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	
1. Project Title	Strengthening the resilience of smallholder farmers in the Dry Zone to climate variability and extreme events through an integrated approach to water management
2. Project Number	NA
3. Location (Global/Region/Country)	Sri Lanka

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 ensure social equity and equality. The project will be conducted in areas of Sri Lanka that have observed significant conflict in the past. Many of the people of the area have been impacted by the past civil war and as such, there is a need to rebuild peace within and among ethnic groups; and community spirit. The project will benefit individuals through improved agricultural productivity and access to clean disease free drinking water. Communities can feel safer and cope better with flood/drought events through changes in agricultural practices that are more climate resilient, hence providing increased food security, as well as improved access to water during drought periods. The project will increase community resilience by providing strengthened village irrigation infrastructure, which is central to life in the Dry Zone, therefore enhancing the lives of vulnerable groups including those with disabilities, minority groups, youth and the elderly. The project will also increase the health and safety of people though access to clean water through sterilisation and purification, particularly in high risk areas which have observed mortality and extreme sickness from drinking contaminated water. Finally, the project will implement an early warning system that will allow communities to adapt their current activities to meet the increasing threat of climate change. With this information, it is highly likely that livelihoods will be saved and it will improve two-way communication mechanisms and inclusion of resilience building in the socio-economic planning process. The project has developed a complaint's register along with a two tiered Grievance Redress Mechanism consistent with the UNDP's Stakeholder Response Mechanism: Overview and Guidance (2014) and World Bank Group Safeguards Policies. The Grievance Redress Mechanism has further been designed in consideration of the specific local context and draws on existing processes and procedures for the resolution of complaints and grievances in Sri Lanka.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment
The project has a focus on gender sensitive planning and implementation particularly for women-headed households and for younger women. The National Action Plan for the Protection and Promotion of Human Rights 2011–2016 has eight sections of which one section highlights the rights of women as the government's "commitment to ensuring gender equality." Addressing gender dimensions within the project design and implementation, this proposal works to identify and integrate interventions to provide gender responsive and transformative results. As women are key players in agricultural sector and therefore food security, livelihoods and water management, this proposal seeks to address the issue that women own fewer assets and have access to less land, have less input, and access to fewer financial services. Commonly women are part of the Farmer Organization in a village but are not generally part of the decision-making committee. The project seeks to encourage greater involvement of women in the Farmer Organizations (FO) or stronger links between the FO and women's organizations in the villages. Around 23.5% of all households in Sri Lanka are female-headed. Social isolation and poverty are often inevitable; however the programme will work to improve the lives of women more broadly through providing food security and clean drinking water in locations where in the past, women have been impacted by cultural practices. Many were widowed at a young age mainly due to the conflict and deaths due to kidney disease. The project area has a large number of women-headed households and women taking care of disabled members due to the above. Further, the female unemployment rate is 22%; double that of men in Sri Lanka. As such, women have a reliance on agricultural systems to support their families and the rehabilitation or irrigation systems will provide them with the ability to grown food. Moreover, the project will target women-headed households and disabled women for low-tech agriculture and household drinking water improvement, lessening the current burden on such families. At least 16,700 women in the project target area will benefit from increased income opportunity by managing community drinking water projects and agro-enterprises. The quantitative outcomes of the project include improvements in health and well-being; improved livelihoods; and business development services component targeting rural women entrepreneur groups. The qualitative outcomes include increased opportunities to generate additional income, this being that women are more likely to respond to incentives that address their family's basic needs, such as better health and nutrition, linking to agriculture and food security improvements; time-saving for women as a result of lower hours in labour required for agricultural and water management practices prior to the implementation of the project; contribution to improved self-esteem and empowerment of women in the community; expanded involvement in public and project decision-making as a result of initiation of women into active participation in income generating activities; support for training and educational activities which may include activities related to climate change, agriculture, water management, leadership, business, finance, entrepreneurship and decision-making, thereby enabling empowerment and involvement (or increased involvement) of women to participate with confidence in community meetings; and effectiveness of awareness raising.
Briefly describe in the space below how the Project mainstreams environmental sustainability
The project is expected to have some short term small to medium scale environmental impacts through the rehabilitation of existing infrastructure, but will have significant long lasting environmental benefits. The project will rehabilitate existing irrigation infrastructure to allow for greater water retention during rainfall seasons, capturing the flood flow from upstream areas during intense rainfall events that can be used for irrigation during dry seasons and for drinking water during drought periods. The project will also enhance the ability for infrastructure to be more effectively operated for flood management, which will reduce damage to infrastructure (and subsequent downstream impacts and repair requirements) as well as reduce erosion caused by major flood events. This will provide both environmental and social benefits in the short to long term including provision of improved water quality and quantity retention and provide for improved water management which will in turn, provide more climate resilient

