

## 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

Project Information	
1. Project Title	Enhancing climate resilience in Thailand through effective water management and sustainable agriculture
2. Project Number	5923
3. Location (Global/Region/Country)	Thailand

### 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 support smallholder farming communities and dispersed households/farmsteads in the Yom and Nan River Basins in Phitsanulok, Sukothai and Uttaradit provinces, are part of the middle-upper catchments of the Chao Phraya River Basin area. Undertaking comprehensive climate change adaptation actions in the Yom and Nan River basin is of critical importance to a very large area of Thailand, and about 25 million people. The Yom and Nan River basins need to have effective water management to mitigating flooding and buffering against drought agricultural livelihoods. Such actions will in turn have co-benefits further downstream reducing flood impacts in the greater Chao Phraya River and the downstream urban areas that include metropolitan Bangkok which suffered significantly in the 2011 floods. The provision of improved climate change data information, dissemination, management and accessibility are much needed for informing these responses to mitigate loss and damage related to flooding and drought, as well as to strengthen the long-term resilience of vulnerable agricultural-livelihood dependent households to climate impacts are vitally important.

The project proposes to improve substantially the decision making capacities and reduce barriers of access for these disperse rural communities and farmers through targeted actions enhancing food and water security, related associative capacity and the related rural extension services. This will result in them becoming more active stakeholders. Their capacity will be improved through training and engaging in implementing project activities for service provision and private sector for value chain and market access improvements. Further, the project will promote social cohesiveness within communities through water supply management. By promoting collective decision making and establishing protocols for wetland restoration reconditioning and use of natural wetland channels at the landscape level and territorial level, the project will advance social and inter-community harmony.

The project also promotes safety, well-being, and decision-making among farmers through the benefits of new irrigation technologies, early warning systems and climate information. Communities will benefit from the timely early warnings and reduced disruption to educational activities (access and commuting to schools), issues with health, family and community structures, and as well as access and communication. The ability to adjust seasonal cultivation practices and crops according to tailored seasonal forecasting impacts and the use of climate adapted seeds/plants grown in local nurseries will positively impact on producers' ability to rationalize their inputs and assess their cultivation options for the coming months, preventing undue losses of crops and inputs.

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

The project will target farmers directly (62,000 people, of which 32,104 are women) affected by the impacts of climate change; and millions of indirect beneficiaries of the lower Chao Phraya River Basin area. The project has a gender focus that will deliver project assistance to women to enhance their opportunities for employment, in a social structure where they are generally marginalized. The leading role assigned to women and specific actions and awareness raising components would work to remove many gender specific disadvantages like, poor health, lack of income and unjust and violent social practices that work against women and girls. The enhanced level of economic and non-economic entitlements and skills supported by the project will ensure a visible change towards equality and women's empowerment. Enhancing income-generating activities and economic opportunities in risk-prone environments, the ability to combine adaptive livelihood, food and water security and disaster risk reduction activities which makes women and girls more resilient to external shocks.

The project will yield positive outcomes related to health and well-being, decision making, access to resources, livelihoods, and income generation for women through the project interventions. The time saved through an improved, and in the case of rural disperse households direct, access to water supply will facilitate the participation of women in other economic activities. The governance structures created and the role of community leaders will in turn expand women's sphere in decision-making. Women through their involvement in project actions will benefit from knowledge management activities and exchanges related to climate change, adaptation and water management. This in turn will serve to empower them within the community.

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

The project will scale up successful approaches at the watershed level. This will include the introduction of climate-smart practices; and increase in soil conservation, reduced chemical use, reduction in water pollution, and improved irrigation and drainage. The project is expected to have some short term medium scale environmental impacts but significant environmental and social benefits. Accordingly, the project will ensure risk assessments are undertaken for all works where sediment is being disturbed, ensure waste is managed properly; and results and mitigation measures integrated into final design. By increasing the areas of wetlands and water retention, this can maintain water during a flood and post the event, which will improve the health of these ecosystems and provide better flood protection. This will allow for the protection of communities on the flood plain. The project will yield environmental benefits through strengthened ecosystem resilience, increase biodiversity and improved water quality. Through bioengineering to regenerate vegetation cover and around wetlands, the project seeks to curb environmental degradation and promote long-term sustainability for the region. Additionally, the strengthening of habitat will also be invaluable to all users.

## Part B. Identifying and Managing Social and Environmental Risks

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <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>	<b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			<b>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)?</b>
<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low,</b>	<b>Comments</b>	<b>Description of assessment and management measures as reflected in the Project design. If ESIA or</b>

