

## Annex E: UNDP Social and Environmental Screening Template

The pre-screening of Social and Environmental risks was conducted during the PIF stage and the project was rated as Moderate Risk. However, the project preparation team, together with Government, and Country office, undertook thorough analysis of each of the issues that were rated as moderate at the time of pre-screening. This analysis concluded that by the project development time, the plausibility of those risks becoming moderate is low. In relation to the main risk regarding the potential economic displacement due to restricted access to land, the project developers, in partnership with local NGO, conducted series of discussions and a socio-economic assessment of traditional land use in the Borjomi-Kharagauli National Park. This study explores community attitudes toward the lands within the National Park and focus on economic impacts or potential concession agreements and other fee-based models which the Park Administration is considering. Focus group discussions and interviews with stakeholders (shepherds, livestock owners, community leaders, Municipality members, etc.) have been conducted and analyzed. While there is a firm belief amongst community members, and users of land inside the PA, that the land “belongs” to them, they are also aware that there is no legal basis for it, and to secure their rights, there have been discussions already (and ongoing) about land use concessions/long term leases between the PA administration and the community for a certain annual fee to be paid to the PA administration. Even though the results of the study are yet to be formally finalized, the above noted discussions suggest that the Moderate Risk can now be categorized as Low.

Additionally, while it was not possible to conduct full consultations with every PA which is projected to be involved in this project, CNF organized meetings for the Vashlovani PA administration and community members who also utilize lands inside the park for winter pasturing. Likewise, while no agreements have been signed, the majority of the land users agreed that the best way to legally secure their rights would be to sign long term leases. The detailed socio-economic study commissioned for Borjomi-Kharagauli National Park will highlight other mechanisms which will allow communities to maintain pasture lands and for the pasturing to be better regulated, monitored and managed so that both people and nature benefit. These suggestions and practices will be incorporated into the project. Stemming from above, no additional assessment was conducted before the project appraisal and the social and environmental risk level is rated as Low.

### Project Information

#### Project Information

1. Project Title	Enhancing financial sustainability of the Protected Area system in Georgia focusing on areas with globally important biodiversity
2. Project Number	PIMS 6138
3. Location (Global/Region/Country)	Georgia

### 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 upholds the following principles:

- **Accountability and the rule of law:** The project will not support activities that do not comply with national law and obligations under international law, whichever is the higher standard. The project will comply with established UNDP policies on monitoring, evaluation, audits, and transparency in project implementation. The legal context of the project is defined by the CPAP signed by the Government and UNDP, and all CPAP provisions apply to this document.
- **Participation and inclusion:** the project will engage multiple and diverse institutions, organizations and stakeholder groups at the national, regional and local levels as appropriate. Relevant responsibilities and expected roles of stakeholders in the project are summarized in the UNDP Project Document.
- **Strengthening of livelihood and existence:** The project envisions building upon conducted pilot activities on developing conflict resolution schemes as mechanism to elaborate consensus between PAs and communities related to possible consequences of strengthened protection on traditional natural resources use by communities.

Based on elaborated Tourism Development Strategies, the project will enhance community opportunities for alternative livelihoods from improved tourism opportunities in PAs. The sustainable strengthening of financial resources available to PAs, for operations as well as salaries, will ensure staff members to provide in their livelihoods, improve effectiveness of PA management, which ensures the sustainable existence of the natural environment and biodiversity to the benefit of both Georgia's as well as the global community.

- **Equality and non-discrimination:** In designing and carrying out project activities, the project does not discriminate on the grounds of 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. UNDP has ensured the meaningful, effective and informed participation of stakeholders in the formulation of the project, and will continue to do so in implementation, monitoring and evaluation.

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

Throughout its duration, the project will strive to maintain a gender balance by aiming for the equal representation of men and women in the project's seminars, workshops, training-of-trainers and other capacity building events, as well as integrated decision making processes, individually or through local women groups. Specifically, women shall be engaged in stakeholder consultations on mitigating possible conflicts between PAs and local communities, including the assessment of inequalities pertaining to gender that affect biodiversity, both positive and negative, taking stock of the linkages, use, access to and benefit-sharing of natural resources by men and women in local communities. This will help understand gender issues and their context better, which will be valuable inputs for PA administrations in determining potential initiatives to strengthen management effectiveness. Maintaining a gender balance also will form a focal direction as part of the (i) assessment of threats to and benefits from biodiversity and PAs; (ii) planned project activities to involve communities in monitoring planning and implementation, specifically also in targeted training and capacity building; and (iii) Tourism Development Strategies and their operational implementation, specifically the involvement in souvenir trade, guesthouse and other local business management.