agriculture. The project will involve earth works that will be undertaken during the dry season to minimise erosion and air quality issues. Sediment that is removed from the irrigation infrastructure will be placed back on to agricultural land, thereby providing a significant environmental and social benefit by returning previously lost sediment, that is normally of high quality, back into the agricultural sector. Changes in land use and water management will ensure this sediment is retained in-situ rather than being lost. Tank rehabilitation is proposed and this will typically involve revegetation, which will create reduce erosion and siltation thereby increasing sustainability of water harvesting infrastructure.

The project areas currently use groundwater as a source of potable water. The groundwater is contaminated with heavy metals, nutrients and other chemical attributes that make it non-palatable and, moreover, dangerous to life through its consumption, and has contributed to illnesses such as kidney disease. Water sterilisation and purification processes will be established to remove chemicals, heavy metals etc from the water to improve its quality and contribute to reduction in the potential for kidney disease and other diseases. There will be some waste generated from this process (filters predominantly, potentially some small amount of liquid residue, that will be recycled where possible). No increase in water will be taken above what has already been extracted.

The project also includes the installation of rainwater tanks that will provide potable water for households. This will reduce the reliance on groundwater as well as water coming from overland flow through the irrigation channels.

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 3: What is the level of significance of the potential social and environmental risks?** *Note: Respond to Questions 4 and 5 below before proceeding 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 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: Sediment movement during the rehabilitation of irrigation infrastructure	I = 3 P = 3	**Moderate**	During the rehabilitation of existing irrigation infrastructure, it will be	Activities proposed as part of the project build on experiences from a number of ongoing efforts including investments undertaken by the Asian

			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.	Development Bank, World Bank, IUCN and UNDP across all of Sri Lanka. Past activities have been successfully undertaken and the effective methodologies used for irrigation system 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	**Moderate**	During the rehabilitation of existing irrigation infrastructure, it may be necessary to undertake small scale earth works to redesign 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. The use	As with the above, to ensure contaminants etc. 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.

			of machinery in and around watercourses also poses a potential contamination risk through the release of oils, grease and fuel spills.	Machinery should be maintained in good order, inspected for potential leaks and refuelling done away from watercourses/water sources.
Risk 3: Construction Noise	I = 2 P = 2	**Low**	Noise will occur through the use of construction equipment. This can impact on local communities using the adjacent area.	An assessment should consider any sensitive receptors including communities. Further, noise shields should be constructed to reduce the potential for noise to reach these communities if an impact occurs. The noise will predominantly relate to the construction through the rehabilitation of the irrigation network, which will have very limited temporal scales.
Risk 4: Construction of Rainwater Tanks	I = 1 P = 1	**Low**	The project will involve the installation of rainwater tanks in a number of locations. During installation, there is the potential for the movement of sediment to create a level base. There is also the potential for waste to be generated from extra pipe and guttering that exceeds the needs of the project.	Prior to installation, a full site evaluation will be undertaken to assess each site. Appropriate measures will be taken to ensure the specific amount of material is only required, thus, reducing waste. Further, any excavations, which are currently anticipated to be extremely minor, will follow the erosion and sediment control plan contained in the Environmental and Social Management Plan. As such, with the appropriate mitigation measures, it is not anticipated that the component of the work will have any additional impacts.
Risk 5: Construction of Early Warning System	I = 1 P = 1	**Low**	The project will involve the installation of an early warning system in a number of locations. During installation, there is the potential for the movement of sediment and vegetation for the installation of infrastructure. There is	Prior to installation, a full site evaluation will be undertaken to assess each site. Appropriate measures will be taken to ensure the specific amount of material is only required, thus reducing waste. Further, any excavations, which are currently anticipated to be extremely minor, (eg a small hole poured with concrete to hold the post) will follow the erosion and sediment control plan contained in the Environmental and Social Management Plan. As such, with the appropriate

