



Environmental and Social Management Systems Manual

This document is as approved by the REC Caucasus executive Body (Collegial Trio) and is set out at the end of the document.



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List of Abbreviations

Abbreviation	Full form
AF	Adaptation Fund
EC	European Commission
ESMS	Environmental & Social Management System
E&S	Environmental and Social
ESMP	Environmental and Social Management Plan
ESIA	Environmental and Social Impact Assessment
ESF	Environmental and Social Framework (World Bank)
ESS	Environmental and Social Standards (World Bank, ESS1–ESS10)
EMP	Environmental Management Plan
EMF	Environmental Management Framework
REC CAUCASUS	Regional Environmental Centre for the Caucasus
SEP	Stakeholder Engagement Plan
SEF	Stakeholder Engagement Framework
GRM	Grievance Redress Mechanism
RAP	Resettlement Action Plan
LRP	Livelihood Restoration Plan
IPP	Indigenous Peoples Plan
GAP	Gender Action Plan
BMP	Biodiversity Management Plan
FPIC	Free, Prior and Informed Consent
OHS	Occupational Health and Safety
H&S	Health and Safety
HSE	Health, Safety and Environment
PPE	Personal Protective Equipment
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
PCBs	Polychlorinated Biphenyls
UNEP	United Nations Environment Programme
UNDP	United Nations Development Programme
UNIDO	United Nations Industrial Development Organization
FAO	Food and Agriculture Organization of the United Nations
GEF	Global Environment Facility
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (German Development Agency)
KfW	Kreditanstalt für Wiederaufbau (German Development Bank)
OSCE	Organization for Security and Co-operation in Europe
USAID	United States Agency for International Development
VGGT	Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests (FAO)
WB	World Bank
WASH	Water, Sanitation and Hygiene
MEPA	Ministry of Environmental Protection and Agriculture (of Georgia)
EU	European Union

1. Introduction to the Environmental and Social Safeguards

The Regional Environmental Centre for the Caucasus (REC Caucasus) is an independent, non-profit organization established to address environmental issues and promote civil society development in the South Caucasus countries.

REC Caucasus was founded as part of the 'Environment for Europe Process,' following the decision made at the Sofia Ministerial Conference in 1995. Its Charter was signed in September 1999 by the governments of Azerbaijan, Armenia, Georgia, and the European Union. REC Caucasus was officially registered as an independent, non-profit, non-advocacy foundation in Tbilisi, Georgia, in March 2000.

Throughout its history, REC Caucasus has received support from various multilateral and bilateral donor organizations. Initially, support came from entities such as the European Commission (EC), UNEP, FAO, UNIDO, UNDP, Global Environment Facility (GEF), Government of Germany (GIZ/KfW), Government of the Netherlands, Government of Norway, Eurasian Partnership Foundation, Organization for Security and Co-operation in Europe (OSCE), United States Agency for International Development (USAID), and the Principality of Liechtenstein, among others.

While REC Caucasus's projects are expected to have overall positive environmental and social impacts, there are potential risks and adverse effects that could affect local communities or the environment if not managed properly.

The current Manual for Environmental and Social Management System (ESMS) has been developed to assess and manage these risks and impacts in accordance with international standards, best practices, and Georgian legislation. In particular, this 2025 revised edition aligns REC Caucasus's procedures internationally recognized environmental and social safeguard standards and good practice applied by major climate and development finance institutions, as well as relevant Georgian legislation.

This manual outlines procedures to ensure that environmental and social topics are systematically addressed and managed throughout REC Caucasus's activities. It defines the responsibilities, tools, and processes for assessing, managing, and monitoring environmental and social risks and impacts associated with projects implemented by REC Caucasus across their entire lifecycle.

2. ESMS Implementation Responsibilities

REC Caucasus, as well as its contractors and grantees, are responsible for assessing and managing the project's direct and indirect impacts caused by activities that are supported by the projects implemented by REC Caucasus. This includes impacts (positive and negative) caused by activities or actors that are financially or technically supported by the project, even when these activities or actors fall outside of the mandate of REC Caucasus.

The responsibility of REC Caucasus is to ensure that environmental and social risks and impacts associated with projects are identified, assessed, and effectively managed throughout the project lifecycle. This includes implementing mitigation measures, monitoring impacts, and reporting on performance.

The responsibility of REC Caucasus's contractors and grantees is to comply with the environmental and social requirements outlined by REC Caucasus, including conducting assessments, implementing approved management plans, and promptly reporting any issues or incidents related to environmental and social impacts.

Contractual documents shall incorporate these obligations, making adherence to REC Caucasus 's safeguard standards a binding requirement for all implementing partners.

REC Caucasus designates an ESMS Focal Point within the Environmental and Social Safeguards function to provide institutional-level oversight of ESMS implementation. The ESMS Focal Point is responsible for review and clearance of screening outputs and risk categorization, quality assurance and approval of required safeguard instruments (e.g., ESMP/ESIA and supplementary plans where applicable), consolidation of quarterly E&S reporting inputs, and preparation of the annual ESMS implementation synthesis report. The ESMS Focal Point reports to the Executive Director and coordinates, as appropriate, with Internal Audit to support institutional learning and continuous improvement.

3. E&S Operational Requirements for All REC Caucasus Projects

REC Caucasus has established the following E&S operational requirements to be applied to every project it implements or funds, regardless of size or scope:

- Screen all projects against the Exclusion List;
- Screen all projects for potential E&S risks and impacts or benefits prior to implementation;
- Conduct an E&S assessment (Category B and B+ projects) and develop a Project ESMP to define adequate management measures to avoid or mitigate potential negative environmental and social impacts and enhance potential benefits;
- Request contractors/grantees to comply with national and international environmental, social, health and safety regulations applicable to the contracts/projects;
- Work together with grantees via individual follow-ups to get them to consider project-related E&S management risks in each project and, if such risks are identified, ensure that they are adequately addressed during the lifecycle of the project;
- Implement and maintain their approved Project ESMP and associated Safeguard Instruments throughout project implementation;
- Plan, implement and document stakeholder engagement activities as an ongoing process for all projects (i.e. develop a Stakeholder Engagement Plan and maintain a Stakeholder Register);
- Implement a formalized process to capture and manage project-related complaints from communities, workers, and other stakeholders (i.e. a Grievance Mechanism and Grievance Register);
- Communicate REC Caucasus E&S principles to external stakeholders.

4. Exclusion List

REC Caucasus will not be involved in any activities that cause intentional degradation of the natural environment and the production or trade in any product or activity deemed illegal under Georgian legislation or international conventions and agreements, or subject to international bans. REC Caucasus will not be involved in any sector or any service subject to sanctions by Georgia, the UN, or the European Union.

