

Appendixes of to the ESMF (presented as Annex 6a)

**Improving Climate Resilience of Vulnerable Communities and Ecosystems in the
Gandaki River Basin, Nepal**

**Annex 6 (b):
Environmental and Social Management Framework (ESMF) - Appendix**

30 March 2020

Appendix

- Appendix 1: ESMS Screening Report - Improving Climate Resilience of Vulnerable Communities and Ecosystems in the Gandaki River Basin
- Appendix 2: Rapid social baseline analysis – sample template outline
- Appendix 3: ESMS Screening questionnaire – template for screening of sub-projects
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- Appendix 5: Stakeholder Consultation and Engagement Plan
- Appendix 6: Environmental and Social Impact Assessment (ESIA) - Guidance Note
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Appendix 1

ESMS Questionnaire & Screening Report – completed for GCF Funding Proposal

Project Data

The fields below are completed by the project proponent

Project Title:	Improving Climate Resilience of Vulnerable Communities and Ecosystems in the Gandaki River Basin		
Project proponent:	IUCN		
Executing agency:	IUCN in partnership with the Department of Soil Conservation and Watershed Management (Nepal) and the National Trust for Nature Conservation (Nepal)		
Funding agency:	Green Climate Fund (GCF)		
Country:	Nepal	Contract value (add currency):	US\$25
Start date and duration:	Early 2019, seven years	Amount in CHF:	CHF23.8m
Has a safeguard screening or ESIA been done before?	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no	Provide details, if yes:	Original screening undertaken in September 2017

Step 1: ESMS Questionnaire

The fields below are completed by the project proponent; the questionnaire is presented in Annex A

	Name and function of individual representing project proponent	Date
ESMS Questionnaire completed by:	Narendra Pradhan, William Jackson; Prahlad Thapa, Manish Raj Pandey, and Rajan P. Paudel,	8 th April 2018
ESMS Screening is <i>(tick one of the three options)</i>	<p>1. <input checked="" type="checkbox"/> required because the project budget is \geq CHF 500,000</p> <p>2. <input type="checkbox"/> required – despite being a small project (< CHF 500,000) the project proponent has identified risks when completing the ESMS Questionnaire</p> <p>3. <input type="checkbox"/> not required because the project budget is < CHF 500,000 and the project proponent confirms that no environmental or social risks have been identified when completing the ESMS Questionnaire</p>	

Step 2: ESMS Screening

To be completed by IUCN ESMS reviewer(s); only needed when the options 1 or 2 above (marked in red) are ticked

	Name	IUCN unit and function	Date
IUCN ESMS Reviewer:	Linda Klare	IUCN HQ	9 th April 2018 and 27.5.2019
	Scott Perkin	IUCN Asia	16 th April 2018
	Title		Date
Documents submitted at Screening stage:	Full Funding proposal: FP_IUCN_Nepal_Gandaki 20180406-97314_pt 20180409-94385.doc		9 th April 2018
	Annexes 1-12		9 th April 2018
	Funding_Proposal 22 May 2019 including annexes		22.5.2019

ESMS Screening Report

Risk category:	<input type="checkbox"/> low risk <input checked="" type="checkbox"/> moderate risk <input type="checkbox"/> high risk
Rationale: Summarize findings from the questionnaire and explain the rationale of risk categorization	The project aims to improve climate resilience of vulnerable communities and ecosystems in the Gandaki River Basin and is expected to have environmental and social impacts that are overall highly beneficial. The project's interventions are designed to 1) improve climate resilient

<p>See the following sections of the questionnaire for details: Section A for findings about the stakeholder engagement process, Section B on the 4 Standards, Section C on other E&S impacts and Section D on risk issues related to Climate change</p>	<p>agroforestry and livelihood, 2) improve water availability and water use efficiency; 3) reduce natural ecosystem restoration based actions for reducing impacts of landslides and floods, 4) to enhance technical capacity of communities in maintaining and supporting climate resilient ecosystems, 5) to enhance community-based mechanism for planning, restoration, monitoring, and maintenance of ecosystems, 6) to incorporate ecosystem-based climate change adaptation approaches into government policies and plans, and 7) establish knowledge management system for climate resilient River Basin Management. It is considered unlikely that the activities carried out under this project will have major adverse environmental and/or social risks and/or impacts. However, there is a possibility that some activities might involve minor or moderate environmental or social risks given the sensitivity of the receiving environment, the complex demographic and social context and the vulnerability of social groups, including indigenous groups as well as Dalits as being members of the lowest case and often subject to social exclusion or discrimination.</p> <p>Also, environmental and social risks cannot be fully ascertained at this stage because the exact sites for field interventions have not been identified yet and because the design of the specific interventions will be determined by the specific vulnerability of locations within each cluster. While the project document has established generic types of interventions, the exact nature of the interventions may change once the baseline is more effectively established in year one of the project's operation, and as a result of more focused consultations with relevant stakeholders, and in particular with women, indigenous groups, Dalits and disadvantaged groups. The project has therefore been classified as moderate risk project and the development of an Environmental and Social Management Framework (ESMF) is needed.</p> <p>The questionnaire in Annex A has assessed the generic project activities proposed for implementation on potential environmental and social risks and on the applicability of Standards. The results of this assessment are described at the end of each section: Section B covering issues related to the 4 Standards, section C related to other E&S impacts and section D on risk issues related to Climate change.</p>	
<p>Required assessments or tools</p>	<p><input type="checkbox"/> Full Environmental and Social Impact Assessment (Full ESIA) <input type="checkbox"/> Partial Environmental and Social Impact Assessment (Partial ESIA) <input type="checkbox"/> Social Impact Assessment (SIA) <input type="checkbox"/> Environmental and Social Management Plan (ESMP) <input checked="" type="checkbox"/> Environmental and Social Management Framework (ESMF) <input type="checkbox"/> Other:</p>	
<p>ESMS Standards</p>	<p>Trigger</p>	<p>Required tools or plans</p>
<p>Involuntary Resettlement and Access Restrictions <i>(see section B1 for details)</i></p>	<p><input type="checkbox"/> yes <input checked="" type="checkbox"/> no <input type="checkbox"/> TBD</p>	<p><input type="checkbox"/> Resettlement Action Plan <input type="checkbox"/> Resettlement Policy Framework <input type="checkbox"/> Action Plan to Mitigate Impacts from Access Restriction <input type="checkbox"/> Access Restrictions Mitigation Process Framework</p>
<p>Indigenous Peoples <i>(see section B2 for details)</i></p>	<p><input checked="" type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD</p>	<p><input type="checkbox"/> Indigenous Peoples Plan <input checked="" type="checkbox"/> Indigenous Peoples Process Framework (to be included in the ESMF)</p>
<p>Cultural Heritage <i>(see section B3 for details)</i></p>	<p><input checked="" type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD</p>	<p><input checked="" type="checkbox"/> Chance Find Procedures</p>

Biodiversity Conservation and Sustainable Use Natural Resources (see section B4 for details)	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD	<input checked="" type="checkbox"/> Pest Management Plan (potentially)
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Annex A: ESMS Questionnaire

Process of stakeholder engagement during project conceptualization
1. Has a project stakeholder analysis been carried out and documented – identifying not only interests, needs and influence of stakeholders but also whether there are any stakeholders that might be affected by the project? Does the stakeholder analysis disaggregate between women and men, where relevant and feasible? It is recommended to add the stakeholder analysis to the documents submitted at screening stage.
<i>To be completed by project proponent</i>
During the design phase of the project, a stakeholder analysis was conducted according to four categories: Government, Civil Society, Local communities, the Private Sector and International actors. From these categories, key stakeholders were identified and interviewed during the feasibility study. The results are documented in the feasibility study report.
<i>IUCN ESMS Reviewer</i>
The feasibility study includes a chapter titled stakeholder analysis, however the different stakeholder groups are presented in a rather general form without elaborating on the stakeholder groups' interest, influence and impacts in relation to the actual project. It is recommended undertaking such a focussed analysis during the inception phase for each of the sites identified for field intervention.
2. Has information about the project – and about potential risks or negative impacts – been shared with relevant groups? Have consultations been held with relevant groups to discuss the project concept and risks? Provide details about the groups involved. Have women been consulted (provide details)? Did the consultations include stakeholders that were identified as potentially affected? Has this been done in a culturally appropriate way to allow meaningful engagement of women and of potentially affected groups? Have results from the consultations been taken up and influenced project design?
<i>To be completed by project proponent</i>
The consultations undertaken during the course of project preparation included two in-country missions during which multiple national, regional and local stakeholders were consulted. These stakeholders included representatives from relevant ministries, departments, Community-Based Organizations (CBOs), INGOs (e.g. WWF, FAO, UNDP) and NGOs (e.g. NEFIN, HIMAWONTI, FECOFUN). The stakeholder engagement process included close coordination with the NDA (Ministry of Finance) and the Ministry of Forest and Environment. A summary of consultations is provided in Annex 7 Summary of Consultations and Stakeholder Engagement Plan.
<i>IUCN ESMS Reviewer</i>
The project preparation phase included ample consultation with a diverse range of stakeholders at national, sub-national and local level. The methodology of this consultation as well as achieved results are well document in Annex 7a of the project proposal. This participatory approach to project design is well appreciated as it is expected to promote ownership of the project among stakeholders during implementation. Consultation at the local level with local communities, indigenous groups and vulnerable groups was carried out in a less extensive way; this is understandable, as the sites for field implementation have not been selected. It will be important that intensive consultation will take place at the local level during the inception phase of the project, disaggregated by social groups.

B. Potential impacts related to ESMS standards			
B1: Standard on Involuntary Resettlement and Access Restrictions			
	Project proponent		IUCN ESMS Reviewer
	Yes, no, n/a, TBD	Answer question, provide further detail where relevant	Comments, additional considerations
1. Will / might the project involve relocation or resettlement of people? if yes, answer a-b below	No	Shaded cells do not need to be filled out	
Describe the project activities that require resettlement?		N/A	
Have alternative project design options for avoiding resettlement been rigorously considered?		N/A	
2. Does the project include activities that involve restricting access to land or natural resources? (e.g., establishing new restrictions, strengthening enforcement capacities through training, infrastructure, equipment or other means, promoting village patrolling etc.); if yes, answer a-g below	Yes		
3. Does the project include activities that involve changes in the use and management regimes of natural resources? if yes, answer a-g below	Yes		
4. Does the project create situations that make physical access more difficult to livelihood resources (e.g. to multiple use zones, to schools or medical services etc.)? if yes, answer a-g below	No		
Answer only if you answered yes to items 2, 3, or 4.			
a. Describe project activities that involve restrictions.		The project will support community-based forest management, promote climate resilient green infrastructure, and promote improved management of forest fires, invasive species, and wetland management. The project will help community forest user groups to prepare Climate Resilient Management Plans and support user groups to implement these plans. Some of these activities may involve restrictions on use, voluntarily applied by communities. Such restrictions may be temporary.	
Explain the project's level of influence: will it define restrictions, put in place restrictions, strengthen enforcement capacities or promote restrictions indirectly (e.g., through awareness building measures or policy advice)?		The project will not directly impose restrictions, but will facilitate a process where communities themselves might decide about targeted restrictions in order to allow the regeneration of respective resource..	Voluntary restrictions do not trigger the Standard, but the project needs to demonstrate that the Climate Resilient Management Plans are based on a decision-making process that is adequate and reflects voluntary and informed consensus of the community; informed consensus implies that the implications of restrictions on all community members (including vulnerable groups) have been assessed and shared; and if impacts have been identified, measures are put in place to mitigate adverse impacts.

Has the existing legal framework regulating land tenure and access to natural resource (incl. traditional rights) been analysed, broken down by different groups including women, if applicable?		The land tenure, forest and watershed legal framework is comprehensive and supports private ownership of land and community based management.	
Explain whether the country's existing laws recognise traditional rights for land and natural resources; are there any groups at the project site whose rights are not recognised?		Nepal has a long-standing history of supporting community management. There are traditional and minority groups within the project areas. The constitution guarantees equal rights and recognises traditional rights.	
Have the implications of access restrictions on people's livelihoods been analysed, by social group? Explain who might be affected and describe the impacts. Distinguish social groups (incl. vulnerable groups, indigenous peoples) and men and women.		The project will operate within an area that the project executing agencies have worked for decades. In addition, there are several other projects and agencies working in the area. The project design phase has commenced collecting socio-economic information by social group and is aware of data and information that will provide information on access restrictions, if any. It is not anticipated that access restrictions will cause and serious long-term impacts on local communities.	See answer to question b: a dedicated assessment is required to understand the implications of restrictions promoted/facilitated by the project; for vulnerable members of the community, even short-term impacts might be detrimental and need to be mitigated.
Will the project include measures to minimise adverse impacts or to compensate for loss of access? If yes, specify measures. Are they feasible, culturally appropriate and gender inclusive?		The project will support measures that minimise impacts using consultative and inclusive processes.	The consultative and inclusive process will need to be described in the ESMF
Has any process been started or implemented to obtain free, prior and informed consent (FPIC) from groups affected by restrictions?		The project design process includes consultation with target communities. 40 village institution (Local Government) and more than 80 community level consultations have been carried out to inform people about the project and obtain consent from local government to design and implement the project. Further consultation will be required once the project starts	A formal and comprehensive process of obtaining FPIC from affected groups is only required if the Standard is triggered
5. Will/might the project require the acquisition of land for project purposes (e.g infrastructure development)? If yes, describe the current legal status of the land (private/ public, occupied/unoccupied).	No	The project will not acquire land for water related purposes or emergency shelters. Infrastructure will be located on public land and subject to agreement from the community.	Agreed. With regards to measures for water harvesting, restoration or slope stabilization it is understood that these are implemented on land owned by smallholder farmers (agricultural terraces, along stream banks and road sides) or on public land (plantations alongside roads). Agreement with the community has already been mentioned; it will be of equal importance that measures implemented on smallholder land will be agreed with each individual owner.
6. Is there a risk that the project might negatively affect current land tenure arrangements or community-based property rights to resources, land, or territories through measures other than access restrictions?	No	The project will seek to improve rights to resources. Including through community based management.	
7. Has any project partner in the past been involved in activities related to forced eviction, resettlement or access restrictions?	No	N/A	

