	3. Community Health, Safety and Working		
	4. Cultural Heritage	+ -	
1			



5. Displacement and Resettlement		No relocation or resettlement of people currently living in the target provinces, districts or villages will take place.
6. Indigenous Peoples	x	Lao PDR has as many as 240 ethnic groups, although the Government only recognise 49 different ethnic groups. Consultations have been undertaken with ethnic groups in the specific districts and an Ethnic Groups' Planning Framework has been developed for the project. No restrictions for indigenous people or ethnic groups to continue to have access to generational use of land.
7. Pollution Prevention and Resource Efficiency		

Final Sign Off

Signature	Date	Description
QA Assessor	20 Sep 2016	UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final
	I. P.P.S.	signature confirms they have "checked" to ensure that the SESP is adequately conducted.
Keti Chachibaia		
Regional Technical Specialist		
QA Approver	20 Sep 2016	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director
	11-	(CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA
Kaarina Immonen	to	Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the
UNDP	EF	SESP prior to submittal to the PAC.
Resident Representative	2	
PAC Chair	29 Sep 2016	UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final
11-		signature confirms that the SESP was considered as part of the project appraisal and
Kaarina Immonen	e e	considered in recommendations of the PAC.
UNDP	1	
Resident Representative)	



SESP Attachment 1. Social and Environmental Risk Screening Checklist

Che	cklist Potential Social and Environmental <u>Risks</u>	
Princ	iples 1: Human Rights	Answer (Yes/No)
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Princ	iple 2: Gender Equality and Women's Empowerment	
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	No
	For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being	

¹ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.



Annex VI (a) – Social and Environmental Screening Template GREEN CLIMATE FUND FUNDING PROPOSAL

Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management No Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical 1.1 habitats) and/or ecosystems and ecosystem services? For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes Yes 1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? No 1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) No 1.4 Would Project activities pose risks to endangered species? No 1.5 Would the Project pose a risk of introducing invasive alien species? Yes 1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation? No 1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species? No 1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water? For example, construction of dams, reservoirs, river basin developments, groundwater extraction 1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, No commercial development) 1.10 Would the Project generate potential adverse transboundary or global environmental concerns? No 1.11 Would the Project result in secondary or consequential development activities which could lead to No adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.



Annex VI (a) – Social and Environmental Screening Template GREEN CLIMATE FUND FUNDING PROPOSAL

Stand	dard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ² greenhouse gas emissions or may exacerbate climate change?	No	
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes	
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?	No	
	potentially increasing the population's vulnerability to climate change, specifically flooding		
Stand	dard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No	
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No	
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No	
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No	
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No	
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector- borne diseases or communicable infections such as HIV/AIDS)?	No	
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No	
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No	
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No	
Standard 4: Cultural Heritage			
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No	
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No	

² In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]



Stan	dard 5: Displacement and Resettlement	
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ³	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Stan	dard 6: Indigenous Peoples	
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Yes
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?	No
	If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.	
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No

³ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.



Annex VI (a) – Social and Environmental Screening Template GREEN CLIMATE FUND FUNDING PROPOSAL

Stan	dard 7: Pollution Prevention and Resource Efficiency	
7.1	Would the Project potentially result in 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
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?	No
	For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol	
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No