Table 1. REC Caucasus *Exclusion Checklist*

Item Checked	
Any operation leading to or requiring the destruction of critical habitat or any forestry project which does not implement a plan for improvement and sustainable management.	<input type="checkbox"/>
Any activity which could be associated with the significant impairment of areas particularly worthy of protection (without adequate compensation in accordance with international standards).	<input type="checkbox"/>
Trade in animals, plants or any natural products not complying with the provisions of the Convention on International Trade in Endangered Species (CITES).	<input type="checkbox"/>
Destructive fishing methods.	<input type="checkbox"/>
Commercial logging operations.	<input type="checkbox"/>
Production or trade in wood or other forestry products other than from sustainably managed forests.	<input type="checkbox"/>
Activities involving harmful or exploitative forms of forced labour or harmful child labour.	<input type="checkbox"/>
Projects that include involuntary physical displacement and/or forced eviction.	<input type="checkbox"/>
Production or activities that impinge on the lands owned, or claimed under adjudication, by local communities, without full documented consent of such peoples.	<input type="checkbox"/>
Production, use, sale or trade of pharmaceuticals, pesticides/herbicides, ozone layer depleting substances, and other toxic or dangerous materials such as asbestos or products containing Polychlorinated Biphenyls (PCBs), wildlife or products regulated under CITES, including all products that are banned or are being progressively phased out internationally.	<input type="checkbox"/>
Production or trade in unbound asbestos. (This does not apply to the purchase or use of cement linings with bound asbestos and an asbestos content of less than 20%).	<input type="checkbox"/>
Production, trade, storage, or transport of significant volumes of hazardous chemicals, or commercial scale usage of hazardous chemicals (e.g., gasoline, kerosene, petroleum products).	<input type="checkbox"/>
Transboundary trade in wastes, except for those accepted by the Basel Convention and its underlying regulations.	<input type="checkbox"/>
Any activity leading to an irreversible modification or significant displacement of an element of culturally critical heritage.	<input type="checkbox"/>

5. E&S Standards and Requirements

5.1 National Standards

REC Caucasus will implement all projects in full compliance with the national legislation, including laws, regulations, and standards governing environmental management, social protection, and preservation of cultural heritage of the country. The legal, legislative and institutional framework for health and environment in Georgia is founded on the Constitution of Georgia, which stipulates the right to a healthy environment and the duty of all, in line with the law, to protect and enhance the environment. Health and environment are also supported by many governmental strategies and international agreements.

The following national acts and regulations under them are applicable to all projects implemented by REC Caucasus and this be acted by REC Caucasus’s contractors and grantees respectively:

- Environmental Protection (1996);
- Environmental Assessment Code (2017);
- Waste Management Code (2015);

- Law on Import, Export and Movement of Waste (1995);
- Law on Ambient Air Protection (1999);
- Law on Water Resource Management (2023);
- Law on Protection of Soil (1994);
- Law of Georgia on Red List and Red Book (2003);
- Law on System of Protected Areas (1996);
- Law on Environmental Liability (2021);
- Law on Wildlife (1996);
- Forest Code (2020);
- Law of Georgia on Cultural Heritage (2007);
- Labor Code (2010);
- Law of Georgia on Labor Safety (2019).

5.2 International Standards

In addition to national laws, REC Caucasus is committed to meet relevant international environmental and social safeguard standards and good practices. The following international standards and guidelines will be considered during project preparation and implementation:

- GEF (Global Environment Facility) Policy on Environmental and Social Safeguards (2018), including Minimum Standards 1–9.
- GEF Guidelines on the Implementation of the Policy on Environmental and Social Safeguards (2019).
- UNEP Environmental, Social and Sustainability Framework (2020), including Safeguard Standards 1-8.
- UNDP Social and Environmental Standards (2021).
- World Bank Environmental and Social Framework (2017), including Environmental and Social Standards 1-10.
- FAO Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (VGGT, 2012).
- 5.3 Operationalizing International Standards through REC Caucasus’s E&S Safeguard Principles

REC Caucasus has adopted 15 Environmental and Social Safeguarding Principles and associated requirements in order to make the international Standards and Guidelines relevant and practical for projects implemented by REC Caucasus. Depending on the nature, scale, and context of a project, not all principles may be applicable in every case; however, their relevance shall be assessed during screening and applied proportionately where triggered. REC Caucasus will apply the following principles in the preparation and implementation of the projects:

Table 2. REC Caucasus Safeguarding Principles

No.	REC Caucasus Safeguarding Principle
P1 - Compliance with the Law	Ensure that all REC Caucasus activities and partner operations comply with applicable national legislation, international treaties, and institutional obligations.
P2- Access and Equity	Guarantee fair, inclusive, and non-discriminatory access to project benefits and decision-making processes. Prevent exclusion or disproportionate impacts on any group.
P3 - Marginalized and Vulnerable Groups	Identify vulnerable or marginalized populations and ensure that their rights, needs, and capacities are fully recognized and supported in project design and implementation.

P4 - Human Rights	Respect, protect, and promote internationally recognized human rights in all REC Caucasus operations and partner activities.
P5 - Gender Equity and Women's Empowerment	Ensure equal participation and benefit for women and men; and ensure they (a) are ensured full and equal participation; (b) receive comparable social and economic benefits; (c) are not subjected to disproportionate negative effects throughout the development process.
P6 - Core Labor Rights	Uphold the International Labor Organization (ILO) core labor standards, including freedom of association, collective bargaining, elimination of forced and child labor, non-discrimination, and equal remuneration and respective Georgian legislation.
P7 - Indigenous Peoples	<p>REC Caucasus shall not be engaged in projects/programmes that are inconsistent with the rights and responsibilities outlined in the UN Declaration on the Rights of Indigenous Peoples, applying Free, Prior and Informed Consent (FPIC) where relevant.</p> <p>REC Caucasus will assess whether project activities may affect Indigenous Peoples or distinct ethnic minority groups with collective attachment to land and/or specific cultural rights. Where such circumstances are identified, REC Caucasus will apply culturally appropriate engagement and, where required by applicable standards, Free, Prior and Informed Consent (FPIC).</p>
P8 - Involuntary Resettlement	Avoid or minimize physical and economic displacement. Where unavoidable, provide fair compensation, livelihood restoration, and effective stakeholder consultation.
P9 - Protection of Natural Habitats	<p>REC Caucasus shall not implement the projects that involve unjustified conversion or degradation of critical natural habitats, including:</p> <ul style="list-style-type: none"> (a) legally protected (b) officially proposed for protection (c) identified by credible sources as high-value, including critical habitat (d) acknowledged as protected by traditional or indigenous local communities.
P10 - Conservation of Biological Diversity	Prevent significant adverse impacts on biodiversity or the introduction of known invasive species.
P11 - Climate Change	REC Caucasus's projects/programs shall avoid any significant or unjustified increase in greenhouse gas emissions or other contributors to climate change.
P12 - Pollution Prevention and Resource Efficiency	Prevent or minimize pollution and waste generation; promote efficient use of energy, water, raw materials and other resources in line with applicable international standards.
P13 - Public Health	REC Caucasus's projects/programs should be planned and executed to minimize any potentially significant negative impacts on public health.
P14 - Physical and Cultural Heritage	Projects implemented by REC Caucasus shall be designed to avoid damage, alteration, or removal of physical and cultural resources, including sites of unique natural value recognized at

	the community, national, or international level, and shall not permanently restrict access to or use of these resources.
P15 - Lands and Soil Conservation	Projects/programs implemented by REC Caucasus shall be designed to promote soil conservation and avoid degradation or conversion of productive lands or lands providing valuable ecosystem services.

6. E&S Risk Management Process Within REC Caucasus

A key tenet of REC Caucasus's E&S risk management process is the incorporation of environmental and social concerns, including input from stakeholders, as an intrinsic part of project cycle management. Each phase of the project life cycle provides opportunities to integrate E&S requirements and achieve good performance.

REC Caucasus's process consists of three main steps or phases:

Step 1: E&S Screening. In the earliest stage of project preparation, REC Caucasus conducts an environmental and social screening of each proposed project. This is typically a desk review of the project concept or grant application. The screening identifies the potential environmental and social risks and impacts, determines the project's risk **category** (see Section 7), and indicates what type of further environmental and social assessment (if any) will be required. It also identifies the likely safeguard instruments or plans that may be needed (e.g. ESMP, specialized plans) and confirms that the project does not involve any activities on the Exclusion List.

Screening shall also identify relevant climate-related hazards and vulnerabilities (e.g., floods, landslides, erosion, heatwaves, extreme cold, or water scarcity) that may affect the project area, project design, and affected communities, and shall ensure that mitigation and management measures are climate-informed.

REC Caucasus does not participate in the preparation or implementation of Category A (high risk) projects, any proposal with potentially significant, irreversible and widespread adverse impacts is rejected at screening. In addition, screening includes a check of the project against each of the 15 safeguard principles listed in Section 5.3, any potential triggers of these principles are noted for follow-up.