Conclusion of ESMS Reviewer ¹ on the Standard on Involuntary Resettlement and Access Restrictions			
Standard triggered? Yes / No / TBD - Explain why	No	<p>Voluntary restrictions do not trigger the Standard. Nevertheless, social impacts might arise even from voluntary restrictions as described above. Hence, the project should provide evidence that the decision-making process is adequate and reflects voluntary and informed consensus of the community; informed consensus implies that the implications of restrictions on all community members (including vulnerable groups) have been assessed and shared; and that if impacts have been identified, measures are in place to mitigate adverse impacts. This should be ensured for each sub-project that involves restrictions - the process to be described in the ESMF .</p> <p>The use of private farmland or public land for resilience infrastructure will require written agreement from each right holder.</p>	
Are assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?	n/a		
Have measures for avoiding impacts already been considered? Are they sufficient?	n/a		
B2: Standard on Indigenous Peoples²			
	Project proponent		IUCN ESMS Reviewer
	Yes, no, n/a, TBD	Answer question, provide further detail where relevant	Comments, additional considerations
1. Is the project located in an area inhabited by indigenous peoples, tribal peoples or other traditional peoples or to which these groups have a collective attachment? If yes, answer questions a-j	Yes		
2. If indigenous peoples do not occupy land within the project's geographical area, could the project still affect their rights and livelihood? If yes, answer questions a-j	N/A		
Answer only if you answered yes to 1 or 2 above.			
a. Name the groups; distinguish, if applicable, the geographical areas of their presence and influence (including the areas of resource use) and how these relate to the project site.		<p>Chepong, Gurung, Bhoti, Loba, Thakali, Tamang, Magar, Tharu. The project will operate across a geographically diverse landscape from the lowland Terai area to the trans-Himalyan area. The Tharu are indigenous people of the Terai. Gurung, Tamang, Magar and Chepong are traditionally from the Middle Hills. Loba, Thakali and Bhoti are from the Himalayan area.</p>	

¹ If the project budget is < CHF 500,000 this field (and the equivalent fields below) needs to be completed by the project proponent (instead of the IUCN ESMS Reviewer).

² The coverage of indigenous peoples includes: (i) peoples who identify themselves as "indigenous" in strict sense; (ii) tribal peoples whose social, cultural, and economic conditions distinguish them from other sections of the national community, and whose status is regulated wholly or partially by their own customs or traditions or by special laws or regulations; and (iii) traditional peoples not necessarily called indigenous or tribal but who share the same characteristics of social, cultural, and economic conditions that distinguish them from other sections of the national community, whose status is regulated wholly or partially by their own customs or traditions, and whose livelihoods are closely connected to ecosystems and their goods and services

		Each of these groups has ownership of private lands and generally shared responsibility for common lands. In some areas, notably the Terai and Middle Hills, community forestry is widespread. The Chepang traditionally practiced shifting subsistence agriculture.	
b. What are the key characteristics that qualify the identified groups as indigenous groups?		The indigenous groups of Nepal are well defined (by themselves and by law) and each group has clear cultural practices and identify with specific geographic locations.	
c. How does the host country's Government refer to these groups (e.g., indigenous peoples, minorities, tribes etc.)?		The government uses the term <i>Adhibasi Janajati</i> or Indigenous to refer to indigenous peoples. There is clear listing of which groups qualify as indigenous in Nepal law.	
d. How do these groups identify themselves?		Each group identifies by their <i>Thar</i> or family name	
e. Is there a risk that the project affects indigenous peoples' livelihood through access restrictions? While this is covered under the Standard on Involuntary Resettlement and Access Restrictions, if yes, please specify the indigenous groups affected.	No	There is a slight chance that the groups themselves may impose use restrictions on natural resources to generate desired ecosystem services in the mid to longer term, such as landslide and flood protection, pasture management, timber and non-timber products, and improved water supply. The user groups will be formed by democratic process ensuring inclusion of gender, marginalised and disadvantage people.	Not agreed to "No". In the event that the project operates in villages composed of different ethnic groups, it will be necessary to assess minority /majority constellations, power relations and whether there are risks of distinct ethnic groups dominating village level decisions and as such putting indigenous groups at risk.
f. Is there a risk that the project affects indigenous peoples' material or non-material livelihoods in ways other than access restrictions (e.g., in terms of self-determination, cultural identity, values and practices)?	No		Not agreed. While it is not likely that the climate resilience measures promoted by the project will affect indigenous peoples negatively, it cannot be ruled out at this stage. Hence it will be important to ensure that representatives of different ethnic groups will be consulted when defining the measures to be implemented in each village and that their consent is sought on each activity that relate to them.
g. Is there a risk that the project affects specific vulnerable groups within indigenous communities (for example, women, girls, elders)?	No	The project will focus on social inclusion and equity and promote indigenous and traditional knowledge and gender equality and equity.	Not agreed. The consultation process mentioned under f. should include vulnerable groups within the indigenous communities.
h. Does the project involve the use or commercial development of natural resources on lands or territories claimed by indigenous peoples?	No	The project will support the development of indigenous (and local) business opportunities based on ecosystem services. Nevertheless, consent will be obtained from the respective right holder prior implementing the relevant activities.	The answer should be "Yes" as the project includes management of community forests and promotion of NTFP. While the use is intended to provide benefits to the respective groups, it is necessary to obtain consent from the respective right holder.
i. Does the project intend to promote the use of indigenous peoples' traditional knowledge?	Yes	The project will promote indigenous and traditional knowledge	The use of traditional knowledge requires obtaining FPIC of the respective rights-holder
j. Has any process been started or implemented to achieve the free, prior and informed consent (FPIC) of indigenous peoples to activities directly affecting their lands/territories/resources?		Indigenous peoples have been consulted during the preparation stage, but no FPIC process	A formal FPIC process need to be carried out once the sites for implementation have been selected at the beginning of project implementation
k. Are some of the indigenous groups living in voluntary isolation? If yes, how have they been consulted? How are their rights respected?	No		

I. Explain whether opportunities are considered to provide benefits for indigenous peoples? If yes, is it ensured that this is done in a culturally appropriate and gender inclusive way?		Yes, the project will seek to support opportunities for improved land use and management, improved management of agriculture, water and forests for indigenous people. It will also seek to develop gender inclusive, and socially and culturally appropriate business opportunities that are based on sustainable ecosystem services.	
Conclusion of ESMS Reviewer on the Standard on Indigenous Peoples			
Standard triggered? Yes / No / TBD - Explain why	yes	<p>The Standard is triggered because of the presence of indigenous peoples in the project site.</p> <p>Generally, the impact on indigenous peoples is expected to be highly positive as the project focuses on enhancing the adaptation capabilities of the most vulnerable communities, including marginalized and indigenous communities whose livelihoods are dependent on ecosystem services. It is recognized that the final interventions to be implemented in each site will only be decided once the site selection process has been completed, for which a participatory process involving the relevant stakeholder groups, including representatives of the indigenous groups, is conceptualized. However, it will need to be ensured that the community consultation process does not give rise to any form of discrimination against indigenous groups or sub-groups, even unintendedly. It will be further essential that legitimate representatives of indigenous groups are involved in an appropriate manner when planning and implementing project activities that might affect them, whether positively or negatively, and are asked for their consent following the principles of FPIC. The project should further seek opportunities to provide culturally appropriate and gender inclusive benefits to indigenous peoples, as agreed with them.</p> <p>Given the low level of risks and the fact that an ESMF will need to be developed for guiding risk identification and management of the individual sub-projects, it does not seem sensible to develop a single-standing Indigenous Peoples Plan (IPP) or an Indigenous People Process Framework (IPPF) for the project as a whole. Instead, the ESMF should include a dedicated section demonstrating key elements of an IPPF, describing how adherence to provisions of the Standard will be ensured and how the questions/issues pointed out above will be addressed during the process of planning the actual field interventions.</p>	
Are assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?		The feasibility study names the indigenous groups present in the larger project area, but it will be necessary to carry out a rapid social assessment for each site selected for project interventions naming the actual groups present in the sites/villages (including number of households) and describing their socio-economic, cultural and political conditions.	
Have measures for avoiding impacts already been considered? Are they sufficient?		n/a	

B3: Standard on Cultural Heritage³			
	Project proponent		IUCN ESMS Reviewer
	Yes, No, n/a, T, BD	Answer question, provide further detail where relevant	Comments, additional considerations
1. Is the project located in or near a site officially designated or proposed as a cultural heritage site (e.g., UNESCO World Cultural or Mixed Heritage Sites, or Cultural Landscapes) or a nationally designated site for cultural heritage protection? if yes, answer a-e below	No		
2. Does the project area harbour cultural resources such as tangible, movable or immovable cultural resources with archaeological, historical, cultural, artistic, religious, spiritual or symbolic value for a nation, people or community (e.g., burial sites, buildings, monuments or cultural landscapes)? if yes, answer a-e below	Yes		
3. Does the project area harbour a natural feature or resource with cultural, spiritual or symbolic significance for a nation, people or community associated with that feature (e.g., sacred natural sites, ceremonial areas or sacred species)? if yes, answer a-e below	Yes		
a. Will the project involve infrastructure development or small civil works such as roads, levees, dams, slope restoration, landslides stabilisation or buildings such as visitor centre, watch tower?	Yes	It will promote ecosystem based approaches (such as bio-engineering) to landslide and flood protection, and slope stabilisation. It will not be involved with large dams, but will promote sustainable water management systems.	
b. Will the project involve excavation or movement of earth, flooding or physical environmental changes (e.g., as part of ecosystem restoration)?	Yes	The project will not involve major excavation work, but will include some earth work when implementing small water retention ponds, flood prevention and restoration measures.	
c. Is there a risk that physical interventions described in items a. and b. might affect known or unknown (e.g., buried) cultural resources?	No	Project interventions will avoid any conflict with cultural resources. Prior to implementing any intervention community consent will be obtained. Most of the interventions will be carried out through existing CBOs	The project will only construct small scale infrastructure but the exact sites are not known yet. There is a probability, albeit low, that construction of infrastructure will be located in the vicinity of temples, hidden/buried resources and areas of cultural importance which needs. Generally, impacts are not expected to be major given the small scale nature of the infrastructure work. However, to be on the safe side, Chance Find Procedure need to be developed and put in place

³ Cultural heritage is defined as tangible, movable or immovable cultural resource or site with paleontological, archaeological, historical, cultural, artistic, religious, spiritual or symbolic value for a nation, people or community, or natural feature or resource with cultural, religious, spiritual or symbolic significance for a nation, people or community associated with that feature.

			(added to the ESMF). See the Appendix in the Standard for guidance.
d. Does the project plan to restrict local users' access to known cultural resources or natural features with cultural, spiritual or symbolic significance?	No		
e. Is there a risk that the project might affect cultural practices or sites with cultural value through activities other than physical interventions (earth movement) or access restrictions?	No		
4. Will the project promote the use or development of economic or social benefits from cultural resources or natural features with cultural significance?	Yes	The project will support culturally appropriate, locally desired activities such as eco-tourism and NTFPs that provide sustainable economic and social benefits to local communities. Some of these sites have cultural significance (e.g. temples, monasteries, religious lakes, caves, forests and mountains). A FPIC will be obtained prior to implementing such interventions.	<p>If a project intends to promote the development and generation of greater social or economic benefits from a cultural heritage site or resource, relevant local and national stakeholders must be informed of the scope and nature of the proposed development and potential consequences.</p> <p>FPIC is only needed when a project proposes a wider (especially commercial) use of community cultural resources, (e.g arts and other cultural expressions) to which communities have legal (including customary) rights. In such case arrangements must be made to ensure fair and equitable sharing of the benefits derived from using and/or commercialising the resources.</p>

Conclusion of ESMS Reviewer on the Standard on Cultural Heritage

Standard triggered? Yes / No / TBD - Explain why	Yes	The Standard is triggered but the risk of physical damage appears low and can be readily mitigated by applying the Chance Find procedures. It further does not seem likely that project activities will involve a wider use or commercialization of community cultural resources. However, it is possible that activities related to the promotion of ecotourism might involve sites of cultural significance. This will require appropriate consultation with relevant stakeholders – the process to be described in the ESMF.
Are assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?	No	
Have measures for avoiding impacts already been considered? Are they sufficient?	n/a	

B4: Standard on Biodiversity Conservation and Sustainable Use of Natural Resources

	Project proponent	IUCN ESMS Reviewer
	Yes, n/a, or	Answer question, provide further detail where relevant
		Comments, additional considerations

	<i>n/a, T BD</i>		
1. Is the project located in or near areas legally protected or officially proposed for protection including reserves according to IUCN Protected Area Management Categories I - VI, UNESCO Natural World Heritage Sites, UNESCO Biosphere Reserves, Ramsar Convention on Wetlands? If yes, provide details on the protection status and answer questions a-d	Yes	The area contains two national parks (Chitwan [World heritage] in the Terai and Langtang in the Middle Hills/Mountains) and two conservation areas (Annapurna and Manaslu in the Mountains) Ramsar sites – Lake cluster of Pokhara Valley (Middle Hills), GosaiKunda and Associated Lakes (Mountains), Beeshazar and Associated Lakes (Terai)	These areas are amongst the most biodiverse and heavily toured protected areas in Nepal; they also support numerous threatened species, including tiger, rhino and red panda, to name but a few.
2. Is the project located in or near to areas recognised for their high biodiversity value and protected as such by indigenous peoples or other local users? If yes, provide details and answer questions a-d	Yes	The area includes religious forests, and community forests (CFs). CCAs do not have binding legal protection, CFs have legal protection of use rights for the duration of the management agreement.	
3. Is the project located in/near to areas which are not covered in existing protection systems but identified by authoritative sources for their high biodiversity value ⁴ ? If yes, provide details and answer questions a-d	No	All protected areas have been protected as per rules and regulation. However, the important biodiversity areas like Annapurna Conservation Area, and Manaslu Conservation Area have been managed by National Trust for Nature Conservation with peoples' participation. Whereas, Barandabhar Forest and Wetland, Nawalparasi ForestRampur valley, Panchase protected forest, Reshunga forest are protected under the Forest Act.	Given the large geographical scope of the project and the presence of important protected areas and species, it seems likely that there are other sites of high biodiversity value within the project area that currently fall outside the formal protected area system.
Answer only if you answered yes to items 1, 2, or 3 above.			
a. If the project aims to establish or expand the protected area (PA), is there a risk of adverse impacts caused by the project on natural resources on areas beyond the PA?	No	The project will not seek to expand protected areas, but will support climate responsive management of forest ecosystems which includes both Community forest and PAs. There is little likelihood of negatively impacting other areas by these processes.	
b. If the project aims at changing management of a PA, is there a risk of adverse direct and indirect impacts on other components of biodiversity?	No	See above	

