

Annex VI (a). Social and Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) and [Toolkit](#) for guidance on how to answer the 6 questions.

Project Information

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1. Project Title	<i>Strengthening the resilience of smallholder agriculture to climate change-induced water insecurity in the Central Highlands and South-Central Coast regions of Vietnam</i>
2. Project Number	6117
3. Location (Global/Region/Country)	Vietnam

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

Across Vietnam, climate change is already having a detrimental impact on local ecosystems, economies and communities. The project is targeting small-scale farmers in five provinces in the Central Highlands and South Central Coast regions of Vietnam, which were severely affected by the El Nino-induced drought in 2015-2016.

Agriculture and water resources are the foundation for the livelihoods of the majority of people in the Central Highlands, especially of the 33% ethnic minorities. Around 48% of the people in the South Central Coast region rely on agriculture for their livelihoods, and sufficient, reliable water sources are particularly critical as the South Central Coast is the driest area of the country with a long dry season, the lowest rainfall, and a relatively small river system. The most vulnerable population group is small-scale farmers with less than one hectare growing one or two rain-fed crops in upland farms. Small-scale farmers cultivating one or two crops in lowlands, but with limited access to irrigation and dependent on water from streams or wells are a second group particularly vulnerable.

For the Central Highlands, these include a high number of ethnic minorities, high rates of poverty, many migrants (including the Kinh majority and ethnic minorities from other regions in the country), and a high number of farmers depending on rain-fed and subsistence agriculture. For the South-Central Coast, social vulnerability is largely determined by high degrees of poverty, particularly among pockets of ethnic minority groups, and a dependency on rain-fed agriculture in many areas.

This project will empower vulnerable smallholders in these two regions – particularly women and ethnic minority farmers - to manage increasing climate risks to agricultural production by securing water availability, adopting climate-resilient, water-efficient agricultural cropping systems, and using climate, agricultural and other information effectively for agroecosystem risk assessment and concomitant water and agricultural planning and management.

While this project provides training, information, institutional support, and initial grant assistance to help smallholders overcome barriers to adaptation, it also provides training and technical assistance to smallholders and linkages with local banks to access finance for longer term sustainability and enables access to markets to generate the revenues to pay back their loans.

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

Viet Nam is still a predominantly rural society, where women are concentrated in agriculture and/or are self-employed, and participate in most production activities. At the same time, compared to men, women have less access to, and control over the resources that they depend upon for food and income. Over 50% of poor and near-poor farmers in the project's target areas are women.

The project design takes into consideration a number of key gender implications, including (among other things), women's critical role in agriculture and food security; analysis of the gendered division of labour; women's access to and control over environmental resources; and identification of gender equality gaps. Throughout the project gender equality principles will be mainstreamed. The project targets women, youth and other vulnerable groups. A Gender Assessment and Action Plan has been prepared for the project.

The project implementation proposes a number of actions to strengthen gender equality, these include:

- Ensure women are adequately represented on decision making boards and committees, including the PMU.
- Specific strategies to include and target female and ethnic minority farmers for interventions to ensure gender equal participation.
- Enhance capacities of both male and female farmers to understand and use climate change information

- Build capacities of both male and female farmers in climate resilient agriculture production, taking into account women's daily routines and promoting both genders participation in agricultural decision making
- Build capacities of female farmers in particular in leadership and marketing skills.
- Women will be key partners in the co-development of climate and farm practices information messaging so that they are also reached effectively;
- Inclusion of all stakeholders involved in the project to develop awareness raising/training aimed at drawing attention to the implication of access to climate information, improved irrigation and farming practices and gender equality.

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

The project target areas – particularly rain fed lands - are subject to significant land degradation processes that are exacerbated by climate variability and extreme events. To reduce land degradation processes, a key strategy of this project will be to control the movement of water as much as possible onto soil and across farm fields, managing it to maximize soil infiltration as much as possible with the corresponding benefits to soil moisture and groundwater. Farmers in the target areas will receive training on these practices in Farmer Field Schools. As a consequence of adopting more climate-resilient agricultural practices, soil organic matter will increase, resulting in greater water holding capacity, increased carbon storage and improved soil biodiversity. The land degradation processes affecting the target areas will be reduced, which will enhance agro-ecological and landscape resilience to rainfall variability and drought.