Step 2: Development of E&S Safeguard Instruments. For projects that proceed beyond screening, the next phase is to develop the necessary safeguard plans and instruments as identified. This may include conducting detailed environmental and social impact assessments (for higher-risk Category B projects), preparing an Environmental and Social Management Plan (ESMP) with site-specific mitigation measures, and formulating any required specialized plans or procedures.

Safeguard instruments could involve additional socio-economic surveys, baseline studies, or feasibility analyses to refine mitigation measures. REC Caucasus ensures that all required plans (e.g. a Pest Management Plan, Resettlement Action Plan, Indigenous Peoples Plan, or Biodiversity Action Plan, etc., if applicable) are developed in accordance with international standards and in consultation with stakeholders. In some cases, procedures such as FPIC with communities, or other community engagement protocols, will be followed as part of developing these instruments.

Step 3: E&S Implementation, Monitoring and Evaluation. Once the project begins implementation, all the safeguard instruments and plans are put into action. REC Caucasus integrates the ESMP and other mitigation measures into the project's work plans and contracts. During project execution, REC Caucasus conducts ongoing **monitoring** (see Section 10) to track the implementation of mitigation measures and the project's environmental and social performance.

Any non-compliance or unforeseen issue is identified and corrected through adaptive management. This phase also includes periodic reporting on E&S performance (Section 12) and, ultimately, evaluation of the project's E&S outcomes. Lessons learned through monitoring and evaluation feed back into REC Caucasus's processes to continually improve the ESMS.

7. Project Screening

Environmental and Social screening shall be conducted for all projects to be implemented by REC Caucasus at the preparation stage in accordance with donor E&S policies and standards.

All projects shall (pilot and demo-projects, as well as grant proposals submitted to REC Caucasus) undergo an E&S screening to determine the project risk category, to identify the potential risks and impacts associated with the planned sub-project, to identify if an E&S assessment is required and if so, what type of assessment.

Screening reports provide information on the main risks and types of mitigation measures to be applied. Environmental screening report concludes by confirmation or denial of subproject eligibility from environmental standpoint and assigning of an environmental category to a sub-project. It also defines tools of environmental review and environmental management planning required for a subproject. Social screening report defines whether a subproject implies any form of involuntary resettlement, points out main social benefits and losses of subproject and identifies measures for social mitigation.

The following type of investments are prohibited: activities impacting fragile ecosystems, important habitats, and green-fields of outstanding aesthetic value; activities requiring conversion of forests, wetlands, and alpine/sub-alpine meadows; and heavily polluting industries. REC Caucasus will verify that the sub-project or grant proposal does not meet any criteria that would place it on REC Caucasus Exclusion List.

Based on the findings of environmental and social screening, REC Caucasus assigns a risk category to each project in accordance with the potential significance and scale of identified impacts. The assigned category determines the scope of environmental and social assessment and the type of safeguard instruments to be applied.

Category A (High Risk): Projects that are likely to have significant adverse environmental and social impacts that are diverse, irreversible, or unprecedented in nature. Such impacts may extend beyond the immediate project area and require complex mitigation measures that go beyond standard practice. REC Caucasus does not participate in the preparation or implementation of Category A projects, which have potentially significant adverse environmental and social impacts. Any proposal identified under this category is declined at screening, in line with REC Caucasus policy and institutional capacity.

Category B+ (Substantial Risk): Projects with substantial potential impacts that may be broader in scale or severity than those of Category B, but less extensive than Category A. These projects require a detailed environmental and social assessment (e.g. Environmental and Social Impact Assessment) and preparation of a comprehensive Environmental and Social Management Plan (ESMP).

Category B (Moderate Risk): Projects with potential adverse environmental or social impacts that are site-specific, limited in scope, and largely reversible. Such impacts can be effectively mitigated through standard measures. A simplified assessment or ESMP is required for Category B projects.

Category C (Low Risk): Projects expected to have minimal or no adverse environmental or social impacts. No specific environmental or social management plan is required beyond adherence to general good practice and environmental diligence.

Table 3 below provides a summary of these risk rating definitions for reference.

Table 3. REC Caucasus Project Risk Rating Categories

Risk Category	Definition
Category A (High)	High risk. Projects with potentially significant, diverse, irreversible adverse E&S impacts. Impacts may extend beyond the project site and require complex, extensive mitigation. (REC Caucasus does not finance Category A projects.)
Category B+ (Substantial)	Substantial risk. Projects with some higher-risk impacts in specific areas, or broader-scale moderate impacts. Impacts are not as unprecedented as Category A but require careful assessment and robust mitigation (e.g. ESIA and comprehensive ESMP).
Category B (Moderate)	Moderate risk. Projects with limited adverse impacts that are generally site-specific and reversible. Impacts can be managed with standard mitigation measures (addressed via a basic ESMP or checklist).
Category C (Low)	Low risk. Projects with no or negligible adverse environmental or social impacts. No specific safeguard instrument needed aside from adherence to good practice and legal compliance.

After project categorization REC Caucasus will decide what kind of E&S documents should be developed for this particular sub-project.

When screening, REC Caucasus will also aim to understand what the national legislation requires in relation to E&S assessment. If the sub-project is subject to the environmental screening according to the Environmental Assessment Code of Georgia, REC Caucasus will conduct screening according to the Georgian Legislation and will submit required documents for screening decision to the Ministry of Environment Protection and Agriculture. The sub-project will be implemented in accordance with the terms of screening decision.

For social screening in particular, REC Caucasus determines whether the project implies any form of involuntary resettlement, identifies main social benefits and any potential social risks, and suggests initial measures for social risk mitigation.

If the screening identifies certain issues corresponding to the safeguard principles (Section 5.3), it will be noted and flagged so that the subsequent assessment (Section 8) can focus on those aspects.

The output of the screening is a Screening Report and a risk categorization, which together inform the decision to either proceed with project development (with appropriate assessment plans) or to halt/modify the project if risks are too high or exclusions are triggered. A project will only move to the next stage if it passes the screening criteria (eligible and manageable risk).

8. Environmental and Social Assessment and Management Planning

This approach is aligned with internationally recognized environmental and social standards applied by major climate and development finance institutions.

Based on the outcomes of environmental and social screening, subprojects (sub-contracts) classified as Category B+ or B (Substantial or Moderate risk) shall undergo an appropriate level of environmental and social assessment proportionate to the nature and scale of their anticipated impacts. The objective of the assessment is to validate and expand upon the initial screening findings, identify specific risks and impacts, and formulate fit-for-purpose mitigation and monitoring measures.

For Category B+ subprojects (Substantial risk), REC Caucasus shall require the preparation of an Environmental and Social Impact Assessment (ESIA) or equivalent study. This process involves a structured and site-specific analysis of potential environmental and social impacts, including direct, indirect, and cumulative effects. Where relevant, specialized technical assessments (e.g. biodiversity surveys, socioeconomic baselines) may be undertaken to inform the analysis. The findings of the assessment shall guide the formulation of tailored mitigation strategies and define monitoring requirements.

For Category B subprojects (Moderate risk), where potential impacts are expected to be limited in scope, reversible, and readily mitigable, a streamlined approach may be adopted. In such cases, REC Caucasus shall apply instruments such as an Environmental and Social Management Checklist or simplified Environmental and Social Management Plan (ESMP). The Checklist captures key project parameters, including location, legal and institutional context, physical and ecological sensitivities, and proposed activities. It includes a standardized suite of mitigation measures for common impacts, which are to be refined in accordance with site-specific conditions.