⁴ Areas important to threatened species according to IUCN Red List of Threatened Species, important to endemic or restricted-range species or to migratory and congregatory species; areas representing key evolutionary processes, providing connectivity with other critical habitats or key ecosystem services; highly threatened and/or unique ecosystems (e.g. to be determined in future by the evolving IUCN Red List of Ecosystems); areas identified as Key Biodiversity Areas (KBA) and subsets such as important Bird and Biodiversity Areas (IBAs), important Plant Areas (IPAs), important Sites for Freshwater Biodiversity or Alliance for Zero Extinction (AZE) sites.

c. If the project plans any infrastructure for PA management or visitor use (e.g., watch tower, tourism facilities, access roads) or for other purpose (e.g. small scale water infrastructure climate change adaptation), is there a risk of adverse impacts on biodiversity (consider the construction and use phases)?	No		
d. If the project promotes ecotourism, is there a risk of adverse impacts to biodiversity, e.g., due to water/waste disposal, disturbance of flora/fauna, overuse of sites, slope erosion etc.)?	No		
4. Will the project introduce or translocate species as a strategy for species conservation or ecosystem restoration (e.g. erosion control, dune stabilisation or reforestation)? If yes, provide details and answer questions a-d	Yes	The project may support the re-introduction of species, based on strict guidelines and IUCN best practice. The project will apply biosecurity protocols to ensure invasive species and diseases are not introduced or spread.	
5. Does the project involve plantation development or production of living natural resources (e.g., agriculture, agroforestry, animal husbandry or aquaculture)? If yes, provide details and answer questions a-d	Yes	The project has a strong focus on restoration of degraded habitats and ecologically appropriate agricultural improvements and animal husbandry	
Answer only if you answered yes to items 4 or 5 above.			
a. Does this project involve non-native species or is there a risk of introducing non-native species inadvertently?	No		Not agreed. It seems unlikely that a project of this scale and complexity can avoid the use of non-native species altogether. In some situations, such use may be appropriate. However, it will be important for the project to develop and apply robust screening measures and biosecurity protocols. There is long history, for example, of non-native grass species that have been used for soil stabilization becoming invasive.
b. If a.is yes, is there a risk that these species might develop invasive behaviour?	No		
c. Is there a risk that the project might create other pathways for spreading invasive species (e.g. through creation of corridors, introduction of facilitatory species, import of commodities, tourism or movement of boats)?	Yes	<p>The project will apply biosecurity protocols to ensure invasive species and diseases are not introduced or spread. However, it should be noted that:</p> <ul style="list-style-type: none"> The Terai has many existing challenges with invasive plants species (e.g. Mikania sp, Lantana sp, Ipomoea, Eupatorium sp, water hyacinth) Tilapia and other fish species have been introduced in some areas <p>The project will seek to improve invasive species control and management. It is likely that some plant species may become more invasive as the climate changes.</p>	The project will lead to increased movement of people and goods to and from the project area and may create new pathways for existing invasive species to spread, or for new invasive species to be introduced. As noted by the proponent, the area already faces serious challenges from a range of existing invasive species, so it will be important that robust biosecurity protocols be adopted to prevent their further spread.

d. Is there a risk that species introduction causes adverse impacts on local people's livelihood?	No		
6. Is there a risk that the project negatively affects water flows on-site or downstream (including increases or decreases in peak and flood flows and low flows) through extraction, diversion or containment of surface or ground water (e.g., through dams, reservoirs, canals, levees, river basin developments, groundwater extraction) or through other activities?	No	The project includes a focus on improving water management and decreasing the risks from natural hazards such as floods and landslides.	It is understood that the measures aiming at controlling landslide and floods are executed by experienced professionals; hence it is assumed that they will be able to avoid unintended negative impacts on surface or ground water flows. The project should nevertheless provide for technical guidance including operational procedures.
7. If the project involves civil works or infrastructure development outside areas of high biodiversity value, is there a risk of significant impact on biodiversity?	No	Most of the interventions will be nature-based solutions.	These may still have an impact on biodiversity if not well managed.
8. Is there a risk that the project negatively affects water dynamics, river connectivity or the hydrological cycle in ways other than direct changes of water flows (e.g., water infiltration and aquifer recharge, sedimentation)? Also consider reforestation projects as originators of such impacts.	No		
9. Is there a risk that the project affects water quality of waterways (e.g., through diffuse water pollution from agricultural run-off or other activities)?	No		
10. Is there a risk that the project affects negatively ecosystem functions and services not covered above, in particular those on which local communities depend for their livelihoods?	No	The project has a major focus on restoring ecosystem services that benefit local communities and, as far as possible, support broader river basin and national objectives for ecosystem services (e.g. catchment protection)	
11. In case the project promotes the use of living natural resources (e.g., by proposing production systems or harvest plans), is there a risk that this might lead to unsustainable use of resources?	No	The project promotes sustainable use of natural resources.	
12. Does the project intend to use pesticides, fungicides or herbicides (biocides)? If yes, provide details and answer questions a-b	No		There seem to be a low likelihood that activity 2.1.3 (Restore the biodiversity of vulnerable forests and grassland ecosystems through the removal and (productive) reuse of invasive species) might require some use of synthetic biocides, even though it is not explicitly stated. If this is confirmed the IUCN Guidance Note on Pest Management Planning needs to be adhered to, which guides the decision whether or not a Pest Management Plan is needed
a. Have alternatives to the use of biocides been rigorously considered or tested?		N/A	
b. Has a pest management plan been established?			

13. In case the project intends to use biological pest management techniques, is there a risk of adversely affecting biodiversity?	No		See above
14. Is there a risk that the project will cause adverse environmental impacts in a wider area of influence (landscape/ watershed, regional or global levels) including transboundary impacts?	No		
15. Is there a risk that consequential developments triggered by the project will have adverse impacts on biodiversity and ecosystem services? Is there a risk of adverse cumulative impacts generated together with other known or planned projects in the sites?	No		

Conclusion of ESMS Reviewer on the Standard on Biodiversity Conservation and Sustainable Use of Natural Resources

Standard triggered? Yes / No / TBD - Explain why	Yes	<p>The Standard is triggered as risks for areas of high biodiversity value have been identified associated with the possible introduction and/or spread of invasive alien species, which will require a robust biosecurity protocols. If the use of pesticides in the sub-projects is confirmed, the IUCN Guidance Note on Pest Management Planning needs to be adhered to a Pest Management Plan might be needed.</p> <p>The nature and significance of these risks cannot be determined at this stage as the implementation sites are not known and the interventions have not been planned in sufficient detail.</p>	
Are assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?		<p>The ESMF will provide a procedure to determine risks of individual sub-projects and whether further impact assessment might be required. It might be useful to commission a KBA analysis to develop a better understanding of the biodiversity values of the project area and the possible presence of KBAs outside the formal protected area system – to be decided during the inception phase.</p>	
Have measures for avoiding impacts already been considered? Are they sufficient?		<p>Generic guidance for mitigating the risks identified above should be provided in the ESMF; the actual mitigation measures will be identified once the interventions are planned in more detail.</p>	

C. Other social or environmental impacts

C1: Other social impacts

	Project proponent		IUCN ESMS Reviewer
	Yes, No, n/a, TBD	Answer question, provide further detail where relevant	Comments, additional considerations
1. Is there a risk that the project affects human rights (e.g., right to self-determination, to education, to health, or cultural rights) – other than those of indigenous peoples which are dealt with in the previous standard? Differentiate between women and men, where applicable.	No		
2. Is there a risk that the project creates or aggravates inequalities between women and men or adversely	No		The projects promotes manual techniques for eradicating/ weeding of invasive species. These are

impacts the situation or livelihood conditions of women or girls?			labor intensive and might put an additional burden on farmers which are often women as men often have emigrated.
3. Explain whether the project use opportunities to secure and, when appropriate, enhance the economic, social and environmental benefits to women?		<p>The project will seek to enhance benefits for women through improved social inclusion in village development planning and decision making, self-help groups, and inclusion in village enterprise development. The project will seek to ensure that such opportunities do not add to the workload of women</p> <p>The project interventions will improve management of water resources, enterprise development, forest management. Women are being directly involved in these sectors for their daily livelihood options. The project interventions will facilitate and enhance livelihood options and secure the economic, social and environmental benefits and safety of women.</p>	These intentions need to be well laid out in the prodoc (e.g. implementation plan) and the results monitored through appropriate indicators.
4. Explain whether the project provide, when appropriate and consistent with national policy, for measures that strengthen women's rights and access to land and resources?		The project will seek to empower women to achieve strengthened rights and access to resources and opportunities, and better inclusion in community land management, where this is appropriate to do so.	
5. Is there a risk that the project benefits women and men in unequal terms that cannot be justified as affirmative action? ⁵	No		
6. Is there a risk that the project might negatively affect vulnerable groups ⁶ in terms of material or non-material livelihood conditions or contribute to their discrimination or marginalisation (only issues not captured in any of the sections above)?	No	<p>Climate change impacts like floods, landslides, drought, forest fire are mostly affecting vulnerable/marginalized groups. The project interventions are designed to address those vulnerable communities with their inclusive participation.</p> <p>Their involvement in decision making process will facilitate and ensure that the identified impacts and intervention are recognized and addressed during the policy and decision making process.</p>	Please explain in the prodoc how the project's inclusive decision making process will ensure that needs of vulnerable/marginalized groups are recognized (also see comments in section B1)
7. Is there a risk that the project would stir or exacerbate conflicts among communities, groups or individuals? Also consider dynamics of recent or expected migration including displaced people.	No	The Middle Hills has seen substantial out-migration in some locations, leaving a higher relative proportion of women, children and elderly in than was previously the case. The main	

⁵ Affirmative action is a measure designed to overcome prevailing inequalities by favouring members of a disadvantaged group who suffer from discrimination. However, if not designed appropriately these measures could aggravate the situation of a previously advantaged groups leading to conflicts and social unrest.

⁶ Depending on the context vulnerable groups could be landless, elderly, disabled or displaced people, children, ethnic minorities, people living in poverty, marginalised or discriminated individuals or groups.

		consequence of out-migration, in terms of the project's planned outputs, is declining availability of labour for agriculture leading to abandonment or changed use of agricultural land.	
8. Is there a risk that the project affects community health and safety (incl. risks of spreading diseases, human–wildlife conflicts)?	No		
9. Is there a risk that a water resource management project could lead to an outbreak of water-related disease?	No		
10. Might the project be directly or indirectly involved in forced labour and/or child labour?	No		
11. Is the project likely to induce immigration or significant increases in population density which might trigger environmental or social problems (with special consideration to women)?	No	The current situation in the Middle Hills and parts of the Mountain area is a net out-migration of people. There is a slight potential that the project activities may lead to increased economic opportunities in pilot sites and this may, in turn, lead to out-migrated people returning, thereby increasing the population in some sites.	
12. Is there a risk that the project could negatively affect the livelihoods of local communities indirectly or through cumulative (due to interaction with other projects or activities, current or planned) or transboundary impacts?	No	The project is designed to support uplift of livelihoods of local communities	
13. Is there a risk that the project affects the operation of dams or other built water infrastructure (reservoirs, irrigation systems, canals) e.g., by changing flows into those structures? If yes, has an inventory of existing water resources infrastructures in the project area been compiled and potential impacts analysed?	Yes	The project will support efforts to improve the use and management of water infrastructure, particularly in terms of water security. This will not be on a large scale and will not greatly affect water flows on a catchment scale.	
14. Are there any statutory requirements for social impact assessments in the host country the project needs to adhere to?	Yes	The requirements for social impact assessments are included in the national EIA processes. Mostly project interventions are nature based so they will not need an EIA process. If an EIA is needed, the requirements will be adhered to by the project	
15. Is there a risk that the project might conflict with existing legal social frameworks including traditional frameworks and norms?	No		
C2: Other environmental impacts			
	Project proponent		IUCN ESMS Reviewer
	Yes, n o, n/a, T BD	Answer question, provide further detail where relevant	Comments, additional considerations
1. Will the project lead to increased waste production, in particular hazardous waste?	No		

2. Is the project likely to cause pollution or degradation of soil, soil erosion or siltation?	No	The project will support soil conservation efforts	
3. Might the project cause pollution to air or create other nuisances such as dust, traffic, noise or odour?	No		
4. Will the project lead to significant increases of greenhouse gas emissions?	No	It will contribute to mitigation, although this is not a primary objective of the project	
5. Is there a risk that the project triggers consequential development activities which could lead to adverse environmental impacts, cumulative impacts due to interaction with other projects (current or planned) or to transboundary impacts (consider only issues not captured under the Biodiversity Standard)?	No		
6. Are there any statutory requirements for environmental impact assessments in the host country the project needs to adhere to?	Yes	National EIA regulations defines projects subject to EIA in schedule 2; activities planned by the project are not included in this list.	
7. Is there a risk that the project might conflict with existing environmental regulations?	No		The ESMF should provide a comprehensive overview of national regulations and how the project is aligned.

Conclusion of ESMS Reviewer on other Social or Environmental Impacts

Are any significant negative environmental or social risks expected?	No	Overall, the probability of environmental and social risks seem low. However, the ESMF should elaborate on the risks in more detail and provide generic mitigation measures.
Are assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?	n/a	
Have measures for avoiding impacts already been considered? Are they sufficient?	To be established in the ESMF.	