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

The project specifically focuses on strengthening the financial sustainability of selected Target PAs within Georgia's PA network. By co-financing contributions to operational costs and by providing technical assistance, the project contributes to maintaining and enhancing Georgia's globally important natural capital, through promoting the sustainable management, protection, conservation, maintenance and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions in PAs.

Component 1 provides for sufficient recurrent and sustainable financial resources available for improved and expanded PA management. Component 2 specifically works to strengthen the enabling programmatic framework of PAs in planning, budgeting, procuring, auditing and reporting, through providing hands-on guidance and capacity building. Component 3 involves community awareness raising, outreach and monitoring and evaluation of the project, to ensure continual improvement. This includes cooperation and joint planning based on stakeholder involvement, targeted investments in alternative livelihoods, specifically tourism in PAs, biodiversity values & threats based assessment to strengthen PA management effectiveness, and better understanding and acceptance of the importance of PAs, their natural ecosystems and biodiversity in contributing to human livelihoods and welfare.

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

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b>	<b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b>			<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>
<i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses).</i>	<i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			
<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (low, Moderate, High)</b>	<b>Comments</b>	<b>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.</b>
1.3 Could the Project potentially restrict availability, quality of and access to resources	I = 2 P = 2	Low	By improving PA management effectiveness, illegal resources'	PAs already have the mandate to enforce the protection regime stipulated by law, but due to capacity and resources constraints this mandate is not yet fully operational. The

or basic services, in particular to marginalized individuals or groups?

use activities by individuals may become restricted.

project will enable additional resources to be made available for strengthening the designated tasks of PA staff, to enforce illegal access and/or natural resources use, which may affect the livelihood of individuals in communities surrounding the PA. At the same time, the project will proactively work with communities and PA authorities to strengthen capacities for mitigating conflicts and jointly develop alternative sources of income for the community members. For this, the project will primarily focus on strengthening involvement of community members in expanding ongoing and developing new tourism-related initiatives in the PAs, within the limits of ecological sustainability. Also the project will strengthen awareness and understanding on the needs to strengthen PA management, and on the benefits from improved PA management to the communities, including on maintaining important ecosystem services.

1.5 Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? I = 3  
P = 1

**Low**

The project allocates significant amounts of resources to capacity building (Component 2)

Capacity building has been a focal activity in past co-financial support provided through CNF to the Target PAs. Continuation of strengthening the capacity of all relevant stakeholders is a key component of the proposed project. The M&E framework includes regular assessment and evaluation of progress.

2.4 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 = 3  
P = 1

**Low**

By improving PA management effectiveness, illegal resources' use activities by individuals, male and female alike, may become restricted.

The project will proactively engage women in all stakeholder consultations and decision making, including on matters related to natural resources use and planning in support of alternative livelihood strategies, gender-balanced as appropriate according to traditional culture, to compensate for possible negative impacts from strengthening PA management.

3.1.2 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? I = 1  
P = 1

**Low**

The objective of the project is to ensure the sustainable existence and functioning of Target PAs in Georgia, as such all activities aim to avoid or minimize negative impacts, to strengthen the enabling environment for improved long-term conservation.

3.1.3 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) I = 2  
P = 2

**Low**

By improving PA management effectiveness, illegal resources' use activities by individuals, male and female alike, may become restricted.

The project will proactively work with communities to build awareness and understanding on the need for, and benefits to the communities from, strengthening PA management. At the same time, the project will actively engage communities in planning and implementing alternative livelihood strategies that compensate for possible negative impacts from strengthening PA management, specifically tourism related initiatives, within the limits of ecological sustainability.