All Category B+ and B subprojects shall be supported by an ESMP or equivalent instrument, detailing the measures to avoid, minimize, or mitigate identified impacts. The ESMP shall be presented in tabular format and shall include: specific risks and impacts, corresponding mitigation measures, monitoring indicators, implementing entities, timelines, and indicative costs. The ESMP shall address both the construction and operational phases of the subproject.

In instances where screening or assessment indicates that particular safeguard principles are triggered, the following supplementary instruments may be required:

- A Resettlement Action Plan (RAP) or Livelihood Restoration Plan, where land acquisition or restrictions on land use lead to physical or economic displacement;
- An Indigenous Peoples Plan (IPP) or culturally appropriate community engagement protocol, where subprojects affect indigenous peoples or vulnerable ethnic minority groups;
- A Gender Action Plan (GAP), where gender-based risks or inequalities are identified;
- A Biodiversity Management Plan (BMP), where subprojects may affect critical habitats, natural ecosystems, or endangered species.

Such instruments shall be annexed to the ESMP and developed in accordance with relevant REC Caucasus policies and the applicable Environmental and Social standards of respective donors. Preparation of these instruments shall be informed by expert input and inclusive stakeholder consultation.

The safeguard documentation shall be subject to review and clearance by REC Caucasus's Environmental and Social Safeguards function and, where applicable, by the financing entity. No subproject shall proceed to implementation prior to the formal approval and public disclosure of all required environmental and social instruments. Disclosure shall be undertaken in an appropriate format and language, and in a manner accessible to affected stakeholders. All mitigation and monitoring requirements shall be reflected in the subproject's implementation arrangements, including budgeting and contractual obligations of executing entities and contractors.

9. Public Consultation and Stakeholder Engagement in Risk Management

REC Caucasus recognizes that transparent, inclusive, and meaningful stakeholder engagement is essential to effective environmental and social risk management. Engagement with stakeholders, particularly project-affected persons and vulnerable groups, is a core

element of REC Caucasus's Environmental and Social Management System (ESMS) and is embedded throughout the project cycle, from early identification through implementation and closure.

In accordance with REC Caucasus's Stakeholder Engagement Framework (SEF), all REC Caucasus-supported projects shall develop and implement a Stakeholder Engagement Plan (SEP) proportionate to the project's environmental and social risks and impacts. The SEP outlines the strategies, methods, and timing for engaging different stakeholder groups, with particular attention to those most likely to be affected or excluded. This includes proactive measures to ensure participation by women, persons with disabilities, ethnic minorities, displaced populations, and other marginalized groups.

Stakeholder engagement shall be conducted in a culturally appropriate, gender-sensitive, and conflict-sensitive manner. Consultation activities shall be free of coercion or intimidation and designed to promote two-way communication. REC Caucasus shall ensure that women and men have equal opportunities to participate in all stages of consultation and decision-making, and that engagement processes are responsive to the needs of marginalized and vulnerable groups. Stakeholders shall be provided with timely, understandable, and accessible information about the project, its risks and benefits, and their rights, especially in relation to environmental and social safeguards and the availability of the Grievance Redress Mechanism (GRM).

Consultations must be documented, with meeting minutes, participant lists, and photographic records (as appropriate). The documentation shall include the issues raised, responses provided, and any follow-up actions agreed. Where needed, consultations shall be held separately with different stakeholder groups to ensure safe and equitable participation.

Stakeholder engagement is an ongoing process, not a one-time event. Consultations must be conducted at multiple stages of the project, including:

- During environmental and social screening and scoping.
- During preparation of safeguard instruments (e.g., ESIA, ESMP).
- During implementation, to monitor community feedback and identify emerging risks.
- At project closure to capture lessons learned and ensure sustainability.
-

All stakeholder engagement activities shall be monitored and evaluated. The effectiveness of engagement, including grievance uptake, resolution responsiveness, and stakeholder satisfaction, shall inform updates to the SEP, ESMP, and broader project design. Findings shall be included in regular safeguard monitoring reports submitted to REC Caucasus management and donors.

10. Environmental and Social Monitoring

Environmental and social monitoring constitutes an integral part of REC Caucasus's overall supervision of subproject implementation. Its objective is to verify compliance with applicable safeguard requirements, identify gaps or emerging risks, and ensure that mitigation measures specified in the ESMP and related instruments are being applied effectively and in a timely manner. Monitoring shall cover both environmental and social aspects, in accordance with REC Caucasus's commitment to integrated risk management.

On-Site Supervision

During subproject implementation, REC Caucasus, through its Environmental and Social Safeguards Specialists or assigned project staff, shall undertake periodic site visits to monitor the status of ESMP implementation. These field missions shall assess adherence to mitigation measures, including those related to pollution prevention, occupational health and safety,

waste management, and protection of adjacent communities and sensitive receptors. Any instances of non-compliance or deviation from approved safeguard instruments shall be documented and communicated to the responsible entity, together with specific corrective measures and implementation timelines. Follow-up visits shall be conducted as required to verify resolution.

Monitoring of Social Commitments

Social monitoring shall be conducted in parallel with environmental supervision and shall assess the implementation of social risk mitigation measures, including stakeholder engagement commitments, grievance redress procedures, and, where applicable, any site-specific social instruments such as Livelihood Restoration Plans, Resettlement Action Plans, or Gender Action Plans. REC Caucasus shall verify, inter alia, whether community consultations are taking place as planned, whether grievances are being registered and addressed, and whether social benefits are reaching intended beneficiaries. Monitoring teams may, where appropriate, engage directly with local stakeholders to solicit feedback on perceived project impacts and safeguard performance.

Documentation and Reporting

All monitoring activities shall be documented using REC Caucasus's standard Field Monitoring Checklist, which records compliance with each mitigation measure outlined in the ESMP. Supporting materials, such as photographs, participant records, and summary notes, shall be annexed as applicable. Monitoring results shall be incorporated into the subproject's regular progress reports and retained in project archives in accordance with REC Caucasus's documentation standards.

Adaptive Management

Where monitoring reveals gaps in safeguard implementation, ineffective mitigation, or previously unanticipated risks, REC Caucasus shall instruct the executing entity to revise or strengthen the ESMP accordingly. Adjustments may include modification of existing measures, addition of supplementary controls, or activation of emergency response procedures (e.g., chance find protocols for cultural heritage). Such changes shall be formally recorded and disclosed in line with safeguard requirements, and their implementation shall be monitored as part of subsequent supervision.

Responsibilities

Day-to-day monitoring responsibilities may be delegated to subproject implementers (e.g. contractors, grantees), subject to REC Caucasus's oversight. Contractors shall designate qualified personnel (e.g. Health, Safety, and Environment officers) to monitor safeguard compliance and report incidents or non-compliance. REC Caucasus retains ultimate responsibility for oversight and shall periodically review contractor reports and conduct independent verification. Where appropriate, REC Caucasus may establish participatory monitoring mechanisms that involve local stakeholders in observing and reporting on safeguard implementation.

Monitoring Frequency

The frequency and intensity of monitoring shall be proportionate to the subproject's risk classification. Category B+ (Substantial risk) subprojects, or those involving sensitive issues (such as land acquisition or impacts on vulnerable groups), shall be monitored more frequently, typically on a monthly or quarterly basis. Category B (Moderate risk) subprojects may be subject to semi-annual or milestone-based reviews. At a minimum, each subproject shall be

visited at key stages of implementation and at mid-term. Quarterly monitoring reports shall be prepared for all active subprojects, consolidating findings from site visits, document reviews, and stakeholder consultations.

11. Grievance Redress Mechanism (GRM)

During the implementation of REC Caucasus-supported subprojects, concerns may arise in relation to environmental or social impacts, stakeholder engagement, or the fulfillment of project commitments. To address such concerns in a timely, transparent, and fair manner, the REC Caucasus has established a formal Grievance Redress Mechanism (GRM), which forms an integral component of its Environmental and Social Management System (ESMS). The mechanism is designed to ensure that affected individuals, communities, workers, or other interested stakeholders may submit grievances safely and without fear of reprisal.