D. Climate change risks (Risks caused by a failure to adequately take the effects of climate change on people and ecosystem into consideration)

	Project proponent	IUCN ESMS Reviewer
	Yes, n o, n/a, T BD	Answer question, provide further detail where relevant <i>Comments, additional considerations</i>

1. Have the historical, current, and future trends in climate variability and change including climate sensitivity ⁷ been analysed in the project area?	Yes	There is a substantial body of data and analysis on climate change in Nepal	
2. Is the project area prone to specific climate hazards (e.g., floods, droughts, wildfires, landslides, cyclones, storm surges, etc.)?	Yes	The project area includes highly vulnerable sites and communities, particularly in relation to altered rainfall/precipitation patterns (late onset monsoon, floods and storms), landslides, glacial outbursts, glacial retreat, agricultural/ horticultural disease outbreaks.	
3. Are changes in biophysical conditions in the project area triggered by climate change expected to impact people's livelihoods? Are some groups more susceptible than others (e.g., women or vulnerable groups)?	Yes	Changes are already being experienced in agricultural landscapes and possibly with natural habitats and species. Some sites have experienced changes in invasive species Poorer communities and those in geologically hazardous locations, such as on very steep slopes, are at high risk.	
4. Is there a risk that climate variability and changes might affect the effectiveness of project activities or the sustainability of intended changes?	No		
5. Could project activities potentially increase the vulnerability of local communities to current or future climate variability and changes?	No		
6. Could project activities potentially increase the vulnerability of the local ecosystem to current or future climate variability and changes?	No		
7. Is there a risk that the project might lead to climate maladaptation through yielding short-term benefits while increasing longer-term climate risks?	No		
8. Explain whether the project seek opportunities to enhance the adaptive capacity of communities and ecosystem to climate change?		Enhanced natural resource management and restoration of degraded ecosystems will increase the resilience of ecosystems to climate change. Enhancement protection and management of ecosystem services, including climate change regulation, will increase the resilience of communities.	
Conclusion of ESMS Reviewer on the Climate Change Risks			
Are negative impacts expected from the project?	No	It is the project's explicit intention to enhance ecosystems and communities' resilience to climate change. Activities are designed around this objective with appropriate technical and scientific rigor.	

⁷ Sensitivity is the degree to which a system can be affected, negatively or positively, by climate-related stimuli. IPCC, 2001

Are assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed? Have measures for avoiding impacts already been considered? Are they sufficient?

Species selection for forest restoration might require a dedicated assessment on climate change vulnerability.

Appendix 2

Rapid social baseline analysis – sample template outline

The rapid social baseline analysis should cover the following topics:

- Establishment of the sub-project's area of influence which is defined as the area where project activities take place and that is influenced by project activities.
- Specify the number of villages/hamlets and provide census data on population (including demographic trends) and maps.
- Identification of main social groups (including indigenous peoples, ethnic groups or minorities, different caste, vulnerable groups such as landless persons, marginalized groups, female-headed households or displaced people etc.) and qualitative description of these groups in terms of:
 - socio-economic status (livelihood activities and sources of income), levels of literacy and access to services and opportunities, access to /ownership of land (including communal land);
 - dependence on natural resources for livelihood purpose and values and attitudes toward natural resources
 - risks and challenges faced by social groups (including impacts from of climate change), issues of discrimination and marginalization and existing or potential conflicts between or among groups
 - impacts from climate change (with particular focus on the vulnerable groups);
 - developmental aspiration and opportunities, differences in capabilities, know-how and access to or control over resources;
 - with respect to indigenous peoples also describe
 - whether the respective indigenous groups are recognized by the National Foundation of Indigenous Nationalities (NFDIN), as indigenous nationalities
 - traditional livelihoods, spiritual / cultural beliefs and values including perspectives on the environment;
 - customary institutions and rules and relevant organizations.
- Gender analysis: provide gender-disaggregation of all of the above themes, elaborate in particular on differences in roles, practices and knowledge, on rights and power (including influence on decision making) as well as access to and control over resources;
- Important cultural resources (e.g. burial sites, buildings or monuments of archaeological or spiritual value) and natural features with cultural, or spiritual significance (e.g. sacred natural sites, ceremonial areas etc.)
- Description of related/relevant projects or developments in the project area that might provide opportunities or trigger negative cumulative impacts;
- Known sensitivities, public concerns about development plans or actions and relevant occurrences (e.g. past resettlement processes, legacy issues/historic injustices/any people affected by the establishment of the PA, concerns raised by local communities etc.)

Stakeholder engagement during the rapid social analysis must be guided by the principles laid out in chapter 7.1. The study must further adhere to the policy objectives, principles and procedures of the ESMS Standard on Indigenous Peoples explained in the ESMF in chapter 6.2.

Appendix 3

ESMS Screening & Clearance Report - *TEMPLATE*⁸

Project Data *(The fields below are completed by the project proponent)*

Sub-project title:			
Executing entity:		Geography/landscape:	
ESMS Questionnaire completed by:			

ESMS Screening of Sub-project *(The below Screening Report is completed by the IUCN ESMS reviewer(s))*

	Name	IUCN unit and function	Date		
IUCN ESMS Reviewer:					
	Title		Date		
Documents submitted at Screening stage:					
ESMS Screening Report		Required assessment topics or management measures/plans	Rating of environmental and social risks⁹		
Environmental and Social Risks (potential negative impacts) <i>(see section B of the questionnaire for details)</i>			Likelihood (1-5)	Impact (1-5)	Significance (L, M, H)
Gender equality and risks					
Risks of affecting vulnerable groups					
Community health, safety and security risks					
Labour and working conditions					

⁸ IUCN ESMS Screening and Clearance Report template version 28.2.2020 – adjusted to GCF Gandaki

⁹ The entries for likelihood and impact are taken from the ratings established at the end of each section in the questionnaire. Guidance for rating the likelihood, impact and significance is provided below (see heading in purple). For more information on these ratings, please see the Guidance Note on Assessment and Management of Environmental and Social Risks available at www.iucn.org/esms.

Risk of violating human rights					
Resource efficiency, pollution, wastes, chemicals and GHG emissions					
Risk of project design failing to take climate change into account					
Other environmental or social risks <i>(add new rows below for each risk)</i> :					
ESMS Standards	Trigger	Required management measures/plans	Likelihood (1-5)	Impact (1-5)	Significance (L, M, S, H)
Involuntary Resettlement & Access Restrictions <i>(see section C1 of the questionnaire for details)</i>	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD	<input type="checkbox"/> Resettlement Action Plan <input type="checkbox"/> Resettlement Policy Framework <input type="checkbox"/> Action Plan to Mitigate Impacts Access Restriction <input type="checkbox"/> Access Restrictions Mitigation Process Framework <input type="checkbox"/> Other:			
Indigenous Peoples <i>(see section C2 of the questionnaire for details)</i>	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD	<input type="checkbox"/> Indigenous Peoples Plan <input type="checkbox"/> Indigenous Peoples Planning Framework <input type="checkbox"/> Other:			
Cultural Heritage <i>(see section C3 of the questionnaire for details)</i>	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD	<input type="checkbox"/> Chance Find Procedures <input type="checkbox"/> Other:			
Biodiversity & Sustainable Use Natural Resources <i>(see section C4 of the questionnaire for details)</i>	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD	<input type="checkbox"/> Pest Management Plan <input type="checkbox"/> Other:			
Sub-project Risk Category:	<i>The sub-project risk category rates the overall sub-project; it is based on the rating of likelihood and magnitude established for each E&S risk area and for the ESMS Standards. The overall rating is usually that of the highest risk.</i>		<input type="checkbox"/> low risk	<input type="checkbox"/> moderate risk	<input type="checkbox"/> high risk
Required assessments and management measures/plans:	<input type="checkbox"/> Full Environmental and Social Impact Assessment (Full ESIA) <input type="checkbox"/> Partial ESIA <input type="checkbox"/> Targeted Assessment (social assessment, targeted environmental studies etc.)		<input type="checkbox"/> Environmental and Social Management Plan (ESMP) <input type="checkbox"/> Environmental and Social Management Framework (ESMF) <input type="checkbox"/> Abbreviated ESMF <input type="checkbox"/> Other:		
Brief summary of the main findings: main risk issues, their significance and justification of the overall project risk categorization; assessments and measures / plans to address risks and to meet provisions of the ESMS Standards and timing of each					

Guidance for rating environmental and social risks

The rating of risks is based on the assumptions that the management measures and plans specified in the respective column are implemented and effective in mitigating the risk. It is good practice that the plans are available before ESMS Clearance. Risk rating is based on the two elements: likelihood and the expected impacts (consequence).

Likelihood represents the possibility that a given risk event is expected to occur. The likelihood should be established using the following five ratings: *Very unlikely to occur (1)*, *Not expected to occur (2)*, *Likely – could occur (3)*, *Known to occur - almost certain (4)*, *Common occurrence (5)*

Impact (or consequence) refers to the extent to which a risk event might negatively affect environmental or social receptors – see below criteria distinguishing five levels of impacts:

Table 1: Rating impact of a risk event

<i>Severe (5)</i>	Adverse impacts on people and/or environment of very high magnitude , including very large scale and/or spatial extent (large geographic area, large number of people, transboundary impacts), cumulative, long-term (permanent and irreversible) ; receptors are considered highly sensitive ; examples are severe adverse impacts on areas with high biodiversity value ¹⁰ ; severe adverse impacts to lands, resources and territories of indigenous peoples; significant levels of displacement or resettlement with long-term consequences on peoples' livelihood; impacts give rise to severe and cumulative social conflicts with long-term consequences.
<i>Major (4)</i>	Adverse impacts on people and/or environment of high magnitude , including large scale and/or spatial extent (large geographic area, large number of people, transboundary impacts), of certain duration but still reversible if sufficient effort is provided for mitigation; receptors are considered sensitive; examples are adverse impacts on areas with high biodiversity value; adverse impacts to lands, resources and territories of indigenous peoples; significant levels of displacement or resettlement with temporary consequences on peoples' livelihood; impacts give rise to social conflicts which are expected to be of limited duration.
<i>Medium (3)</i>	Adverse impacts of medium magnitude, limited in scale (small area and low number of people affected), limited in duration (temporary), impacts are relatively predictable and can be avoided, managed and/or mitigated with known solutions and straight forward measures.
<i>Minor (2)</i>	Adverse impacts of minor magnitude, very small scale (e.g. very small affected area, very low number of people affected) and only short duration, may be easily avoided, managed, mitigated.
<i>Negligible (1)</i>	Negligible or no adverse impacts on communities, individuals, and/or on the environment.

Significance of risks is established by combining likelihood and expected impact (consequence) of a risk event as demonstrated in the table 2. The significance rating signals how much attention the risk event will require during sub-project development and implementation and the extent of control actions to be put in place.

Table 2: Rating significance of a risk event

		Likelihood of occurrence				
		<i>Very unlikely to occur (1)</i>	<i>Not expected to occur (2)</i>	<i>Likely – could occur (3)</i>	<i>Known to occur - almost certain (4)</i>	<i>Common occurrence (5)</i>
Impact	<i>Severe (5)</i>	Moderate	Moderate	High	High	High
	<i>Major (4)</i>	Low	Moderate	Moderate	Moderate	High
	<i>Medium (3)</i>	Low	Low	Moderate	Moderate	Moderate
	<i>Minor (2)</i>	Low	Low	Low	Moderate	Moderate
	<i>Negligible (1)</i>	Low	Low	Low	Low	Low

¹⁰ For the definition see IUCN ESMS Standard on Biodiversity Conservation and Sustainable Use of Natural Resources.

ESMS Clearance of Sub-project

The purpose of the ESMS Clearance is to confirm the risk classification that has been established by the ESMS Screening and to review and approve the risk assessments and safeguard tools. It is completed at the **end of sub-project development** prior to approval of the sub-project. The fields below are completed by the IUCN ESMS reviewer.

	Name	IUCN unit and function		Date
IUCN ESMS Reviewer Clearance Stage:				
	Title			Date
Documents submitted at Clearance Stage:				
Have findings from the risk assessment triggered any changes to the risk classification of the project? If yes, explain and indicate the risk areas where modifications were made.				
Have the ESMS actions requested by the ESMS Screening been completed? Has this been done in a satisfactory manner? Has the implementation of the tools been budgeted for?				
Are there ESMS actions requested by the ESMS Screening that still need to be completed during the project? If yes, specify the actions and respective deadlines?				
Has the quality of stakeholder consultation during sub-project design been adequate?				
CLEARANCE DECISION				
<input type="checkbox"/> Cleared		The conclusions are positive and the project proposal meets all requirements with regards to avoiding or reducing environmental and social risks: the proposal is accepted.		
<input type="checkbox"/> Conditionally cleared		The conclusions above call for improving one or more ESMS action and/or for important re-formulation of tools and mitigation measures. This will lead to the proposal being conditionally cleared; the reviewer will provide guidance on the way forward.		
<input type="checkbox"/> Clearance rejected		Essential ESMS provisions have not been complied with and critical mitigation measures have not been incorporated or don't seem feasible or sufficient for avoiding or minimizing impacts; or significant data gaps still prevail and additional field assessments are required.		
Rationale – Explain clearance decision (why cleared, conditionally cleared or rejected):				
Clearance conditions (when conditionally cleared) - Explain tasks to be completed during the project:				
Approval ESMS Clearance				
Name	IUCN Unit and Function		Date	Signature

Annex: ESMS Questionnaire – to be completed for each sub-project as a preparation for the ESMS Screening

A. Sub-project summary

Please summarise the sub-project briefly using no more than one page. The summary can be in form of bullet points. Include expected outputs, activities and project sites.

Guidance on completing the questionnaire

- Answer the questions in the 'Project proponent' column by selecting 'Yes, no, n/a (not applicable) or TBD (to be determined)'; in the second column provide additional information - describing the risk, whether it will need to be further **assessed**, and/or how the risks will be **avoided or managed** (minimized or mitigated).
- If you don't have the required information, describe how you would gather the data during the project preparation phase or during project implementation. Please note that additional activities identified and specified in this exercise will either need to be integrated into the ToR for the risk assessment or into the project design as project activity. E.g. if you describe that land rights of local communities will be assessed, this either needs to be included in the ToR of a social assessment or specified as project activity.
- If the information requested can be found in the project proposal, please also reference the specific section of the proposal where this stated.