		<i>Moderate, High)</i>		<b>SESA is required note that the assessment should consider all potential impacts and risks.</b>
Risk 1: Sediment movement during the rehabilitation of the water storages and monkey cheeks	I = 3 P = 3	<b>Moderate</b>	During the rehabilitation of the water storages and monkey cheeks, it will be necessary to undertake earth works to remove sediment from water holding locations and then undertake the redesign existing infrastructure. The earth works will move sediment that, if not properly contained, may be removed either as air pollution or through overland flow during a rain event and/or downstream.	Activities proposed as part of the project build on experiences from a number of ongoing efforts. Past activities have been successfully undertaken and the effective methodologies used for water storages and monkey cheeks rehabilitation as part of those projects will be replicated (modified spatially as required). By following a proven practice, the project will result in reduced impacts.  To ensure that the sediment is not mobilised through current movement that will result in any significant impacts, it will be necessary to prepare an erosion control sediment plan and install silt curtains to restrict sediment movement from the site. Further, 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 rehabilitation periods.
Risk 2: Contamination of existing water sources	I = 3 P = 2	<b>Moderate</b>	During the rehabilitation of the existing water storages and monkey cheeks, it may be necessary to undertake small scale earth works to redesign and/or replace existing infrastructure. There is the potential for the release of chemicals, nutrients, heavy metals and other material from the sediment and for these to enter waterways and groundwater systems during the works.	As with the above, to ensure contaminants do not enter waterways and groundwater systems, a water quality monitoring plan and management framework will be developed to ensure chemicals are not released. This will involve testing sediment prior to movement and planning so that the works are not undertaken during rain events. Where rainfall is anticipated, appropriate material should be placed 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 3: Sediment movement during ecosystem based adaptation works	I = 2 P = 2	<b>Low</b>	During ecosystem based adaptation works, it may be necessary to undertake earth works to restabilise areas. River restoration and establishment of fish passages etc will move sediment.	There is the potential for sediment movement during ecosystem based adaptation works. 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 4: Construction Noise	I = 2 P = 2	<b>Low</b>	Noise will occur through the use of construction equipment. This can impact on local communities using the adjacent area.	The construction contractor should consider any sensitive receptors including communities. Noise will be limited to machinery undertaking construction works and ecosystem based adaptation activities. It is likely that more noise will be generated through the use of excavators and trucks moving sediment from the water storages and monkey cheeks. 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 5: Impacts on Archaeological Heritage	I = 3 P = 3	<b>Moderate</b>	There is the potential for the project to impact on cultural heritage when works are being undertaken.	There are no specific sites within the immediate proximity of the project activities. Notwithstanding, there is the potential through flooding, for sites to be impacted. The project will ensure that the sites are considering in the structural design of project components.
Risk 6: Beneficiary Conflict	I = 3 P = 2	<b>Moderate</b>	There is the potential for community members to feel upset where individuals get access to water etc that they may not have access to. This could lead to conflict among users	The Implementing Agency should develop a model for the use of a community supply committee to ensure all users get access to equal water.
Risk 7: Production of waste	I = 3 P = 3	<b>Moderate</b>	The rehabilitation and construction of new water infrastructure will likely cause waste including but not limited to sediment and concrete.	Given that much of the infrastructure will be prefabricated and delivered to site, the impact of waste is likely to be minimal. Where possible, all materials from existing infrastructure should be reused or recycled.
<b>QUESTION 4: What is the overall Project risk categorization?</b>				
			<b>Select one (see <a href="#">SESP</a> for guidance)</b>	<b>Comments</b>
<b>Low Risk</b>			<input type="checkbox"/>	
<b>Moderate Risk</b>			<input checked="" type="checkbox"/>	The project will involve the development and upgrading of water storages and monkey cheeks that will involve the movement of sediment etc. If this work is undertaken in the dry season, this will reduce the impacts.
<b>High Risk</b>			<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
<b>Principle 1: Human Rights</b>	<input type="checkbox"/>	
<b>Principle 2: Gender Equality and Women's Empowerment</b>	<input checked="" type="checkbox"/>	The project is designed to have gender as a primary focus. This should significantly increase women's roles in the project and communities.
<b>1. Biodiversity Conservation and Natural Resource Management</b>	<input checked="" type="checkbox"/>	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 storages and monkey cheeks. 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.
<b>2. Climate Change Mitigation and Adaptation</b>	<input checked="" type="checkbox"/>	The project will not result in the production of significant emissions. Emissions will be restricted to works associated with the water storage and monkey cheek rehabilitation works.
<b>3. Community Health, Safety and Working Conditions</b>	<input type="checkbox"/>	
<b>4. Cultural Heritage</b>	<input checked="" type="checkbox"/>	The project has the potential to impact on a number of archeological sites. Mitigation measures will be included to avoid and/or reduce the impacts.
<b>5. Displacement and Resettlement</b>	<input type="checkbox"/>	
<b>6. Indigenous Peoples</b>	<input type="checkbox"/>	
<b>7. Pollution Prevention and Resource Efficiency</b>	<input type="checkbox"/>	

### Final Sign Off

Signature	Date	Description
Mariana Simoes QA Assessor	June 2019	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.
		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA

QA Approver		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**

<b>Checklist Potential Social and Environmental Risks</b>	
<b>Principles 1: Human Rights</b>	<b>Answer (Yes/No)</b>
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? <sup>1</sup>	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
<b>Principle 2: Gender Equality and Women's Empowerment</b>	
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
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>	
1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No

<sup>1</sup> 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.



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?	No
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? <i>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.</i>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>2</sup> 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)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No

<sup>2</sup> In regards to CO<sub>2</sub>, '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.]



<b>Standard 3: Community Health, Safety and Working Conditions</b>	
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
<b>Standard 4: Cultural Heritage</b>	
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)	Yes
4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>	
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? <sup>3</sup>	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
<b>Standard 6: Indigenous Peoples</b>	
6.1 Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No

<sup>3</sup> 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.

6.3	<p>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)?</p> <p><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></p>	No
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
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
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	<p>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?</p> <p><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></p>	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?	No