The project is likely to have some short-term, small-scale environmental impacts during implementation, but will ultimately have considerable, long-term environmental benefits. Physical impacts will be primarily associated with construction and installation of equipment. These impacts will be minor and of a temporary nature. The implementation of the ESMF will ensure that these impacts are satisfactorily managed. Key considerations in minimising environmental and social impacts during the project are outlined in the ESMF, but include social inclusion and consultation, sediment and erosion control, and health and safety for workers and community.

An important element of environmental sustainability is having an enabling environment and to achieve this the project includes a capacity building subcomponent, which aims at strengthening capacity at all levels. The expected outcome will be human and infrastructural capacity built and enhanced sustainability across all components of the project, as a result of strengthened institutions, processes, and systems, and increased capacity of human, institutional and regulatory systems for climate-responsive planning and implementation.

The potential adverse impacts have been deemed to generally be localized to the project implementation sites and to be manageable with the implementation of the appropriate mitigation measures, therefore the project has been assessed as only having moderate environmental risk (Category B), that is, limited in scale, identifiable with a reasonable degree of certainty, and are able to be addressed through appropriate mitigation measures. The project ESMF identifies potential risks and offers avoidance and/or mitigation measures to reduce impacts from the project.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>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.</i>		QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>		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 Probability (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: The Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods	I = 2 P = 3	Low	Installation of pipes and valve command areas will disturb soils and may impact farming in short term.	ESMF includes provisions for stakeholder engagement, protection of flora/fauna and soils (sediment and erosion controls)
Risk 2 The Project involves extraction, diversion or containment of surface water	I = 2 P = 3	Low	Project utilizes WEIDAP and existing dams. However, small ponds will be constructed to harvest overland flows and water will be piped from dams/ponds to irrigate fields.	
Risk 3: The potential outcomes of the Project could be sensitive or vulnerable to potential impacts of climate change	I = 4 P = 2	Moderate	Agriculture is inherently sensitive to climate change, and in particular drought. The project aims to reduce risks associated with drought and increase resilience of farmers.	Improved irrigation system and access by poor farmers has been ensured through project design and targeting of most vulnerable. Climate resilient irrigation and farming practices will be introduced. Capacity building will improve ability of all levels to better manage water resources
Risk 4: Elements of Project construction, operation, or decommissioning pose potential safety risks to local communities	I = 2 P = 1	Low	All construction activities carry some level of risk, either to construction personnel or communities.	The ESMF provides provisions for stakeholder engagement to enable communities to become aware of potential risks/dangers, as well as standard construction safety requirements e.g. PPE, signage, barriers etc.

			Risks associated with this project are standard risks that are easily managed.	Consideration should be given to open bodies of water and the need to exclude people and/or stock if deemed necessary.
Risk 5: The proposed Project could be susceptible to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions	I = 4 P = 1	Mod	Project will utilize existing dams through the connection to WEIDAP system. Dams carry some risk when it comes to earthquakes and flooding.	The project is focused on climate resilience. Infrastructure to be built by the project will consider the likely climatic and seismic extremes in its design. Impacts of significant enough scale to seriously damage project infrastructure will have far reaching impacts that will extend well beyond the project area. The project itself does not carry inherent risk associated with these extreme events, but does rely on infrastructure that could be affected.
Risk 6: The Project could result in potential increased health risks (e.g. from water-borne or other vector-borne diseases)	I = 2 P = 2	Low	Open bodies of water, such as ponds, and irrigation systems may provide breeding areas for insects such as mosquitos.	The target areas lie within monsoonal belt and therefore already receive significant rainfall so that the risk of disease such as malaria is already present. Locals are aware of risks and mechanisms to reduce them. The introduction of climate resilient irrigation will result in less standing water, which will help to reduce the risk of vector borne diseases.
Risk 7: The Project poses potential risks and vulnerabilities related to occupational health and safety during construction, operation, or decommissioning	I = 2 P = 3	Mod	Risks poses are typical industry OHS risks that are easily managed through adoption of good industry practices	The ESMF contains requirements for OHS practices. Capacity building will improve adoption of good industry safety practices.
Risk 8: The Project could possibly result in economic displacement	I = 2 P = 2	Low	Installation of pipes and valves will potentially disrupt some farming during construction. In a very few cases, some land will be required for infrastructure such as command valves.	The project aims to minimize impacts to farming through design, communication with farmers, timing of construction, and operation practices. Any loss of land will be compensated. The ESMF provides for stakeholder engagement, grievance redress and minimizing impacts associated with construction.
Risk 9: Indigenous peoples are present in the Project area	I = 1 P = 5	Low	The project targets the poor and near poor, in particular indigenous people	In Vietnam, indigenous people are able to claim their lands. The project targets indigenous people as they are often the most vulnerable. The ESMF contains requirements for social inclusion and provides a grievance mechanism.
Risk 10: It likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples	I = 1 P = 4	Low	As noted above, the project targets indigenous people, therefore will occur on some of their land	Indigenous farmers will be able to connect to the irrigation scheme and/or benefit from improved agricultural practices as a result of the project. The project does not require farmers to move, land required

