Social and Environmental Pre-Screening for PIF Stage

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](#) for guidance on how to answer the 6 questions.]

Project Information

Project Information	
1. Project Title	Managing together: Integrating community-centered, ecosystem-based approaches into forestry, agriculture and tourism sectors
2. Project Number	5804
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 focuses on strengthening protection of globally significant biodiversity through mainstreaming of conservation and sustainable practices into land use planning and sectoral decision making in forestry, agriculture and tourism sectors. This will include strengthening enabling policy, regulatory environment and institutions to identify and safeguard Ecologically Sensitive Areas (ESA) in Sri Lanka. The project will specifically focus its interventions in the north and north-central regions of the country covering seven districts in two provinces. Component 1 of the project will support the design of appropriate economic incentives to promote measures that conserve biological diversity while also improving community livelihoods. Within the newly classified ESAs, the project will help put in place a system of concessions and offsets that work for the advantage of private sector tourism operators and the state agencies engaged in conservation. Under component 2, the project will implement an integrated approach to sustainable NRM in the identified ESAs through demonstration of community-based NRM models to improve land productivity, sustainable land use practices and reverse land degradation, and associated loss of biodiversity. Component 3 of the project will implement strategies developed under component 1 to demonstrate biodiversity friendly tourism practices through public-private community partnerships in the ESAs and PA buffer zones of the target regions. Learning from international best practices, the project will work closely with local governments and community to support the implementation of community-based, locally adapted eco or agro tourism development with a strong focus on employment for youth and women. The project design will therefore, ensure a consultative process with the stakeholders at various levels (national government, provincial government, local community, private sector, etc.) to obtain views and inputs of a wide range of stakeholders leading to increased awareness of duty bearers to meet their obligations and right holders to claim their rights.
Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

There are high number of women headed households in the target region due to two main factors: first, the conflicts which raged for 30 years in the northern and eastern regions of the country and secondly, due to high incidence of unexplained kidney disease that claims lives of largely male farmers. Women in the region face multiple challenges and issues such as the lack of opportunity for income has marginalized women in these rural, forest peripheral villages. The districts are in the dry zone of the country and availability of water is compromised and seasonal droughts bring immense hardships to women who are tasked with household chores and also catering to livestock. Lack of water has deprived farmers of productive home gardens or agro-forestry.

Project preparation will ensure that gender consideration becomes an integral part of the proposed project strategy. This will include gender analysis of how the project plans to achieve its environmental objective by addressing the differences in the roles and needs of women and men. The project recognizes the vital role of women in biodiversity conservation and its sustainable use, and will ensure their full participation in the project design and implementation. The project will focus on women's assets, access to resources such as forest products (food, firewood, fodder, etc.) and income earning opportunities such as tourism homestays and agro-forestry. The project design related to institutional strengthening and capacity development will ensure to include both sexes and in addition, will target to diffuse the gender barriers by providing additional skills to both men and women. Both at the national and provincial level, the consultation sessions will be held to obtain views and inputs of a wide range of stakeholders (including district and local community) to develop robust stakeholder involvement plan with full gender considerations. The project will include gender disaggregated indicators in the strategic results framework and will establish gender disaggregated target and baseline as part of the project monitoring plan.

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

The project's key objective is to facilitate a transformative shift towards integrated, ecologically sensitive land and forest management by mainstreaming conservation concepts into key production sectors. This is expected to protect globally and nationally significant biodiversity, reduce resource conflicts and maintain ecosystem services. This will be delivered through a package of measures including: strengthened capacity for avoiding, mitigating and offsetting biodiversity loss, compliance monitoring and enforcement; an improved coordination and governance framework for better management of biodiversity; and implementation of sustainable forest and land management, and tourism sector practices in the north and north-central region. Component 3 of the project will demonstrate biodiversity friendly tourism practices through public-private-community partnerships in the ESAs and PA buffer zones of the target regions. The target region hosts more than 70% of Sri-Lanka's remaining forest cover and, studies in the last five years have indicated that many of the forests in the region are of high conservation value that harbours high proportion of threatened and endemic species. The project will result in conserving and elevating protection status of 457,038 Ha of biodiversity areas in the global biodiversity hotspots. The project will secure and protect 214,213 Ha of HCVFs/high carbon stock forests and under SLM-SFM practices. Overall, the project will assist the country in meetings its Aichi targets (Target 1, 2, 3, 7 & 11); national action program (NAP) to combat land degradation; and SDGs (Goal 1, 2, 14 & 15).

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).*	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: duty-bearers do not have the capacity to meet their obligations in the Project?	I=3 P=4	Moderate	There is lack of coordination for inter-sectoral planning at both national and local level. This barrier together with limited capacity within the instituion will constrain integrating biodiversity and ecosystem principles into their plans and policies.	The project design will undertake capacity assessment of key institutions such as the Agriculture, Tourism, Forestry including provincial and LG, and will accordingly design CD responses to manage the risk.
Risk 2: rights-holders do not have the capacity to claim their rights?	I=3 P=3	Moderate	The local community in the target landscape may be unable to claim their rights owing to low levels of literacy, education, poverty. This may constrain them from participating in the decision-making process in the project.	During the project preparation, measures will be undertaken to undertake inclusive consultation with local communities including socio-economic assessment in the target sites. Accordingly, the project will develop interventions that would effectively engage community in developing livelihood interventions.
Risk 3: The project would potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	I=3 P=3	Moderate	Women in the region face multiple challenges and issues such as the lack of opportunity for income has marginalized women in these rural, forest peripheral villages. This will have impacts on project activities related to gender-sensitive livelihood support.	The project will undertake mandatory gender analysis and develop gender action plan in addition to stakeholder engagement plan.
Risk 4: Project activities are proposed within or adjacent to critical habitats and/or	I=2 P=2	Low	Some project interventions will occur within and adjacent to protected areas/ESAs, and	

environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park).			critical habitats, but these are expected to benefit biodiversity.	
Risk 5: Does the Project involve harvesting of natural forests, plantation development, or reforestation?	I = 2 P = 2	Low	Risks related to forest restoration may be negligible, but potential risk of introduction of non-native species is possible if the activities are not adequately managed.	
Risk 6: the project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	I=2 P=2	Low	Genetic resources may be sourced from community forest, government reserved forest, etc. for commercial product development. There is a risk of unsustainable harvesting & use of genetic resources if not monitored properly.	
Risk 7: The potential outcomes of the Project will be sensitive or vulnerable to potential impacts of climate change?	I=3 P=2	Moderate	There could be potential climate change risks including precipitation and temperature changes that could have an impact on people's livelihoods as well as on ecological systems.	The project will integrate environmental and social risk analysis into its pilot interventions that will seek to address potential climate change impacts as well. This, combined with integration of forest management within the wider landscape will provide improved functional connectivity for species (both fauna and flora) to adapt to climate change. The removal of threats, pressures and stresses that impact the biodiversity of this region, will also ensure that ecosystems are more resilient to the impacts of climate change and therefore less vulnerable to its effects. Finally, site-level protected area managers, private sectors individuals and members of local communities will be trained to better understand the impacts of CC on biodiversity/ecosystems and to adopt conservation and management strategies for mitigating CC effects and enhancing resilience.
Risk 8: Agencies with different mandates and focus areas will find it difficult to adopt sector integrated multi-stakeholder landscape planning approaches and the project activities may not have the expected synergy.	I = 3 P = 4	Moderate	Landscape level biodiversity and ecosystem management is a relatively new concept for Sri Lanka. Currently there are no mechanisms by which the conservation needs can be managed and reconciled with priorities of other production	Mitigation strategy includes a highly consultative approach already adopted at project preparation stage. Already the design has taken into consideration views of multiple actors. PIF outcomes and outputs have been finalized after consultations with key agencies. During the design, resilience thinking will be applied to adapt to change and uncertainty from social, environmental, political transformations at the national and provincial levels.

			sectors and corresponding competing demands on lands.	In addition, design team will develop a plan to engage multiple stakeholders.

QUESTION 4: What is the overall Project risk categorization?		

Select one (see SESP for guidance)		Comments
Low Risk	☐	
Moderate Risk	☑	The project has been categorized under 'Moderate' risk mainly anticipating challenges in adopting sector integrated multi-stakeholder landscape planning approaches and the capacity of institutions in comprehending potential benefits of mainstreaming ecosystem based approaches in respective sectors. To respond to this risk, the project will: 1) adapt existing successful inter-agency models such as the inter-agency coordination committee established through the Environmentally Sensitive Areas (ESA) project; 2) capacity gaps within the stakeholder agencies will be identified and addressed in the project design so that they are comfortable with the concepts of the integrated approach; 3) consult wide range of stakeholders; 4) conduct comprehensive gender analysis and develop gender action, gender dis-aggregated indicators and baseline for the results framework and monitoring plan; 5) apply resilience thinking using tools such as Resilience, Adaptation, Pathways and Assessment (RAPTA) Framework.
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	☑	This relates to the capacity of duty bearers to meet their obligations and the right holders to claim their rights in the project interventions. The project design will need to ensure proper stakeholder consultations are coordinated with key stakeholders including local communities.
Principle 2: Gender Equality and Women's Empowerment	☑	This relates to the high number of women headed households in the target region, and they face multiple challenges and issues such as the lack of opportunity

			for income has marginalized women in these rural, forest peripheral villages. The project design has to undertake a thorough gender analysis to identify gender issues and devise gender responsive project interventions.
	Principle 3: Environmental sustainability		
	1. **Biodiversity Conservation and Natural Resource Management**	☑	
	2. **Climate Change Mitigation and Adaptation**	☑	This relates to potential climate change risks including precipitation and temperature changes that could have an impact on people's livelihoods as well as on ecological systems. The project design has to factor in the potential impacts of climate change so as to ensure resilience of the community as well as the ecosystem.
	3. **Community Health, Safety and Working Conditions**	☐	
	4. **Cultural Heritage**	☐	
	5. **Displacement and Resettlement**	☐	
	6. **Indigenous Peoples**	☐	
	7. **Pollution Prevention and Resource Efficiency**	☐	

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental <u>Risks</u>	
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?	Yes
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
9. 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?	Yes
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? *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*	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	No

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[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.

	For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes	
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)	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 the transfer, handling or use of genetically modified organisms/living modified organisms that result from modern biotechnology and that may have an adverse effect on biodiversity?	
1.7	Does the Project involve agricultural production or harvesting of natural forests, plantation development, or reforestation?	Yes
1.8	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.9	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
1.10	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	Yes
1.11	Would the Project generate potential adverse transboundary or global environmental concerns?	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant[2] greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? *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
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No

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[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.]

3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
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 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

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[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.

6.7	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
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