The GRM provides a structured and accessible process for lodging, reviewing, and resolving complaints arising from REC Caucasus-financed operations. It is applicable to all REC Caucasus-supported projects and is implemented in accordance with REC Caucasus's institutional GRM Policy (2026), which incorporates relevant international standards and donor requirements.

11.1 Scope and Accessibility

The GRM accommodates grievances relating to both environmental and social aspects of project implementation, including but not limited to: construction nuisances, community health and safety risks, access restrictions or livelihood impacts, procedural omissions (e.g. inadequate consultation or disclosure), and discriminatory or exclusionary practices.

All stakeholders, whether directly affected parties, community members, project workers, or other interested entities, may submit grievances through multiple accessible channels, such as:

- Verbal or written submission to designated project or REC Caucasus office staff;
- Telephone, SMS, or messaging applications (e.g. WhatsApp);
- Official REC Caucasus grievance email address or web-based submission form;
- Postal mail or hand-delivered letters;
- Physical suggestion boxes placed at project sites.

Grievances may be submitted anonymously, through a representative, or in the complainant's preferred language. REC Caucasus ensures that all submissions are treated confidentially, and that complainants shall not be subject to intimidation, coercion, or retaliation under any circumstances.

11.2 Roles and Responsibilities

Each project shall designate a local GRM Focal Point responsible for receiving and documenting grievances at the field level. REC Caucasus maintains an institutional GRM Focal Point within the Development Management Unit, designated as the Communications and Stakeholder Engagement Officer, tasked with overall oversight, quality control, and resolution of complex or sensitive cases. When required, ad hoc Grievance Review Committee composed of relevant technical staff and management may be convened to review and decide on complex submissions.

11.3 Grievance Resolution Process

The GRM process comprises the following key steps:

Registration and Acknowledgment - Upon receipt, the grievance is entered into a formal Grievance Register. An acknowledgment of receipt is issued within five (5) working days, indicating the case reference number, assigned handler, and expected timelines for review.

Anonymous grievances, while not acknowledged individually, are registered and processed as feasible.

Screening and Eligibility - The GRM Focal Point assesses whether the grievance falls within the scope of REC Caucasus's operations and the GRM Policy. Inadmissible grievances (e.g. unrelated to project activities) are recorded and, where applicable, redirected to appropriate institutions with notice to the complainant.

Assessment and Resolution - For admissible cases, a preliminary assessment is undertaken to determine the nature and severity of the issue. This may include site inspections, consultation with involved parties, and review of project documentation. Minor issues may be resolved directly at the project level; more complex matters are escalated to the ED. Proposed solutions shall be communicated to the complainant and, upon agreement, implemented. The standard resolution timeframe ranges from fifteen (15) to thirty (30) working days, depending on complexity.

Implementation and Closure - Agreed corrective actions are tracked and verified before the grievance is closed. Complainants are informed of the closure and may confirm whether the resolution is satisfactory. Where requested, a summary of actions taken is provided.

Appeal - If the complainant is not satisfied with the resolution, they may file an appeal. Appeals are reviewed by senior management or, where appropriate, an external reviewer. Mediation or facilitated dialogue may be offered as part of the appeal process.

Throughout the grievance process, REC Caucasus upholds principles of impartiality, procedural fairness, and confidentiality. Those responsible for investigating grievances must not have conflicts of interest in the matter at hand.

11.4 Monitoring, Reporting, and Institutional Learning

All grievances are recorded in REC Caucasus's institutional Grievance Register, which is maintained electronically and secured in accordance with data protection standards. The Register captures details such as the date of submission, nature of complaint, parties involved, resolution measures, and processing timelines.

Grievance data is reviewed regularly by REC Caucasus's safeguard personnel and is incorporated into routine project monitoring reports. Summarized, anonymized grievance statistics may be included in public reports and shared with donors in accordance with their reporting requirements. Grievance trends and recurring issues are analyzed periodically to identify potential systemic risks or gaps in project design and implementation. Lessons learned from grievance management are used to improve safeguard performance and stakeholder engagement strategies across the portfolio.

All REC Caucasus-supported projects are required to disclose information about the GRM to affected communities, including through posters, community meetings, SEP materials, and project websites, to ensure stakeholders are aware of their rights and how to access the mechanism.

12. Reporting, Monitoring and Evaluation

Systematic documentation of environmental and social supervision is a mandatory component of REC Caucasus's Environmental and Social Management System (ESMS). Project-specific monitoring findings shall be consolidated in quarterly Environmental and Social (E&S)

performance reports, which form an integral part of regular project progress reporting obligations to REC Caucasus management and relevant donors.

Quarterly E&S reports shall include, at minimum:

- A summary of the implementation status of mitigation measures prescribed under the ESMP or equivalent instruments, supported by completed field monitoring checklists;
- Identification of non-compliances, deviations, or emerging risks observed during the reporting period;
- Corrective instructions issued to implementing entities, contractors, or partners, and the status of follow-up actions;
- Photographic documentation and other verifiable evidence substantiating the monitoring observations;
- A register and narrative summary of grievances received, responses provided, and the status of case resolution.
- Any climate-related incidents, near misses, or observed climate-related impacts affecting implementation, as well as key observations on the performance of climate-informed mitigation or adaptation measures (where relevant);

Monitoring findings shall cover both environmental and social dimensions of project performance, in line with REC Caucasus's integrated safeguards approach. Where relevant, the reports shall also include a sex-disaggregated summary of stakeholder engagement activities undertaken during the reporting period, including any key themes or concerns raised by affected communities.

Incident Notification and Exceptional Reporting

REC Caucasus shall ensure that all incidents of significant consequence, including climate-related events that materially affect E&S risks or project performance, are reported to the donor and relevant authorities without undue delay, irrespective of the regular reporting cycle. This includes, but is not limited to, serious workplace accidents, public safety incidents, breaches of environmental conditions, discovery of cultural heritage, or unforeseen social harm (e.g. involuntary displacement or exclusion from benefits). Such events shall be reported promptly, with accompanying details of interim containment or mitigation measures undertaken and proposed follow-up actions.

Institutional Oversight and Consolidated Safeguards Reporting

REC Caucasus designates an ESMS Focal Point with institutional-level responsibility for Environmental and Social Management System (ESMS) oversight. The ESMS Focal Point is responsible for coordinating and overseeing project screening, environmental and social risk categorization, and the review and clearance of required ESMPs/ESIAs, in line with the ESMS procedures.

The ESMS Focal Point reports directly to the Executive Director and coordinates, as needed, with the Internal Audit function to support periodic reviews of ESMS compliance and internal control effectiveness.

On an annual basis, the ESMS Focal Point shall prepare an institutional-level consolidated synthesis of ESMS implementation. This shall include:

- The total number of projects screened and their risk categorization;
- A summary of recurrent safeguard risks and compliance challenges;
- An overview of grievances received across the portfolio, categorized by theme and resolution status;
- General observations on E&S performance and recommendations for systemic improvements.

Evaluation of Safeguard Outcomes

Mid-term and terminal project evaluations shall incorporate an assessment of environmental and social safeguard implementation and overall project performance with respect to environmental and social risks. Evaluation criteria shall include:

- Effectiveness of mitigation measures and responsiveness to identified risks.
- Adherence to approved ESMPs and other safeguard instruments.
- Quality and consistency of stakeholder engagement.
- Presence of unintended or residual negative impacts.