B. Assessment of social or environmental impacts

Please consider not only direct environmental and social impacts but also potential indirect¹¹ , cumulative¹² and transboundary impacts as well as impacts of associated facilities¹³			
	Project proponent		IUCN ESMS Reviewer
	Yes, no, n/a, TBD	Answer question and describe how the risks are being assessed, avoided or managed	Comments, additional considerations
Gender equality and risks (including gender-based violence)			
13. Is there a risk that the project may discriminate against women or other groups based on gender with regards to access to resources, services, or benefits provided by the project?			
14. Is there a risk that project activities inadvertently create, exacerbate or perpetuate gender-related inequalities ?			
15. Is there a risk that the project potentially limits women's ability to use, develop or protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?			
16. Is there a risk that persons employed or engaged by the project executing agency or through third parties to perform work related to core functions of the project might engage in gender based violence (including sexual exploitation, sexual abuse, or sexual harassment)? Have any such incidents been reported in the past?			
Conclusion of ESMS Reviewer on¹⁴		Estimated likelihood of risks (1-5):	Estimated impact (1-5):

¹¹ Indirect impacts refer to unplanned but predictable activities enabled by the project including those that may occur later or at a different location. Example: Equipment intended for species monitoring (camera traps) enhances law enforcement.

¹² Cumulative Impact means the collective impact of a project's incremental impact added to the impacts of other relevant past, present and reasonably foreseeable future developments. Example: Investments in tourism development by the Government leads to substantial increase in number of tourists that frequent a site and turns a project-funded PA access road into a major cause for disturbance for wildlife. .

¹³ Associated Facility or Activities means a facility or activity not funded as part of the project that is necessary for the financial and/or operational viability of the project, and would not have been constructed or expanded if the project did not exist. Example: a visitor centre built by the project might require an access road as associated facility – the construction of which might trigger environmental impacts.

¹⁴ Please see guidance given above for estimating the **probability** of the event to occur and its **impact** (consequence) on the receptor. It is understood that there might still be a considerable degree of uncertainty.

Risk of affecting vulnerable groups ¹⁵			
17. Has the project site been assessed on the presence of vulnerable or disadvantaged groups or individuals. Please name the groups; ensure that those referred to in the footnote were considered in the analysis.			
18. Is there a likelihood that project risks and negative impacts fall disproportionately on disadvantaged or vulnerable individuals or groups? Consider impacts on material and on non-material livelihood conditions. Also consider changes in land use and/or tenure arrangements with a risk of disproportionately affecting vulnerable groups, including people coming from outside the project area such as internally displaced people.			
19. Is there a risk that the project might discriminate against vulnerable groups with regards to participation in the design and implementation of project activities or to access to resources, services, or benefits provided by the project?			
Conclusion of ESMS Reviewer on		Estimated likelihood of risks (1-5):	Estimated impact (1-5):
Risks of violation human rights, including substantive and procedural rights			
20. Could the project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of individuals or groups? In terms of economic rights, consider in particular their ability to access services or resources essential to basic needs (e.g. health or education, drinking water, productive resources, sources of income, subsistence food production).			
21. Is there a likelihood that the project might lead to unjustified preferential treatment of individuals or groups (e.g. in terms of access to resources or services provided by the project) or to the formal or de facto restriction or exclusion ¹⁶ of groups from access to such resources or services?			
22. Is there a likelihood that the project would exclude individuals or groups from fully participating in decisions that may affect them?			
23. Is there a likelihood that the project might contribute to the discrimination or marginalization of specific groups? (only mention situations not specified in any of the questions above)			

¹⁵ Depending on the context vulnerable groups could be landless or elderly people, persons with disabilities, children, ethnic minorities, displaced people, people living in poverty, marginalised or discriminated individuals or groups, among others.

¹⁶ Examples for *de facto* restriction or exclusion are: information is not made available in appropriate languages, individuals with no/low income or without tenure rights (or registered titles) can't access services (e.g. agricultural extension services, persons with disabilities are confronted with physical barriers that block their access; certain groups are stigmatised by society and thus have no access services.

24. Within the project area, are there any indications of legacy issues , current conflicts or human rights infractions ? Have any of the project's potential partner organizations and stakeholders been involved in human rights conflicts in the past? Consider in particular situations such as failing to respect the rights or livelihood needs of indigenous or local communities during the process of protected area establishment, forced eviction of people, resettlement process where agreed arrangements and compensations were not complied with or other actions that resulted in historical injustice.			
Conclusion of ESMS Reviewer on		Estimated likelihood of risks (1-5):	Estimated impact (1-5):
Community health, safety and security			
25. Has the region where the project is located been subject to civil war, inter-ethnic conflict, insurgency in the last 10 years. If so, please describe briefly			
26. Is the region where the project is located affected by organized poaching, drug cultivation or trafficking, or other organized crime . If so, please briefly summarize the situation			
27. Will the project work in a transboundary region (including coastal and marine areas)? If so, are there areas affected by organized smuggling (wildlife products, drugs, etc.), trafficking in persons or illegal migration?			
28. Will the project or the project partners provide support for law enforcement activities ? If so, please describe briefly			
29. Has there been any history of conflict between the protected area/s and local people in the last 5 years? If so, what are the issues that have motivated the conflict (e.g. poaching, logging, land invasions, disputes over access rights, artisanal mining)?			
30. Do park rangers or other law enforcement personnel carry firearms in the course of their duty?			
31. Is there a potential risk that the project could exacerbate existing conflicts or generate conflicts in the project area?			
32. Is there a risk that project activities might weaken community institutions or disrupt social interactions in the project areas?			
33. Could the project potentially increase the risk of human-wildlife conflicts , including injury or loss of life among people in the project areas?			
34. Is there a risk that the project exposes local communities to accidents or increases their vulnerability to natural hazards or disasters ? This would include exposure to hazardous substances, accidents involving vehicles and equipment, and risks related to infrastructure built by the project, in particular in areas subject to floods, hurricanes, earthquakes, etc.			

35. Could the project cause or exacerbate health and safety risks through changes related to water infrastructure (e.g. by changing flows into water infrastructure, triggering water-born or -based diseases) or through increasing risks of other vector-borne diseases or communicable infections? Examples include the creation of stagnant water bodies, livestock activities affecting quality of portable water etc.			
36. Is there a probability that the project could have adverse impacts on community health and safety through reduction in local air quality (e.g. through generation of dusts, burning of wastes, or burning fossil fuels and other materials in improperly ventilated areas)?			
Conclusion of ESMS Reviewer on		Estimated likelihood of risks (1-5):	Estimated impact (1-5):
Labor and working conditions affecting project workers – please note that these include people directly employed on the project, partner agency personnel (e.g. park rangers), people employed by contractors, community workers and people engaged in community work programs (see definition in footnote ¹⁷)			
37. Would the project potentially lead to working conditions that fail to comply with national labor laws and international commitments? Consider the following minimum requirements ¹⁸ : <ul style="list-style-type: none"> • clear documentation of employment terms and conditions (including their rights under national law related to hours of work, wages, overtime, compensation and benefits); • regular and timely payment of wages; adequate periods of rest (incl. holiday, sick, maternity, paternity, and family leave); • principles of non-discrimination, equal opportunity and fair treatment relating to any aspect of employment relationships in the context of the project (e.g. hiring and treatment of workers); • prevention of harassment, intimidation, and exploitation in the workplace, in particular of vulnerable workers, including but not limited to women, children of working age, migrants and persons with disabilities; • freedom of association and collective bargaining. 			
38. Will the project work with community-based organisations, community rangers or other local volunteers? If so, for what kind of activities? What training will be provided?			
39. Is there a risk that project workers including volunteers or people engaged in community work programs might be exposed to occupational health and safety (OHS) risks including risks related to vehicles and equipment, chemical or biological hazards, exposure to infectious and vector borne diseases and specific threats to women)?			

¹⁷ Project workers refer to (i) people employed or engaged directly by the project executing entity to work specifically in relation to the project, (ii) people employed or engaged through third parties to perform work related to core functions of the project, (iii) community workers employed or voluntarily engaged in a project.

¹⁸ The minimum requirements are established in the ESMS Guidance Note on Assessment and Management of Environmental and Social Risks available at: www.iucn.org/esms

40. Are project workers (e.g. rangers, community patrols) exposed to the risk of violence in the course of their duties (e.g. exposure to armed poachers or criminal groups involved in drug trafficking)?			
41. Are there any circumstances in which the project may be involved with forced labor (e.g. any work or service which someone has not volunteered for and is forced to do) or harmful child labor ¹⁹ ? Child labor would be considered harmful if it interferes with a child's education or could be detrimental to a child's health or mental, spiritual, moral, or social development. This would apply to project workers and partner organizations, including farms and other enterprises that receive benefits or services from the project.			
Conclusion of ESMS Reviewer on		Estimated likelihood of risks (1-5):	Estimated impact (1-5):
Resource efficiency, pollution, wastes, chemicals and GHG emissions			
42. Is there a risk that the project might lead to releasing pollutants to the environment or increased generation of waste or waste water due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts? Consider in particular hazardous waste.			
43. Does the project activities involve a significant use of energy, water or other resources ? If yes, explain how it will be ensured that resources are used efficiently.			
44. Might the project use or promote the use of chemicals or other hazardous materials subject to international bans, restrictions or phase-outs? ²⁰ Please note that the use of pesticides are covered in the Biodiversity Standard (Section C4).			
45. Will the project lead to significant increases of greenhouse gas emissions or to a substantial reduction of carbon pools (e.g. through loss in vegetation cover or below and above ground carbon stocks)?			
Conclusion of ESMS Reviewer on		Estimated likelihood of risks (1-5):	Estimated impact (1-5):
Climate Change (risks of project design failing to take climate change into account)			
46. Is there a risk that climate variability and changes might affect the effectiveness of project activities or the sustainability of intended changes? If yes, explain how the project intends to lower such risk.			

¹⁹ IUCN follows ILO Convention 138 on Minimum Age that sets the general minimum age for admission to employment or work at 15 years (13 for light work) and the minimum age for hazardous work at 18 (16 under certain strict conditions). It provides for the possibility of initially setting the general minimum age at 14 (12 for light work) where the economy and educational facilities are insufficiently developed. For more information on the prevention of harmful Child Labour, please see the Guidance Note on Assessment and Management of Environmental and Social Risks available at www.iucn.org/esms.

²⁰ For instance, substances listed under the Stockholm Convention on Persistent Organic Pollutants, or other chemicals or hazardous materials subject to international bans, restrictions or phase-outs due to high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential depletion of the ozone layer, consistent with relevant international treaties and agreements.

47. Is there a risk that project activities potentially increase the vulnerability of local communities or the local ecosystem to climate variability, temperature increases or climate hazards (e.g., floods, droughts, wildfires, landslides, cyclones, storm surges, etc)?	No		
Conclusion of ESMS Reviewer on		Estimated likelihood of risks (1-5):	Estimated impact (1-5):
Other environmental or social risks			
48. Please list in the row(s) below any other identified direct, indirect (induced or cumulative), and transboundary environmental and social risks, and the risks and impacts of associated facilities: ²¹			
Conclusion of ESMS Reviewer on		Estimated likelihood of risks (1-5):	Estimated impact (1-5):
Overall conclusion of ESMS Reviewer on negative Social and/or Environmental Impacts			
Have negative environmental or social impacts been identified? Are assessments required to better understand the impacts? What specific topics are to be assessed? Have measures for avoiding impacts already been considered? Are they sufficient?			

C. Potential impacts related to ESMS standards

C1: Standard on Involuntary Resettlement and Access Restrictions²²

	Project proponent		IUCN ESMS Reviewer
	Yes, no, n/a, TBD	Answer question and describe how the risks are being assessed, avoided or managed	Comments, additional considerations
8. Will the project involve resettling people or communities involuntarily and/or acquiring their land (e.g. for the creation of a strict nature reserve or reducing the threat of wildlife related incidents for communities living in reserves)? if yes, answer a-b below		Shaded cells do not need to be filled out	Shaded cells do not need to be filled out
b. Describe the project activities that require resettlement.			
c. Have alternative project design options for avoiding resettlement been rigorously considered?			

²¹ Example for cumulative impact: A project builds an access road for PA staff, but another project builds a visitor center in the PA which increases traffic on the road and causes disturbance for nesting sites etc.

²² The term “**involuntary resettlement**” refers to project-related land acquisition and restrictions on land use which have adverse impacts on communities and persons. Project-related land acquisition or restrictions on land use may cause physical displacement (relocation, loss of residential land or loss of shelter), economic displacement (loss of land, assets or access to assets, leading to loss of income sources or other means of livelihood), or both. Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement (World Bank ESS5)

9. Is there a risk that the project will involve forced eviction ²³ ?			
10. Does the project include activities that might cause economic displacement by restricting peoples' access to land or natural resources where they have recognized rights (legally or customarily defined)? Please consider the following activities: establishing new protected areas (PA) or extending the area of an existing PA, improving enforcement of PA regulations (e.g. training guards, providing monitoring and/or enforcement equipment, providing training/tools for improving management effectiveness), constructing physical barriers that prevent people accessing certain places; changing how specific natural resources are managed to a management system that is more restrictive ²⁴ ; if yes, answer a-h below			
Answer only if you answered yes to item 3			
d. Indicate the project activities that (might) involve restrictions <u>and</u> the respective land or resources to be restricted including communal property and natural resources (e.g. marine and aquatic resources, timber and non-timber forest products, fresh water, medicinal plants, hunting and gathering grounds and grazing and cropping areas.			
e. Based on a thorough analysis of the legal framework regulating land tenure and access to natural resources (broken down by different social groups including women and ethnic/indigenous groups), can it be confirmed that restrictions implemented by the project might affect groups or individuals who have recognized rights to the respective land or natural resources? Or would the restrictions potentially affect individuals who do not have recognized rights but are highly dependent on the land/resource? If both questions are answered with no, skip to question 4; otherwise continue answering c-h below			
f. Is there a risk that project induced access restrictions will negatively affect people's livelihoods? Consider impacts due to a. Loss of access to natural resources in a particular area, b. Loss of access to social services such as schools, health care etc,			

²³ It is important to understand that Involuntary resettlement is different from "**forced eviction**"; the latter being defined as the permanent or temporary removal **against the will** of individuals, families, and/or communities from the homes and/or land which they occupy without the provision of, and access to, appropriate forms of legal and other protection (WB ESS5). Forced evictions is an extreme form of involuntary resettlement and "constitutes a gross violation of human rights, in particular the right to adequate housing" (Commission on Human Rights, Resolution 1993/77).