3.1.11 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 = 2 P = 2	<b>Low</b>	Increasing revenues from tourism development may serve as a perverse incentive to strengthen tourism in PAs beyond the level of ecological sustainability.	While this risk is assessed low, based on APA’s established practice over the past years of increasing revenues from tourism in PAs while taking into account, and maintaining, their ecological integrity, through the project, specifically the planned Tourism Development Strategies, CNF will continue to closely engage with APA on developing such tourism initiatives that avoid negative impacts on ecosystems and biodiversity. Also the project will initiate piloting Payment for Ecosystem Services financial approaches to diversify income for PAs beyond tourism.
3.2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	I = 2 P = 2	<b>Low</b>	The potential impacts from climate change may negatively affect the outcome of improved PA management effectiveness, especially for flora and fauna diversity.	By supporting the expansion of CNF co-financing support to at least 12 Target PAs, the project is designed to lower the potential impact from climate change on the globally important biodiversity in Georgia. The planned improved monitoring of biodiversity values and threats will allow a more timely assessment of any ongoing changes, including related to climate change, and decision making on mitigation actions, including, as appropriate, changes of external boundaries or internal zoning.
3.5.2 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)?	I = 3 P = 1	<b>Low</b>	By improving PA management effectiveness, illegal resource use activities by individuals may become restricted.	PAs already have the mandate and take measures to enforce the protection regime stipulated by law, but due to capacity and resource constraints this mandate is not yet fully operational. The project will enable additional resources to be made available for strengthening the designated tasks of PA staff, to enforce illegal access and/or natural resources use, which may affect the livelihood of individuals in communities surrounding the PA. At the same time, the project will proactively work to strengthen capacities among PAs and communities to mitigate conflicts and build upon alternative sources of income for the community members, specifically from tourism.
3.5.4 Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	I = 3 P = 1	<b>Low</b>	Changes to internal PA zoning may affect agreed customary rights to natural resources use by community members.	Planning for changes to the internal zoning of PAs is not an active focus of the project. Strengthened monitoring of biodiversity and threats may however trigger discussions on optimizing access to natural resources currently agreed with communities. If such situation arises, the project will actively engage with PAs and affected communities to minimize possible impacts through promoting alternative livelihood opportunities. At the same time, the project will work to strengthen recognition of natural resources sourced from PAs, through certification, promotion and other appropriate measures that will increase benefits from such natural resources for both the PA and communities.

**QUESTION 4: What is the overall Project risk categorization?**

Select one (see [SESP](#) for guidance)

Comments

- Low Risk**
- Moderate Risk**
- 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**
- Principle 2: Gender Equality and Women's Empowerment**
- 1. Biodiversity Conservation and Natural Resource Management**
- 2. Climate Change Mitigation and Adaptation**
- 3. Community Health, Safety and Working Conditions**
- 4. Cultural Heritage**
- 5. Displacement and Resettlement**
- 6. Indigenous Peoples**
- 7. Pollution Prevention and Resource Efficiency**

The project will ensure that SES requirements related to sustainable management of resources are ensured. Any impacts from strengthening PA management on people having legal or customary rights to natural resources will be mitigated through their involvement in piloting alternative livelihood options, including tourism and increase of product value, using promotional sales, certification or other appropriate tools. The project recognizes its potential negative impact for people currently illegally using resources. Through awareness raising and involvement in alternative livelihood activities, specifically tourism, their sourcing of natural resources from PAs will be minimized.

The project will mitigate potential adverse impacts on livelihoods from strengthened PA management through active involvement with communities to maintain or enhance their livelihoods. Strengthened monitoring of biodiversity values and threats will gain progressive insights on extent and impact, and will be the basis for mitigation. Alternative livelihood opportunities will primarily pursue tourism related services in PAs, maintaining the PAs' ecological integrity and sustainability.

**Final Sign Off**

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor	6Jun2018	Nino Antadze, Team Leader, Energy and Environment Portfolio, UNDP Georgia
QA Approver	6Jun2018	Natia Natsvlshvili, Assistant RR/Head of Programme Unit, UNDP Georgia
PAC Chair	6Jun2018	Munkhtuya Altangerel, Deputy RR, UNDP Georgia

## SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
<b>Principles 1: Human Rights</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?	Yes
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?	Yes
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?	Yes
<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
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?	Yes
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?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	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.

1.7	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>	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? <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>	Yes
<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
<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.	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.]

	knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	
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)?	Yes
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?	Yes
<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
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	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 traditional livelihoods, 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	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?	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.