			also the potential for waste to be generated from concrete for footings and the posts to hold the early warning system.	mitigation measures, it is not anticipated that the component of the work will have any additional impacts.
Risk 6: Production of waste	I = 1 P = 1	**Low**	The waste associated with the water sterilization and purification will result in waste filters.	All used filters and other waste should be managed and placed in an appropriate waste facility, thus reducing any impact. Budget has been included for the development of such a facility.

	QUESTION 4: What is the overall Project risk categorization?		
	Select one (see SESP for guidance)		**Comments**
	Low Risk	☐	
	Moderate Risk	**X**	**If the appropriate mitigation measures are put in place during the project, the project will have a low risk over the short to medium term impacts.**
	High Risk	☐	
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
	Check all that apply		**Comments**
	Principle 1: Human Rights	☐	The project has no impact on human rights.
	Principle 2: Gender Equality and Women's Empowerment	**X**	The project will provide improved climate resilient agricultural practices and water to female led households, that equate to approximately 22% of all households in Sri Lanka.
	1. Biodiversity Conservation and Natural Resource Management	**X**	The project is designed to reduce stress on agricultural environments, thus improving natural resource management. The water storages being rehabilitated will allow for the natural resources to be more sustainably utilised year round. The rehabilitation will also reduce the loss of soil during flood events. The water storage reservoirs also provide habitat for a number of species of

			indigenous birds, fish and amphibians and the catchment forests are often habitat for larger mammals such as deer, fishing cats and even Asian Elephant.
	2. Climate Change Mitigation and Adaptation	X	The project is designed to provide the community with irrigation technologies and clean drinking water. The rehabilitated irrigation scheme will provide water during drought periods and enhance flood protection, that have been exacerbated by climate change. Further, the provision of clean drinking water and rainwater harvesting will improve peoples' lives in that they will have potable water year round as well as having additional water needed for their survival. The additional water will reduce impacts on the environment by providing a valuable resource to maintain agriculture as well as biodiversity.
	3. Community Health, Safety and Working Conditions	X	The project has a positive benefit of increasing the communities' health and safety through improved potable water supply and therefore improving the longevity of peoples' lives and incomes, therefore providing valuable resources to both the environment and community. Increased water and food security will enhance community welfare and social cohesion.
	4. Cultural Heritage	☐	The project has no impact on cultural heritage.
	5. Displacement and Resettlement	☐	The project will have no issues of displacement or resettlement.
	6. Indigenous Peoples	☐	The project has no impact on indigenous peoples.
	7. Pollution Prevention and Resource Efficiency	☐	The project will not result in increased pollution

Final Sign Off

Signature	*Date*	*Description*
QA Assessor  Srilata Kammila, Regional Technical Specialist	March 18, 2016	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  Jorn Sorensen, Country Director, UNDP, Sri Lanka	March 18, 2016	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  Jorn Sorensen, Country Director, UNDP, Sri Lanka	March 24, 2016	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?	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	

[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.

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?	No
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? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No
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? *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.*	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	No

[2] In regards to CO_2, '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.]

	impacts of climate change?	
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)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	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?	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 – rehabilitation of existing infrastructure
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No – if engineering design meets international good practice
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	No

	heritage for commercial or other purposes?	
Standard 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
Standard 6: Indigenous Peoples		
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
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)? *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.*	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

[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.

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?	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? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*	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