Annexes

Annex 1. Environmental Screening and Classification of Projects (Sub-Contracts)

Project title: _____

Location / municipality: _____

Implementing entity / contractor: _____

Date: _____

Screened by (name/position): _____

A. Exclusion List Gate (ESMS §4)

- None of the **REC Caucasus Exclusion List** items are triggered (Annexed checklist attached).
- Exclusion List item(s) triggered → **Project ineligible**. (List items: _____)

B. Snapshot of Proposed Activities

Brief description of works/activities, footprint, duration, key receptors (communities, habitats), utilities interfaces.

C. Impact Identification (Initial)

1. Tangible environmental impacts? Yes No → If Yes, describe: _____
2. Significant beneficial/adverse effects? _____
3. Potential community/worker health & safety risks? _____
4. Sensitive receptors (schools, hospitals, protected areas, water bodies, cultural sites)?

D. Alternatives & Mitigation (Concept Level)

- Alternatives considered (location/design/technology/scheduling): _____
- Indicative mitigation/management approach (refer to EMP library where relevant):

- Lessons learned from similar projects incorporated: _____

E. Stakeholder Engagement & GRM

Have affected groups been identified and consulted at concept stage? Yes No

If Yes, summarize issues/inputs: _____

- GRM disclosure to communities (channels posted/accessible languages): Yes No
Channels (email/phone/box/site office/web): _____

F. National Regulatory Compliance

- National screening/EIA required under Georgian Environmental Assessment Code?
 Yes No
If Yes, attach/record status: **Screening decision # / date:** _____ ; **Permit(s):** _____
- Other permits/agreements required (waste, water, tree cutting, road occupation, etc.):

G. 15 Safeguard Principles Mini-Trigger (ESMS Table 2)

For each triggered item, note evidence & **required instrument(s)**

(ESIA/ESMP/RAP/LRP/IPP/GAP/BMP/Traffic Mgmt/OHS Plan, etc.).

Principle (P1–P15)	Triggered? (Y/N)	Evidence/Risk Summary	Required Instrument(s)
P1 Compliance with the Law			
P2 Access & Equity			
P3 Marginalized and Vulnerable Groups			
P4 Human Rights			
P5 Gender Equity & Women's Empowerment			
P6 Core Labor Rights			
P7 Indigenous Peoples / Minorities / FPIC (if relevant)			
P8 Involuntary Resettlement (physical/economic; temporary/permanent)			
P9 Protection of Natural Habitats			
P10 Conservation of Biological Diversity			
P11 Climate Change (resilience/GHG)			
P12 Pollution Prevention & Resource Efficiency			
P13 Public Health			
P14 Physical and Cultural Heritage			
P15 Lands and Soil Conservation			

H. Categorization & Required Instruments

ESMS Category (check one):

- **A (High-risk)** – Ineligible for implementation.
- **B+ (Substantial)** – detailed ESIA and comprehensive ESMP required.
- **B (Moderate)** – streamlined ESMP or Checklist-ESMP.
- **C (Low)** – good practice only; no specific instrument beyond legal compliance.

*Note: Category A (High) projects are **ineligible** for REC Caucasus support.*

Required E&S instruments and next steps:

- ESIA ESMP/Checklist-ESMP RAP/LRP IPP GAP BMP Pest Mgmt Traffic & Pedestrian Safety Plan OHS Plan Emergency/Spill Plan Chance-Find Procedure adoption Others: _____
- Responsible entity:** _____ **Due date:** _____

Screening conclusion: **Accepted** **Declined** (reason: _____)

Annex 2. Social and Cultural Resource Screening of Subprojects (sub-contracts)

Project title: _____ Date: _____ Screened by: _____

If any answer is “Yes”, record risk summary and the required instrument(s).

A. Land, Access, and Livelihoods

Land ownership/affiliation/use status verified and documented? Yes No (cannot complete without this)

Will activities cause temporary or permanent restrictions to access (land, water, roads, services, common resources)? Yes No

Any land acquisition or use (public/private), formal or informal? Yes No

Any economic displacement (loss of income, access, standing crops/trees, kiosks, fences, ancillary structures)? Yes No

→ If Yes to 2–4: Involuntary Resettlement applicable → RAP LRP; describe scope:

B. Vulnerable/Marginalized Groups & Equity

Affected vulnerable groups present (e.g., low-income households, elderly, women-headed households, persons with disabilities, minorities, IDPs)? Yes No

Could impacts disproportionately affect any group or exclude them from benefits/participation? Yes No

→ If Yes: integrate targeted measures in ESMP/SEP; consider GAP; detail: _____

Are Indigenous Peoples or distinct ethnic minority groups with collective attachment to land and/or specific cultural rights potentially affected? Yes No

→ If Yes: apply culturally appropriate engagement; FPIC procedures shall apply where required by the applicable standards; integrate targeted measures in ESMP/SEP; consider GAP; detail: _____

C. Gender

Gender-differentiated risks/constraints (safety, access, participation, employment)?
 Yes No

→ If Yes: Gender Action Plan (GAP) or gender measures within ESMP/SEP.

D. Labor & OHS / Security

Contractor labor systems may risk non-compliance with ILO core standards (child/forced labor, discrimination, freedom of association)? Yes No

OHS risks to workers or public significant (excavations, traffic, electrical, confined spaces)?
 Yes No

Security personnel engagement foreseen? Yes No

→ If Yes: include Labor/OHS controls, worker GRM, Code of Conduct incl. SEA/SH, Security Mgmt consistent with HRDD in ESMP/contract clauses.

E. Cultural Heritage (P15)

Works within/near historical/archaeological/cultural sites or chance-find likelihood? Yes No

→ If Yes: apply Chance-Find Procedure + national law; coordinate with National Agency for Cultural Heritage Preservation.

F. Environment/Climate Interface for Social Risk (P10–P13)

Community exposure to pollution/noise/dust/traffic likely? Yes No

Climate risks (flood/landslide/heat/cold) affecting communities or site access? Yes No

→ If Yes: include community protection & climate adaptation measures in ESMP.

G. Stakeholder Engagement & GRM

SEP prepared or planned proportionate to risk? Yes No

GRM disclosed at site (posters in Georgian + local languages, contacts, anonymous options)? Yes No

Notes / required instruments: _____

Annex 3. Eligibility Assessment of Public-Private Infrastructure Investments

Project / PPP title: _____ **Proponent:** _____ **Date:** _____

A. Exclusion List Gate

- Exclusion List **not** triggered (checklist attached)
- Triggered → **Ineligible** (list: _____)

B. Context Filter (check one in each row; add comments)

Indicator	Significant potential impact	Low potential impact	Comments
Type of private business	<input type="checkbox"/> Industrial facility / power gen / resource extraction	<input type="checkbox"/> Hospitality, agro-processing, arts/crafts, services	
Land take / use	<input type="checkbox"/> Third-party ownership/use (formal or informal)	<input type="checkbox"/> No third-party claims/use	
Location	<input type="checkbox"/> Protected areas/corridors/forests/wetlands/green-fields/steep slopes/alpine/subalpine	<input type="checkbox"/> Brownfields/transformed urban/rural/industrial sites	
Water interface	<input type="checkbox"/> Major rivers/floodplains/trans-boundary/lakes/high-value community waters	<input type="checkbox"/> Small streams/artificial ponds of low sensitivity	
Groundwater	<input type="checkbox"/> Mineral/thermal deposits, high water table	<input type="checkbox"/> No special deposits; regular table	
Landscape value	<input type="checkbox"/> Outstanding aesthetics/green-fields/recreation areas	<input type="checkbox"/> Transformed/industrial/brown fields	
Natural hazards	<input type="checkbox"/> Repeated floods/erosion/landslide/avalanche	<input type="checkbox"/> No repeated hazards recorded	
Cultural resources	<input type="checkbox"/> Monuments/traditional use sites	<input type="checkbox"/> None known	

C. Additional ESMS Screens

- **Labor & OHS systems** in proponent organization are adequate? Yes No (evidence: _____)
- **Climate risk & resilience** integrated (design standards, drainage, materials)? Yes No
- **Stakeholder Engagement Plan (SEP)** in place/committed? Yes No
- **GRM** accessible? Yes No
- **National EIA/permits** triggered? Yes No (status: _____)

E. Category Decision & Required Instruments

ESMS Category: A B+ B C (A = *ineligible*)

Required instruments: ESIA ESMP RAP/LRP IPP GAP BMP OHS/Traffic/Security Plans Others _____

Decision: Eligible to proceed Not eligible (reason: _____)

- Annex 4 Environmental Management Checklist for Small Construction and Rehabilitation Activities

General Guidelines for use of EMP checklist:

For low-risk topologies, such as school and hospital rehabilitation activities, the REC Caucasus safeguards team developed an alternative to the current EMP format to provide an opportunity for a more streamlined approach to preparing EMPs for minor rehabilitation or small-scale works in building construction, in the health, education and public services sectors. The checklist-type format has been developed to provide “example good practices” and designed to be user friendly and compatible with safeguard requirements.