²⁴ Note that the Standard "does not apply to restrictions of access to natural resources under community-based natural resource management projects, i.e., where the community using the resources collectively decides to restrict access to these resources" (e.g. introduction of restrictions to ensure continued access to these resources) "provided that an assessment establishes that the community decision-making process is adequate and reflects voluntary, informed consensus, and that appropriate measures have been agreed and put in place to mitigate adverse impacts, if any, on the vulnerable members of the community" (WB ESS5).

<p>c. Change of quality/quantity of resources a household can access, d. Change in seasonal access to a resource, e. Change in nature of access (i.e. from unregulated to regulated), f. Change in types of assets needed to access resources;</p> <p>If yes, please elaborate on the different livelihood elements that are affected, explain who might be affected and describe impacts. Distinguish between social groups (incl. vulnerable groups, indigenous peoples), men and women; also consider impacts of restrictions on people coming from outside of the project area. If yes, answer d-h below; otherwise skip to question 4</p>			
g. Have strategies been considered to avoid restrictions by making changes to project design? If yes, explain.			
h. If it is not possible to avoid restrictions, will the project include measures to minimize or compensate for impacts from loss or restrictions of access? Please describe the measures.			
i. Are eligibility criteria established that define who is entitled to benefit from these measures? Are they transparent and fair (e.g. in proportion to their losses and to their needs if they are poor and vulnerable)?			
j. Are these measures culturally appropriate and gender inclusive? Does the geographical scale of the measures match the scale of the restrictions (e.g. will measures be accessible to all groups affected by the restrictions)?			
k. Has a process been implemented or started to obtain consent from groups that are likely to be negatively affected by restrictions? Please describe the process (who has been consulted and how).			
11. Will/might the project require the acquisition of land for purposes other than the conservation objectives described above? E.g. for building (communal) infrastructure (development of water tanks, irrigation canals, access roads etc.). If yes, describe the legal status/ownership of the land that might be subject to land acquisition. If voluntary donations are considered, explain how it will be ensured that no pressure or coercion is involved.			
Conclusion of ESMS Reviewer on the Standard on Involuntary Resettlement and Access Restrictions			

<p>What are the main gaps with regards to the provisions of the Standard? What are the main risks and who are the main groups potentially affected? Are assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed? Have measures for avoiding impacts already been considered? Are they sufficient? What safeguard tools are to be prepared (e.g. Process Framework)? When would the tools need to be available (complete and accepted)? When would the tools need to be available (complete and accepted)?</p>			
Standard triggered? (Yes / No / TBD)		Estimated likelihood of risks (1-5):	Estimated impact (1-5):

C2: Standard on Indigenous Peoples ²⁵

	Project proponent		IUCN ESMS Reviewer
	Yes, no, n/a, TBD	Answer question and describe how the risks are being assessed, avoided or managed	Comments, additional considerations
2. Does the project site ²⁶ overlap with lands or territories claimed indigenous peoples, tribal peoples or other traditional peoples? If yes, answer questions a-k			
3. Even if indigenous groups are not found at the project sites, is there still a risk that the project could affect the rights and livelihood of indigenous peoples?. If yes, answer questions a-i			
Answer only if you answered yes to 1 or 2 above.			
a. Name the groups; distinguish, if applicable, the geographical areas of their presence (including the areas of resource use) and how these relate to the project's area of influence.			
b. What are the key characteristics that qualify the identified groups as indigenous groups? Do these groups identify themselves as			

²⁵The coverage of indigenous peoples includes: (i) peoples who identify themselves as "indigenous" in strict sense; (ii) tribal peoples whose social, cultural, and economic conditions distinguish them from other sections of the national community, and whose status is regulated wholly or partially by their own customs or traditions or by special laws or regulations; and (iii) traditional peoples not necessarily called indigenous or tribal but who share the same characteristics of social, cultural, and economic conditions that distinguish them from other sections of the national community, whose status is regulated wholly or partially by their own customs or traditions, and whose livelihoods are closely connected to ecosystems and their goods and services

²⁶ The project site is defined as the project's area of influence. This is often larger than the site where actual project activities are located as it considers the area impacted by the activities. For example, a project that intervenes in a PA through strengthening law enforcement will also impact groups that live just outside a PA but have historically hunted inside the PA, even before it was created.

indigenous? And how does the host country's Government refer to these groups?			
c. Explain whether communities have traditionally lived in the project site or whether there are groups or some households who have moved from their traditional area to the project site to be in or near a protected area for economic reasons. ²⁷			
d. Is there a risk that the project affects their livelihood through physical or economic displacement ? While this is covered in section C2, if yes, please specify the indigenous groups affected. For projects promoting protected areas, distinguish between communities whose traditional resource use areas overlap with the PA, even before it was created, from those who have a recent history and presence there.			
e. Is there a risk that the project affects indigenous peoples' rights or livelihood by using or commercially developing natural resources on lands and territories claimed by them, by affecting their traditional livelihood, their self-determination, cultural identity, values and practices, or their development priorities?			
f. Is there a risk of affecting the cultural heritage of indigenous peoples by using or contributing to the commercialisation of indigenous peoples' traditional knowledge (including ecological) or practices?			
g. Are any indigenous groups living in voluntary isolation ? If yes, how does the project respect their rights (paying attention to national laws on the matter) and avoid any negative impacts?			
h. Explain whether and how legitimate representatives of indigenous groups have been consulted to discuss the project and better understand potential impacts upon them? Has a process been started or implemented to achieve their free, prior and informed consent (FPIC) to activities that might affect them (positively or negatively)?			
i. Explain whether opportunities are considered to provide benefits for indigenous peoples? If yes, is it ensured that this is done in a way agreed with them and is culturally appropriate and gender inclusive?			
Conclusion of ESMS Reviewer on the Standard on Indigenous Peoples			

²⁷ It is important to bear in mind that the Standard is seen to generally apply to the community and not to an individual that may have left the community.

<p>What are the main gaps with regards to the provisions of the Standard? What are the main risks and who are the main groups potentially affected? Are assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed? Have measures for avoiding impacts already been considered? Are they sufficient? What safeguard tools are to be prepared (e.g. Indigenous Peoples Plan)? When would the plans need to be available (complete and accepted)?</p>			
Standard triggered? (Yes / No / TBD)		Estimated likelihood of risks (1-5):	Estimated impact (1-5):

C3: Standard on Cultural Heritage²⁸

	Project proponent		IUCN ESMS Reviewer
	Yes, no, n/a, TBD	Answer question and describe how the risks are being assessed, avoided or managed	Comments, additional considerations
5. Is the project located in or near a site officially designated or proposed as a cultural heritage site (e.g., UNESCO World Cultural or Mixed Heritage Sites, or Cultural Landscapes) or a nationally designated site for cultural heritage protection? if yes, answer a-c below			
6. Does the project site include important cultural resources such as burial sites, buildings or monuments of archaeological, historical, artistic, religious, spiritual or symbolic value? if yes, answer a-c below			
7. Does the project area site include any natural features or resources that are of cultural, spiritual, or symbolic significance (such as sacred natural sites, ceremonial areas, or sacred species)? if yes, answer a-c below			
a. Will the project involve development of infrastructure (e.g. roads, building, dams) or construction of buildings (e.g. visitor centre, watch tower)?			
b. Will the project involve excavation or movement of earth (e.g. for slope restoration, landslides stabilisation), flooding or physical environmental changes (e.g., as part of ecosystem restoration)?			
c. Is there a risk that physical interventions described in items a. and b. might affect known or unknown (buried) cultural resources?			

²⁸ Cultural heritage is defined as tangible or intangible, movable or immovable cultural resource or site with paleontological, archaeological, historical, cultural, artistic, religious, spiritual or symbolic value for a nation, people or community, or natural feature or resource with cultural, religious, spiritual or symbolic significance for a nation, people or community associated with that feature.

8. Will the project restrict local users' access to cultural resources or natural features/sites with cultural, spiritual or symbolic significance?			
9. Is there a risk that project activities might affect in-tangible cultural resources such as values, norms or practices of local communities?			
10. Will the project promote the use of or the development of economic benefits from cultural heritage resources or natural features/sites with cultural significance to which local communities have recognized rights (legally or customarily defined)?			
Conclusion of ESMS Reviewer on the Standard on Cultural Heritage			
<p>What are the main gaps with regards to the provisions of the Standard?</p> <p>What are the main risks and what are the main receptors (groups, resources) potentially affected?</p> <p>Are assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?</p> <p>Have measures for avoiding impacts already been considered? Are they sufficient? What are the safeguard tools to be prepared (e.g. Chance Find procedures)? When would these need to be available (complete and accepted)?</p>			
Standard triggered? (Yes / No / TBD)		Estimated likelihood of risks (1-5):	Estimated impact (1-5):

C4: Standard on Biodiversity Conservation and Sustainable Use of Natural Resources

	Project proponent		IUCN ESMS Reviewer
	<i>Yes, no, n/a, TBD</i>	<i>Answer question and describe how the risks are being assessed, avoided or managed</i>	<i>Comments, additional considerations</i>
16. Is the project located in or near areas <ul style="list-style-type: none"> legally protected or officially proposed for protection including reserves according to IUCN Protected Area Management Categories I - VI, UNESCO Natural World Heritage Sites, UNESCO Biosphere Reserves, Ramsar Convention on Wetlands recognised for their high biodiversity value and protected as such by indigenous peoples or other local users which are not covered in existing protection systems but identified by authoritative sources for their high biodiversity value²⁹ 			

²⁹ Areas important to threatened species according to IUCN Red List of Threatened Species, important to endemic or restricted-range species or to migratory and congregatory species; areas representing key evolutionary processes, providing connectivity with other critical habitats or key ecosystem services; highly threatened and/or unique ecosystems (e.g. to be

3. If there are any project activities proposed within or adjacent to areas high biodiversity value or critical habitats described above , is there a risk of causing adverse impacts to biodiversity and the integrity of the ecosystems? Consider activities such as infrastructure works (e.g. watch tower, facilities, access roads, small scale water infrastructure) or ecotourism activities and impacts from inadequate waste disposal, disturbance of nesting sites, slope erosion through hiking trails etc. Consider both construction and use phases.			
4. Is there a risk of significant adverse impacts on biodiversity outside above described areas (PA etc.), through infrastructure development, plantation development (even small scale) or other activities e.g. through the removal of vegetation cover, creation of soil erosion and/or debris deposition downslope, or other disturbances? Consider both construction and use phases.			
5. Is there a risk that the project affects areas of high biodiversity value outside above described areas (PA, buffer zone etc.), e.g. by procuring natural resource commodities from other geographies (e.g. timber used for watch towers etc.)? If yes, explain whether appropriate industry-specific sustainability verification practices be used.			
6. Will the project introduce or use non-native species (flora and fauna), whether accidental or intentional? Consider activities such as reforestation, erosion control or dune stabilisation or livelihood activities (e.g. aquaculture, farming, horticulture etc.). If yes, explain how the risk of the species developing invasive characteristics is managed?			
7. Is there a risk that the project might create other pathways for spreading invasive species (e.g. through creation of corridors, import of commodities, tourism or movement of boats)?			
8. Is there a risk that the project negatively affects water dynamics or water flows through extraction, diversion or containment of surface or ground water (e.g., through dams, reservoirs, canals, levees, river basin developments, groundwater extraction) or through other activities and as such affects the hydrological cycle, alters existing stream flow and/or reduces seasonal availability of water resources?			
9. Is there a risk that the project affects water quality of surface or groundwater (e.g., contamination, increase of salinity) through			

determined in future by the evolving IUCN Red List of Ecosystems); areas identified as Key Biodiversity Areas (KBA) and subsets such as important Bird and Biodiversity Areas (IBAs), important Plant Areas (IPAs), important Sites for Freshwater Biodiversity or Alliance for Zero Extinction (AZE) sites.

irrigation/ agricultural run-off, water extraction practices, influence of livestock or other activities?			
10. Will the project involve or promote the application of pesticides, fungicides or herbicides (biocides)? Also consider the use of integrated pest management.			
11. Will the project involve handling or utilization of genetically modified organisms /living modified organisms?			
12. If the project promotes the use of living natural resources (such as Non-Timber Forest Products) from natural habitats, how will the project ensure that harvest rates are controlled/ monitored?			
13. Does the project promote the use of genetic resources from natural habitats (e.g. harvesting, market development), and if so, what are the measures for access and benefit-sharing relating to these?			
14. Is there a risk that the project could give rise to an increase of incoming migration and population increase, which could put a strain on the existing natural resource base?			
15. Could the project result in noise and vibration from construction and maintenance equipment, traffic and activities, which may disturb sensitive fauna receptors, including underwater noise impacts on fish and marine mammals?			
Conclusion of ESMS Reviewer on the Standard on Biodiversity Conservation and Sustainable Use of Natural Resources			
<p><i>What are the main gaps with regards to the provisions of the Standard?</i></p> <p><i>What are the main risks and what are the main receptors (areas, species etc.) potentially affected?</i></p> <p><i>Are assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?</i></p> <p><i>Have measures for avoiding impacts already been considered? Are they sufficient? What are the safeguard tools to be prepared (e.g. Pest Management Plan, Protocol for Species Selection)? When would these tools need to be available (complete and accepted)?</i></p>			
Standard triggered? (Yes / No / TBD)		Estimated likelihood of risks (1-5):	Estimated impact (1-5):

D. Integrating ESMS Principles in Design of the Sub-Project

<i>The below table reviews the sub-project and its design process on adherence to the ESMS Principles.</i>			
	Project proponent		IUCN ESMS Reviewer
	Yes,no, n/a,TBD	Answer question, provide further detail where relevant	Comments, additional considerations
1. Has a Stakeholder Analysis been done and documented identifying a project's key SH, assessing their interest in the project, ways in			

which they may influence the project's outcomes and how they might be impacted by project activities (positively or negatively)?			
2. Does the analysis differentiate between women and men, and along key axes of social differentiation, where relevant?			
3. In case stakeholders have been identified that might be negatively affected by the project, please name the groups.			
4. Has information about the project and potential risks (ESIA, ESMP) been disclosed ? If yes, indicate the sites. If not, explain how and when this will happen.			
5. Have consultations been held with relevant groups to discuss the project concept and risks? Were consultations conducted in a meaningful and culturally appropriate way? Provide details about the form of consultations and the groups involved.			
6. Have women and men been provided equal opportunities in terms of participation and decision-making throughout the identification and design of the project? Have provisions been made to ensure the same for implementation, monitoring and evaluation of the project? Please provide details.			
7. Has a gender analysis , socio-economic assessments or the equivalent been applied to inform gender-responsive design, implementation, monitoring and evaluation			
8. Have vulnerable groups such as disadvantaged or marginalized people been consulted or stakeholders that might be negatively affected? Please provide details about the groups, the consultations and results of the consultations.			
9. While gender risks have been covered in section B, briefly describe how the project is likely to improve gender equality and women's empowerment .			
10. Has a project-level grievance redress mechanism (GRM) been established that explains the processes for submitting, resolving and escalating grievances? If not, explain how and when this will happen. If indigenous peoples are present, explain how it will be ensured that a GRM is available that is culturally appropriate, available in local languages, accessible to affected indigenous peoples, and take into account the availability of customary dispute settlement mechanisms among indigenous peoples.			
Conclusion of ESMS Reviewer			
Are ESMS requirements on stakeholder engagement, disclosure and grievance fulfilled to satisfactory level? What additional actions need to be carried out and by when? What actions to be implemented during the project should be included in the ESMP or the Stakeholder Engagement Plan?			