				will be for farm infrastructure (pipes, ponds etc.) and will be managed by the farmers. Consultation has been undertaken with indigenous groups in the areas being targeted by the project.
Risk 12: the Project could potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local impacts.	I = 3 P = 1	low	The project itself does not create pollutants. Potential pollutants are those that already exist in the area eg fuels and greases, herbicides and insecticides.	The project involves construction and improving agricultural practices. The use of machinery requires fuels and greases, these have some risk of spills. Agriculture may involve the use of chemicals such as herbicides, insecticides, fertilizers, etc. These are already used by farmers and the project will include training for improved chemical handling/use. The ESMF contains provisions for the containment and cleanup of spills. It makes recommendations in the event of contamination discovery. OHS practices are also highlighted in the ESMF.
Risk 13: The proposed Project will result in the generation of waste.	I = 1 P = 3	Low	Waste will be created during the construction of the project and in minor volumes during operation and maintenance.	Wastes will include excess soil from excavations, packaging and scraps from construction materials, workforce waste (food, sewage etc.) and minor amounts of waste oils and greases associated with construction and farming machinery maintenance. The ESMF contains provisions for the management of waste.
Risk 14: The Project include activities that require significant consumption of water	I = 3 P = 5	Mod	The project targets agriculture and in particular water harvesting and irrigation, therefore water will be consumed.	The project aims to decrease the current reliance (and over use) of groundwater by improving connectivity to existing dams, building or improving on farm ponds for harvesting overland flows, and improving agricultural practices (climate resilient irrigation and crop selection). The net result of this should be increased productivity for less water resource consumption. Capacity building will improve the management of water resources at all levels.
QUESTION 4: What is the overall Project risk categorization?				
Select one (see SESP for guidance)				Comments
Low Risk				<input type="checkbox"/>
Moderate Risk				<input checked="" type="checkbox"/>
High Risk				<input type="checkbox"/>

QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
Check all that apply		Comments
<i>Principle 1: Human Rights</i>	<input type="checkbox"/>	
<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input checked="" type="checkbox"/>	
<i>Principle 3: Environmental Sustainability</i>	<input type="checkbox"/>	
1. <i>Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>	
2. <i>Climate Change Mitigation and Adaptation</i>	<input checked="" type="checkbox"/>	
3. <i>Community Health, Safety and Working Conditions</i>	<input checked="" type="checkbox"/>	
4. <i>Cultural Heritage</i>	<input type="checkbox"/>	
5. <i>Displacement and Resettlement</i>	<input checked="" type="checkbox"/>	
6. <i>Indigenous Peoples</i>	<input checked="" type="checkbox"/>	
7. <i>Pollution Prevention and Resource Efficiency</i>	<input checked="" type="checkbox"/>	

Final Sign Off

Signature	Date	Description
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
Principles 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
Principle 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? <i>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</i>	No
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	
1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	Yes

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.

	<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
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)	Yes
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? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	Yes
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
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 adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?	No
Standard 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
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	Yes
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

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.]

3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	Yes
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)?	Yes
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?	Yes
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
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
Assume 'no', but need confirmation – particularly in relation to large dams and reservoirs		
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)?	Yes
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
Standard 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

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.

	<i>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.</i>	
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?	Yes
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
Standard 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?	Yes
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	Yes
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? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
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?	Yes