The EMP checklist-type format attempts to cover typical core mitigation approaches to civil works contracts with small, localized impacts. It is accepted that this format provides the key elements of an Environmental Management Plan (EMP) or Environmental Management Framework (EMF). The intention of this checklist is that it would be applicable as guidelines for the small works contractors and constitute an integral part of bidding documents for contractors carrying out small civil works under REC Caucasus-supported projects.

The checklist has three sections:

Part 1 includes a descriptive part that characterizes the project and specifies in terms the institutional and legislative aspects, the technical project content, the potential need for capacity building program and description of the public consultation process. This section could be up to two pages long. Attachments for additional information can be supplemented when needed.

Part 2 includes an environmental and social screening checklist, where activities and potential environmental issues can be checked in a simple Yes/No format. If any given activity/issue is triggered by checking “yes”, a reference is made to the appropriate section in the following table, which contains clearly formulated management and mitigation measures.

Part 3 represents the monitoring plan for activities during project construction and implementation. It retains the same format required for EMPs proposed under normal Bank requirements for Category B projects. It is the intent of this checklist that Part 2 and Part 3 be included into the bidding documents for contractors, priced during the bidding process and diligent implementation supervised during works execution.

CONTENTS

- A) General Project and Site Information
- B) Safeguards Information
- C) Mitigation Measures
- D) Monitoring Plan

PART A: GENERAL PROJECT AND SITE INFORMATION

INSTITUTIONAL & ADMINISTRATIVE			
Country			
Subproject title			
Scope of site-specific activity			
Institutional arrangements (WB)	Task Team Leader: (insert)	Safeguards Specialist: (insert)	
Implementation arrangements (Borrower)	Implementing entity: (insert)	Works supervisor: (tbd)	Works contractor: (tbd)
SITE DESCRIPTION			
Name of institution whose premises are to be rehabilitated			
Address and site location of institution whose premises are to be rehabilitated			
Land Ownership (status)	<input type="checkbox"/> State <input type="checkbox"/> Municipal <input type="checkbox"/> Private <input type="checkbox"/> Other (specify)		
Land Type / User Status	<input type="checkbox"/> Formal <input type="checkbox"/> Informal <input type="checkbox"/> Mixed – details: _____		
Description of physical and natural environment	Topography, vegetation, hydrology, adjacent land uses		
Socio-Economic Context around the Site	Nearby residences, schools, businesses, vulnerable groups		
Material Sourcing Sites (aggregates, water, stone, etc.)	Distances, license status, environmental approvals		
LEGISLATION			
National & local legislation & permits that apply to project activity	EIA screening decision #, construction permit #, waste agreement #, tree cutting permit #, road occupation permit #, etc.		
PUBLIC CONSULTATION			

When / where the public consultation process will take /took place	
Key Stakeholder Groups Consulted	
Main Issues Raised and How They Were Addressed	
ATTACHMENTS	
Attachment 1: Site Plan / Photo	<input type="checkbox"/> Attached
Attachment 2: Construction Permit (as required)	<input type="checkbox"/> Attached
Attachment 3: Agreement for Construction Waste Disposal	<input type="checkbox"/> Attached
Attachment 4: GRM Poster and SEP Noticeboard Sample (if applicable)	<input type="checkbox"/> Attached
Attachment 5: OHS Plan (incl. Code of Conduct) and Traffic Management Plan Approvals	<input type="checkbox"/> Attached
Other Permits / Agreements (as required)	<input type="checkbox"/> Attached

PART B: SAFEGUARDS INFORMATION

ENVIRONMENTAL /SOCIAL SCREENING			
Activity/Issue	Status	Triggered Actions	
Will the site activity include/involve any of the following?	A. Building rehabilitation	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section A below
	B. New construction	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section A below
	C. Individual wastewater treatment system	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section B below
	D. Historic building(s) and districts	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section C below
	E. Acquisition of land ¹	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section D below
	F. Hazardous or toxic materials ²	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section E below
	G. Impacts on forests and/or protected areas	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section F below
	H. Handling / management of medical waste	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section G below
	I. Traffic and Pedestrian Safety	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section H below

¹ Land acquisitions includes displacement of people, change of livelihood encroachment on private property this is to land that is purchased/transferred and affects people who are living and/or squatters and/or operate a business (kiosks) on land that is being acquired.

² Toxic / hazardous material includes but is not limited to asbestos, toxic paints, noxious solvents, removal of lead paint, etc.

PART C – MITIGATION MEASURES CHECKLIST

ACTIVITY	PARAMETER	MITIGATION MEASURES CHECKLIST
0. General Conditions	Notification and Worker Safety	<ul style="list-style-type: none"> (a) The local construction and environment inspectorates and communities have been notified of upcoming activities (b) The public has been notified of the works through appropriate notification in the media and/or at publicly accessible sites (including the site of the works) (c) All legally required permits have been acquired for construction and/or rehabilitation (d) The Contractor formally agrees that all work will be carried out in a safe and disciplined manner designed to minimize impacts on neighboring residents and environment. (e) Workers' PPE will comply with international good practice (always hardhats, as needed masks and safety glasses, harnesses and safety boots) (f) Appropriate signposting of the sites will inform workers of key rules and regulations to follow.
A. General Rehabilitation and /or Construction Activities	Air Quality	<ul style="list-style-type: none"> (a) During interior demolition debris-chutes shall be used above the first floor (b) Demolition debris shall be kept in controlled area and sprayed with water mist to reduce debris dust (c) During pneumatic drilling/wall destruction dust shall be suppressed by ongoing water spraying and/or installing dust screen enclosures at site (d) The surrounding environment (side walks, roads) shall be kept free of debris to minimize dust (e) There will be no open burning of construction / waste material at the site (f) There will be no excessive idling of construction vehicles at sites
	Noise	<ul style="list-style-type: none"> (a) Construction noise will be limited to restricted times agreed to in the permit (b) During operations the engine covers of generators, air compressors and other powered mechanical equipment shall be closed, and equipment placed as far away from residential areas as possible
	Water Quality	<ul style="list-style-type: none"> (a) The site will establish appropriate erosion and sediment control measures such as e.g. hay bales and / or silt fences to prevent sediment from moving off site and causing excessive turbidity in nearby streams and rivers.