Appendix 4

Procedures for accidental discovery of cultural resources (Chance find)

If cultural resources are discovered during project implementation (e.g., when undertaking civil works), the agency responsible for the work that has resulted in the find (e.g., the executing entity, executing partner or contractor) is obliged to declare the discovery at the earliest possible date to IUCN and the competent national authority.

If there is a legally established procedure for accidental discoveries (e.g., of archaeological objects or remains) in the country where the project is implemented, that procedure will be followed, without prejudice to compliance with this standard. If there is no such procedure, it will be the responsibility of the executing entity to prepare a specific 'chance find' procedure that must contain the following elements:

- a clear identification of roles and responsibilities;
- procurement of the services of a qualified entity, expert or group of experts to assess the cultural significance and conservation requirements of the find;
- a temporary suspension of the work, for up to one month, to allow this assessment to take place;
- protection and security for the resource and/or the site during the assessment to prevent looting or other loss;
- consultation of relevant local, national and international actors in the conduct of this assessment;
- a system for keeping appropriate records and ensuring expert verification of the process;
- the public release, in a culturally appropriate format, of the results of the assessment;
- the implementation of the protection or mitigation measures recommended by the assessment, when applicable, including alternative siting;
- the inclusion of this procedure in the project implementation plan, as part of the ESMP.

Appendix 5

Stakeholder Analysis, Documentation of Stakeholder Consultation and Stakeholder Engagement Plan

1. Introduction

Annex 7a of the proposal provided a comprehensive analysis of the institutional and stakeholder setting for implementing Ecosystem-based Approaches to Climate Change Adaptation (Ecosystem-based Adaptation, EbA) for the Gandaki River Basin in a generic way. The analysis also included assessing the identified stakeholders on strengths and capacity building needs.

This annex focuses the analysis on the specific project Improving Climate Resilience of Vulnerable Communities and Ecosystems in the Gandaki River Basin proposed for funding to the GCF. It sets off by presenting the project-focused Stakeholder Analysis that was undertaken in order to identify key stakeholders of the proposed project, assessing their interest in the project, the ways in which these stakeholders may influence the project's outcomes and how they might be impacted by project activities, positively or negatively (see chapter 2). This analysis provided the foundation for planning stakeholder engagement during the project development phase and for deciding about further stakeholder engagement during implementation, monitoring and evaluation of the actual project. The engagement process during project development is described in chapter 3, the engagement strategy for project implementation in chapter 4.

2. Stakeholder Analysis

The stakeholder analysis developed by the project design team is presented in a matrix format below (Table 1). Each stakeholder is described in terms of their interest in the project, the ways in which these stakeholders may influence the project's outcomes and how they might be impacted by project activities, positively or negatively. The analysis also provided first suggestions for stakeholder engagement. The stakeholder analysis describes stakeholders at relevant geographical scales (national, regional and local) and cover government, private sector and civil society organizations relevant to the project activities as well as social groups that are not formally organized.

It is important to understand the stakeholder analysis as being a recurring process where the matrix is updated and refined as project activities get further defined and/or new stakeholders may come up. As such, it will be critical to produce further updates and name the actual stakeholder groups in the respective geographies when selecting the concrete sites for the execution of field interventions in the eight clusters in the seven sub-basins.

Table 1: Stakeholder analysis

Stakeholder (SH)		Mandate/function of stakeholder	Interest in the project	Influence on project	Impact of the project on the stakeholder (positive or negative) and potential involvement strategies
A	Citizens				
1	Rural Communities	Key stakeholders of the project who are impacted by the climate change and the project aims to build the resilience. They act and own the project and sustain the project results.	Very high	Negligible	Very high on vulnerable communities – enhancing adaptive capacity and building climate resilience
2	Women	Main portion of the human capital in the community as there is substantial migration of men abroad in search of paid employment.	Very high	Medium	Very high because most of women are at village and the agricultural labour force is feminised
3	Men	Key decision makers in the project community influencing the choice of project activities	Very high	High	Capacitate on micro-watershed planning
4	Farmers	Target group that will participate in land-use change decisions for adaptation.	Very high	High	Living standard will be improved through increased production and productivity of the land
5	Dalit & other poor and marginalized groups	As the key custodian of the natural resources of the area and whose livelihood depends on these resources	Very high	Medium	Very high because the project will emphasize on inclusion and promote their effective participation during project planning and implementation
6	Indigenous peoples recognized by the Government	As the key custodian of the natural resources of the area and whose livelihood depends on these resources	Very high	Medium	Very high because the project will emphasize on inclusion and promote their effective participation during project planning and implementation
7	Indigenous people not recognized by the Government	As the key custodian of the natural resources of the area and whose livelihood depends on these resources	Very high	Medium	Very high because the project will emphasize on inclusion and promote their effective participation during project planning and implementation
B	Government				
1	Ministry of Finance (MoF)/NDA	National Designated Authority (NDA) for Green Climate Fund to ensure full integration of climate concerns in respective federal, provincial and local level development plan, policy and strategy	Very high	Very high	The project will contribute to achieve the objective of climate change adaptation that NDA is committed to.
2	Ministry of Forests and Environment (MOFE)	Responsible for the conservation of forests and soil in the country to enhance sustainable growth of forest and water sectors and manage biodiversity, to increase development of forest related enterprises for poverty reduction	Very high	Very high	The project will contribute to achieve the objective of enhancing the resilience of the ecosystems in the GRB that MOFE is committed to. MOFE will have Basin level Management Plan for the entire GRB.
3	Department of Soil Conservation and Watershed	Soil conservation and watershed management activities based on principles of integrated watershed management. To reflect the multi-dimensional needs of SCWM measures,	Very high	Very high	The project's approach to improve stabilisation of slope and increased vegetation coverage thereby contributing to the protection of landslides and soil erosion in the up-streams is the mandate of the

	Management (DSCWM) and Department of Forests and Soil Conservation (DOFSC)	DSCWM is staffed with multi-disciplinary personnel - foresters, agriculturist, civil engineers, chemist and geologist DoFSC's mandate is to manage the country's forest resources for the conservation of the natural environment and to supply the forest products to the people.			department. While in the down-streams, there will be decreased flood, sedimentation and salinization of agricultural lands. Demonstration of climate resilient agroforestry practices supports the work of DOFSC .
4	Department of National Parks and Wildlife Conservation (DNPWC)	Conservation of wildlife, scientific management of habitat, creation of buffer zones and reserves for the sustainable management of forest resources, organisation of eco-tourism	Very high	Very high	Project will directly support DNPWC in the conservation of habitat and biodiversity in the Chitwan National Park and Annapurna Conservation Area.
5	Department of Plant Resources (DPR)	Conducting and providing services in field of research and development of plant resources; multidisciplinary organization comprising botanists, chemists, pharmacists and veterinary practitioners.	Very high	Very high	Project will support in the exploration of NTFP and other forest product-based enterprises.
6	Forest Research and Training Centre (FRTC)	Forestry research and survey to produce knowledge and information for sustainable management and utilization of forest resources	Very high	Very high	Project will support in the development of human resources capacity through various trainings on climate change adaptation.
7	Department of Environment (DOE)	Promote sustainable development of the country through environmental protection; conserve natural environment and cultural heritage; create clean and healthy environment; poverty alleviation through environment related research activities; encourage involvement of scientists in environmental decision-making; coordinate adaptation and mitigation programs to minimize negative impacts of climate change	Very high	Very high	DOE will have climate change adaptation model for the river basin. Will also have a reconciled water model for the entire GRB.
8	Ratrapati Chure Terai Madhesh Conservation Development Board (RCTMCDB)	Coordinate and improve the enabling environment to conserve the Chure area for better management of ecosystem and livelihoods of the people by implementing the Master Plan	Very high	Very high	Three districts of the GRB (Makawanpur, Chitwan and Nawalparasi) fall within the Chure region. The RCTMCDB will be supported with slope stabilisation technology and PES mechanism to link the up-stream and down-stream communities.
9	Department of Local Infrastructure and Agriculture Development (DoLIDAR)	Infrastructure development by making local authorities technically capable and competent and ensuring their accountable participation; various infrastructure development activities funded through government and donor agencies, in co-ordination with other concerned agencies.	Low	Medium	DoLIDAR will be supported with the bioengineering model in rural road construction.

10	Ministry of Federal Affairs and General Administration (MOFAGA)	MoFAGA is the only ministry with direct linkage with the country's local government, namely Municipal and Rural municipal and their wards. One of the objectives is to contribute in the poverty reduction by mobilizing local means and resources, utilizing skill and technology to the optimum level and creating employment opportunity.	Medium	Medium	MOFAGA will benefit from the project's support to rural enterprise development for poverty reduction.
11	Provincial governments of Gandaki Province, Provinces 3 and 5.	The Provincial Government including the Ministry of Industry, Tourism, Forests and Environment is directly related with the project. There will be a project coordination unit established in each three provinces.	Very high	Very high	Provincial Governments will be collaborating in the sub-basin level plans for the major seven tributaries of the GRB.
12	Local governments (municipalities of 151 local bodies in the GRB)	There will be 151 municipalities collaborating with the project	Very high	Very high	Local governments (municipalities) will be directly involved in community mobilisation. They will have sub-sub-basin level management plans for each small tributary of the GRB. They will also benefit from the enhance water supply and other ecosystem services.
13	Ministry of Agriculture and Livestock Development (MOALD)	Improve the standard of living of the people through sustainable agricultural growth by transforming the subsistence farming system to a competitive and commercialized one.	Very high	Very high	The project's work on resilient agroecosystem model for replication and upscaling and climate responsive agricultural practices for further scaling-up will support MOALD's mandate of transforming subsistence farming.
14	Department of Livestock Development (DoLD)	Develop and improve existing livestock farming as the main income source of the farm family and help in maintaining environmental balance and conservation	Very high	Very high	The enhanced rangeland ecosystem services will directly contribute in enhancing livestock productivity. Increased water supply will directly contribute to promote livestock.
15	Department of Agriculture (DOA)	Develop and improve existing farming as the main income source of the farm family and help in maintaining environmental balance and conservation	Very high	Very high	The project wok on selection and extension of flood tolerant varieties of paddy for the plains and drought tolerant varieties of wheat for the hills will be directly contributing in enhancing agricultural productivity in the climate affected areas. There will be 148,665 ha under flood tolerant variety of paddy and other summer crop, and 66,749 ha under drought tolerant variety of wheat and other winter crops.
16	National Planning Commission (NPC)	Formulation of basic development policies and periodic development plans within framework of long-term development perspective, to explore internal and external resources as well as indigenous and foreign technology	Low	Low	Planning Commission will be getting replicable Basin level model for climate change adaptation for replication to other major large river basins.

17	Ministry of Land Reform and Management (MoLRM)	Land reform for equitable access to land, optimal resilient agroecosystem model for the use of land for sustainable development, protection of state and Guthi (trust) land for the benefit of the people at large, mapping services, land Information System and National Spatial Data Infrastructure	Low	Low	Land use model for up-streams and down-streams will be available for climate change adaptation. This will also provide mechanism such as PES that will contribute the collaboration between up-stream and down-stream communities.
18	Ministry of Home Affairs (MoHA)	Responsible for delivering critical services- including disaster related rescue	High	High	The project will support MoHA's role by providing a model for disaster risk reduction focussing mainly on nature-based solutions such as bioengineering in rural infrastructure construction, protection of water sources, reduction of landslides and floods, etc.
19	Ministry of Energy, Water Resources and Irrigation (MEWI)	Assist GoN, different ministries relating to Water Resources and other related agencies in the formulation of policies and planning of projects in the water and energy resources sector.	High	High	The following project activities fall within MEWI's mandate: development of a reconciled water model for the entire GRB to be used for forecasting the potential effects of the climate change on water availability and mechanism for adaptation; mobilization of Water User Association (Irrigation Water User Group) to be capacitated for construction, operation and maintenance of the schemes.
20	Department of Hydrology and Metrology (DHM)	Monitoring of river hydrology, climate, agro-meteorology, sediment, air quality, water quality, limnology, snow hydrology, glaciology, and wind and solar energy. General and aviation weather forecasts.	Very high	High	Will get its climate data being analysed and river basin level water models reconciled.
21	Department of Water Supply and Sewerage	To achieve 'sustained improvement in health status and productivity through the provision of adequate, locally sustainable water supply and sanitation facilities in association with improved personal, household and community hygiene behaviour'.	Low	Low	There will be enhanced drinking water supply through the enhanced ecosystem resilience.
22	Department of Cottage and Small Industries (Micro Enterprise Development for Poverty Alleviation) (MEDPA)	Develop and improve micro, small and medium enterprises as the off-farm income source of the farm family and help in maintaining environmental balance and conservation	Low	Medium	Project will support MSMEs to become more resilient in the face of climate change. The MEDPA will be supported in climate proofing the micro-enterprises through diversifying the enterprises and value chain development.