	Waste management	<p>(a) Waste collection and disposal pathways and sites will be identified for all major waste types expected from demolition and construction activities.</p> <p>(b) Mineral construction and demolition wastes will be separated from general refuse, organic, liquid and chemical wastes by on-site sorting and stored in appropriate containers.</p> <p>(c) Construction waste will be collected and disposed properly by licensed collectors</p> <p>(d) The records of waste disposal will be maintained as proof for proper management as designed.</p> <p>(e) Whenever feasible the contractor will reuse and recycle appropriate and viable materials (except asbestos)</p>
B. Individual wastewater treatment system	Water Quality	<p>(a) The approach to handling sanitary wastes and wastewater from building sites (installation or reconstruction) must be approved by the local authorities</p> <p>(b) Before being discharged into receiving waters, effluents from individual wastewater systems must be treated in order to meet the minimal quality criteria set out by national guidelines on effluent quality and wastewater treatment</p> <p>(c) Monitoring of new wastewater systems (before/after) will be carried out</p> <p>(d) Construction vehicles and machinery will be washed only in designated areas, where runoff will not pollute natural surface water bodies.</p>
C. Historic building(s)	Cultural Heritage	<p>(a) If the building is a designated historic structure, very close to such a structure, or located in a designated historic district, notification shall be made and approvals/permits be obtained from local authorities and all construction activities planned and carried out in line with local and national legislation.</p> <p>(b) It shall be ensured that provisions are put in place so that artifacts or other possible “chance finds” encountered in excavation or construction are noted and registered, responsible officials contacted, and works activities delayed or modified to account for such finds.</p>
D. Acquisition of land	Land Acquisition Plan/Framework	<p>(a) If expropriation of land was not expected but is required, or if loss of access to income of legal or illegal users of land was not expected but may occur, that the Bank’s Task Team Leader shall be immediately consulted.</p> <p>(b) The approved Land Acquisition Plan/Framework (if required by the project) will be implemented</p>

E. Toxic Materials	Asbestos management	<p>(a) If asbestos is located on the project site, it shall be marked clearly as hazardous material</p> <p>(b) When possible the asbestos will be appropriately contained and sealed to minimize exposure</p> <p>(c) The asbestos prior to removal (if removal is necessary) will be treated with a wetting agent to minimize asbestos dust</p> <p>(d) Asbestos will be handled and disposed by skilled & experienced professionals</p> <p>(e) If asbestos material is being stored temporarily, the wastes should be securely enclosed inside closed containments and marked appropriately. Security measures will be taken against unauthorized removal from the site.</p> <p>(f) The removed asbestos will not be reused</p>
	Toxic / hazardous waste management	<p>(a) Temporarily storage on site of all hazardous or toxic substances will be in safe containers labeled with details of composition, properties and handling information</p> <p>(b) The containers of hazardous substances shall be placed in an leak-proof container to prevent spillage and leaching</p> <p>(c) The wastes shall be transported by specially licensed carriers and disposed in a licensed facility.</p> <p>(d) Paints with toxic ingredients or solvents or lead-based paints will not be used</p>
F. Affected forests, wetlands and/or protected areas	Protection	<p>(a) All recognized natural habitats, wetlands and protected areas in the immediate vicinity of the activity will not be damaged or exploited, all staff will be strictly prohibited from hunting, foraging, logging or other damaging activities.</p> <p>(b) A survey and an inventory shall be made of large trees in the vicinity of the construction activity, large trees shall be marked and cordoned off with fencing, their root system protected, and any damage to the trees avoided</p> <p>(c) Adjacent wetlands and streams shall be protected from construction site run-off with appropriate erosion and sediment control feature to include by not limited to hay bales and silt fences</p> <p>(d) There will be no unlicensed borrow pits, quarries or waste dumps in adjacent areas, especially not in protected areas.</p>
G. Disposal of medical waste	Infrastructure for medical waste	<p>(a) In compliance with national regulations the contractor will insure that newly constructed and/or rehabilitated health care facilities include sufficient infrastructure for medical waste handling and disposal; this includes and not limited to:</p> <ul style="list-style-type: none"> ▪ Special facilities for segregated healthcare waste (including soiled instruments “sharps”, and human tissue or fluids) from other waste disposal; and ▪ Appropriate storage facilities for medical waste are in place; and

		<ul style="list-style-type: none"> ▪ If the activity includes facility-based treatment, appropriate disposal options are in place and operational
H. Traffic and Pedestrian Safety	Direct or indirect hazards to public traffic and pedestrians by construction activities	<p>(a) In compliance with national regulations the contractor will insure that the construction site is properly secured and construction related traffic regulated. This includes but is not limited to</p> <ul style="list-style-type: none"> ▪ Signposting, warning signs, barriers and traffic diversions: site will be clearly visible and the public warned of all potential hazards ▪ Traffic management system and staff training, especially for site access and near-site heavy traffic. Provision of safe passages and crossings for pedestrians where construction traffic interferes. ▪ Adjustment of working hours to local traffic patterns, e.g. avoiding major transport activities during rush hours or times of livestock movement ▪ Active traffic management by trained and visible staff at the site, if required for safe and convenient passage for the public. ▪ Ensuring safe and continuous access to office facilities, shops and residences during renovation activities, if the buildings stay open for the public.

•

PART D: MONITORING PLAN

Activity	What (Is the parameter to be monitored?)	Where (Is the parameter to be monitored?)	How (Is the parameter to be monitored?)	When (Define the frequency / or continuous?)	Why (Is the parameter being monitored?)	Who (Is responsible for monitoring?)
CONSTRUCTION PHASE						
1.						
2.						
n.						
OPERATION PHASE						
1.						
2.						
n.						

Annex 5. Field Environmental Monitoring Checklist

Project / Site: _____ Contractor: _____ Supervisor: _____

Visit date: _____ Inspector (REC Caucasus / Supervision): _____

Works status: _____ ESMS Category: B+ B C

Planned monitoring frequency (by category):

B+ – monthly or quarterly; B – semi-annual / milestone-based; C – as needed.

A. Documents & Compliance (attach evidence where relevant)

Item	Yes	Partly	No	N/A	Comments / Evidence Ref.
National screening/EIA decision & permits on file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Waste disposal agreement(s) & tickets available	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
License for resource extraction (if any)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Traffic Management Plan approved & in force	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
OHS Plan & Method Statements available	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Code of Conduct (incl. SEA/SH) signed/displayed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
GRM poster (Georgian + local) posted & log maintained	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
SEP noticeboard updated (meetings, schedules)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

B. Site Controls (Environment & Safety)

Item	Yes	Partly	No	N/A	Comments / Evidence Ref.
Site fenced, warning signs installed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pedestrian & vehicle access maintained / alternatives provided	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Working hours observed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Equipment in good condition; no visible leaks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Covered transport of materials & waste	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Dust control applied as needed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Contractor camp fenced; waste & servicing areas designated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Water supply & sanitation in camp	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
First aid & fire-fighting kits available	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Workers use appropriate PPE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Refueling/servicing on impermeable surface with containment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Vehicle washing away from natural waters; no direct discharge	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Waste disposed only at designated/authorized sites	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Borrow pits/quarries licensed; conditions observed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topsoil/excess material stored separately and reused	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Works stopped & authorities notified upon chance finds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Post-works cleanup and landscape reinstatement on completed areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

C. Social Focus Items

Item	Yes	Partly	No	N/A	Comments / Evidence Ref.
Separate, safe access for vulnerable users (ramps/markings)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Gender-sensitive worker facilities (toilets/lockers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
SEA/SH training/toolbox talk conducted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Community notifications up to date (works schedule/impacts)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Stakeholder meeting(s) held as planned (SEP)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

D. Findings & Corrective Actions Log

#	Finding / Non-Compliance	Severity (H/M/L)	Required Action	Responsible	Due Date	Status	Re-inspection Date	Evidence (photo/ref)
1								
2								

Serious incidents/near misses (notify REC Caucasus & donor within 24h; detail containment & next steps): _____

Inspector signature: _____ Contractor representative: _____ Date: _____



This document was reviewed, adopted, and approved on [date] by the REC Caucasus Executive Body (Collegial Trio) in accordance with the organization's internal governance procedures, and shall enter into force as of the date of approval.

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