23	National Trust for Nature Conservation (NTNC)	Established as an autonomous and not-for-profit organization, mandated to work in the field of nature conservation in Nepal. Goal is to preserve the natural heritage and in so doing, to achieve a high quality of human life.	Very High	Very High	Very high because being the key implementing institution of the project the learnings generated during project implementation in GBR can be replicated in other protected areas and project sites under its management. It will also capacitate NTNC in handling GCF projects with climate focus.
C	Civil society organisations				
1	Community Forest User Groups (CFUGs)	Established for development, conservation and utilization for the collective interests of community forests-handed over according to Forest Act, 1993.	High	High	The project will support their work through the reparation of Forest Operation Plans, capacity development
2	Collaborative Forest User groups (CoFMGs)	Established for the management of government forests by collaborating among users, District Forest office and local level government. It aims to support local and national economy through sustainable forest development, and supply of forest products and improve livelihoods of local people.	Low	Low	The project will support their work through the preparation of Forest Operation Plans, capacity development
3	Leasehold Forest User Group (LFGs)	Established groups to alleviate poverty through forest protection and development as well as income generation programs as provisioned in Forest Act, 1993 Clause 31 (F)	High	High	The project will support their work through the preparation of Forest Operation Plans, capacity development
4	Buffer Zone management committee	Established to manage forests around PA, aiming to address communities' needs of forest resources (e.g. firewood and fodder) and generate income while improving biodiversity and wildlife habitat restoration and conserving forest and biodiversity	High	High	The committees will benefit from capacity development on enrichment plantation and benefit sharing
5	Conservation Area Management Committee (CAMC)	Established in each Village Development Committee within the Conservation Area for effective implementation of construction works related to the community development activities, protection of the natural environment.	Very high	High	Very high because CAMCs will be the key stakeholders to implement the project interventions within the conservation areas of the project site
6	Federation of Community Forestry Users Nepal (FECOFUN)	Umbrella organization of CFUG registered in government institution, aiming to campaigning, advocacy and empowerment of CFUGs to encourage for proper utilization and equitable sharing of benefits from community forests.	Very high	Very high	FECOFUN will benefit from capacity development on community mobilisation for climate change adaptation and forest enterprise development.
7	Association of Collaborative Forest Users Nepal (ACOFUN)	Network of collaborative forest users groups registered in government organization, which advocates for entire users of collaborative forests- productive and biodiversity rich forests of Nepal	Medium	Medium	ACOFUN will benefit from capacity development on community mobilisation for climate change adaptation and forest enterprise development.

8	Nepal National Forest User Group (NEFUG)	Established to conduct advocacy on behalf of forest user of all types of community based forestry.	Low	Low	NEFUG will benefit from capacity development on community mobilisation for climate change adaptation and forest enterprise development.
9	Community Forestry Supporter Networker (COFSUN)	An independent, non-governmental, non-political, non-communal and non-profitable organization that is committed to Right Based Approach (RBA). Its fundamental notion is to enhance community based forestry programs by exchanging experience of facilitators and by developing their capacity for integrated resource management through CFUGs. COFSUN, Nepal is indeed a common forum for facilitators	Low	Low	COFSUN will benefit from capacity development on networking for adaptation.
10	Nepal Foresters Association (NFA)	Non-profit professional organization, to see sustainable natural resources conservation and management through scientific approach	Low	Low	Knowledge sharing on enhancing resilience of climate vulnerable communities and ecosystems through workshops, conferences and publications
11	Nepal Forest Technicians Association (NEFTA)	Professional association to conduct advocacy for forestry sector management and ensure rights of field forest technicians.	Low	Low	Knowledge sharing on enhancing resilience of climate vulnerable communities and ecosystems through workshops, conferences and publications
12	Nepal Agroforestry Foundation (NAF)	A NGO, providing innovative agriculture techniques and agro-forestry community forestry support to CBO's, NGOs, CFUGs, and Saving and Credit Co-operatives(SCC)	Medium	Low	Information on appropriate agroforestry options, agroforestry training manuals, demonstration sites of agroforestry options, and agroforestry value chain models
13	Nepal Federation of Indigenous Nationalities (NEFIN)	Umbrella organization of the 59 indigenous peoples/nationalities that are recognized by the government, widely distributed across Nepal and working towards uplifting and empowering indigenous communities; member of the United Nation's working Group on Indigenous populations	Very high	Medium	Members (indigenous groups) located in the project site will benefit from enhancement of their livelihoods resulting into their enhanced climate resilience.
14	National Indigenous Women Federation (NIWF)	Umbrella organization of Nepalese Indigenous women	Medium	Medium	Members (indigenous women groups) located in the project site will benefit from enhancement of their livelihoods resulting into their enhanced climate resilience.
15	NGO-Federation of Nepalese Indigenous Nationalities (NGO-FoNIN)	Umbrella organization of indigenous nationalities NGOs to ensure the rights of the indigenous peoples and to bring them into the mainstream, of development.	Low	Medium	Information on mainstreaming indigenous peoples in climate resilient development.

16	Nepal Chepang Association (NCA)	Registered national association of Chepang Indigenous communities, involved in advocacy for rights and livelihood of Chepang indigenous groups	Medium	Medium	Members (Chepang communities) located in the project site will benefit from enhancement of their livelihoods resulting into their enhanced climate resilience.
17	Dalit NGO Federation (DNF)	Umbrella organisation of all Dalit NGOs in the country. The main aim of DNF is fighting together against caste-based discrimination. It is a common forum for raising collective voices of Dalit community for claiming rights.	Very high	Medium	Dalit communities located in the project site will benefit from enhancement of their livelihoods resulting into their enhanced climate resilience.
18	Nepal National Dalit Social Welfare Organization (NNDSWO)	To promote and protect economic, social, political and development rights of Dalit and vulnerable groups.	Very high	Medium	Involvement of Dalits and enhancement of their livelihoods resulting into their enhanced climate resilience.
19	Dalit Alliance for Natural Resources (DANAR)	A NGO dedicated to ensure the rights of Dalit community in natural resources such as land, water and forest and to assist for building the vision of inclusive, equitable and prosperous society.	Very high	Medium	Information on mainstreaming Dalits in climate resilient development.
20	Himalayan Grassroots Women's Natural Resources Management Association (HIMAWANTI)	NGO dedicated to strengthen the grassroots level women in sustainable natural resources management in Nepal, focusing gender equality, sustainable livelihood, social inclusion and justice.	Very high	Medium	Information or collaboration on women in natural resource management.
21	Municipal Association of Nepal (MuAN)	Established to lobby and advocate for guaranteeing autonomous local government, to develop MuAN as a pioneer institution for the promotion of urban governance by coordinating municipal governments and relevant stakeholders, to develop municipal governments as capable and strong institutions to provide urban services effectively	Low	High	Capacity development on planning for enhanced ecosystem services in the municipalities
22	Local Initiatives for Biodiversity, Research and Development (LIBIRD)	A NGO based in Pokhara committed to capitalizing on local initiatives for sustainable management of renewable natural resources in order to improve the livelihoods of rural poor and marginalized farmers, especially women.	Medium	Medium	Capacity development on climate resilient community development and biodiversity conservation
23	Climate Change Network Nepal (CCNN)	A network established to facilitate the process of informing empowering and influencing the Nepalese people and government to take effective actions towards addressing climate and its impacts	Low	Low	Capacity development on climate change adaptation planning and implementation

24	Soil and Water Conservation Society (SOWCOS)	A forum for the resource conservation professionals to bring together their expertise and efforts in order to promote the welfare of Nepalese people through sustainable management of watershed resources.	Low	Low	Capacity development on planning and implementation of sustainable watershed practices
25	Green Foundation Nepal (GFN)	A NGO to promote sustainable management of natural resources by rights holders for economic growth of nation	Medium	Medium	
26	Nepal Forum of Environmental Journalists (NEFEJ)	A lead media, non-governmental organization working to raise public awareness on the environment, forest, sustainable development, and social issues.	Medium	Medium	Involving in information on climate change adaptation and capacity building on climate change awareness raising
27	Community based tourism management committees	Engage local communities as the central stakeholder in tourism development; engage the communities as per their roles in tourism development.	Low	Low	Information on eco-tourism in the GRB
28	Community Based Anti-Poaching Units (CBAPUs)	Boost CBAPU members through motivation, incentives, proper guidance, anti-poaching trainings, proper equipment's, security assurance, reward and encouragement for the better conservation results.	Low	Low	Capacity building through workshops, trainings and interactions
D	Local communities				
1	Agriculture producers' group	Agriculture producer groups are formal organisations formed for the purpose of facilitating agricultural extension activity in a group. They are registered in district agriculture development offices.	High	High	Capacity building on adaptation, climate resilient value chain development, extension of flood tolerant paddy varieties and drought tolerant wheat varieties.
2	Livestock husbandry group	The major objective are increase livestock production and productivity and eliminate the problem of malnutrition and to improve the economic and social condition of the poor, socially disadvantaged people and women through improved livestock farming.	High	High	Benefit from improved water availability through construction and maintenance of water holes in community grasslands
3	Micro-entrepreneur group (MEG)	MEG is established by micro-entrepreneurs to work in a group. MEGs motivate potential entrepreneurs and mobilise savings for microenterprise development.	High	High	Benefit from support to establish appropriate agroforestry enterprise
4	Drinking Water and Sanitation Users Nepal	It facilitates the provision of drinking water, sanitation and hygiene (WASH) services to communities, advocates for water and sanitation rights (drinking water and sanitation for all and forever), and brings people's issues to the attention of policy makers and service providers.	Low	Low	Benefit from increased water supply through the enhanced ecosystem services
5	Water User Association (WUA)	Water Resources Act, 1992 considered the Water User's Association (WUA) is formed under Water Resources Act 1992 for development and management of water resources for irrigation.	Low	High	Capacity building on enhancing water use efficiency

6	Community Development Groups (CDGs)	Established formally or informally to implementing various soil and water conservation activities to address the sediment yield, natural hazard, issues of protection of infrastructures as well as adaptation from climate change impacts by linking up-stream down- stream linkage.	Low	Low	Involvement in up-stream and down-stream linkages and application of PES mechanism
7	Youth groups	Youth groups are informal/formal groups formed for the mobilisation of youths in the community	Low	Low	Involvement and capacity development in enterprise development
8	Mothers' group	Informal group formed for the purpose of empowering mothers in the community to access various resources meant for community and health development	Low	Medium	Involvement and capacity development in natural resource management
9	Eco-clubs	Independent group of students working collectively to support the conservation of natural and cultural environment in their respective schools and communities.	Medium	Medium	Involvement and capacity development in improving school environment
E	Private sector				
1	Local saving and credit groups	Savings and Credit Cooperative Societies are formal member-based organisations for the mobilisation of members' savings for the benefit of the members. Formed under the Cooperative Act 1992.	Medium	Medium	Capacity building in improved governance and mobilisation of savings and credits products.
2	National Micro Entrepreneurs' Federation Nepal (NMEFEN)	NMEFEN is a federation of micro-entrepreneurs established in 2006 to promote the interests of micro entrepreneurs from ethnic, indigenous and economically disadvantaged rural communities across Nepal	Very low	Low	Capacity building through workshops, trainings and interactions
3	Federation of Nepalese Chamber of Commerce and Industry (FNCCI)	FNCCI a leading institution of Nepal on commerce and industry and has a wing to look after the private sector investment in forestry.	Medium	High	Involvement in value chain development, capacity building through workshops, trainings and interactions in the trade of project communities' productions.
4	Federation of Small and Medium Enterprises Nepal (FSME)	FSME is a federation of small and medium enterprises that works for better economic development by boosting small and medium scale business in different sectors	Medium	High	Involvement in value chain development, capacity building through workshops, trainings and interactions in the trade of project communities' productions.
5	Federation of Nepal Cottage and Small Industries (FNCSI)	FNCSI is an Umbrella Organization of Micro, Cottage and Small entrepreneurs of Nepal to lobby and advocate on MCSI's issues.	Medium	High	Involvement in value chain development, capacity building through workshops, trainings and interactions in the trade of project communities' productions.
6	Eco-tourism-Hotel owners	Eco-tourism hotels work in partnership with the government. Government plays a role of catalyst and facilitates the private sector in investment, operation of the	Low	Low	Involvement and capacity development in eco-tourism hotel enterprises

		industry and delivering quality services to the visitors. Private hotels operate tourism and hotel services.			
7	Hotel Association Nepal (HAN)	Established in 1966, HAN is an umbrella organisation of hoteliers in Nepal. HAN supports members in policy lobbying and impacts on the governmental policy formulation and the setting up of regulations regarding the hotel and tourism industry.	Low	Low	Involvement and capacity development in hotel enterprise policy development and advocacy
8	Nepal Tourism Association (NTA)	NTA is an apex body of tourism entrepreneurs in Nepal. NTA is committed to diversifying Nepal's travel industry through advocacy for responsible & ecotourism to protect Nepal's unique natural environment and cultures.	Low	Low	Involvement and capacity development in tourism policy development and advocacy
9	Nepal herbs and herbal products Associations (NEHHPA)	Umbrella organization of Nepalese herbal producers, manufacturers and traders in the sector of Non-Timber Forest Products (NTFPs), particularly Medicinal and Aromatic Plants (MAPs) aiming to promote Nepal's unique herbs and herbal products at the national and international levels and to strengthening responsible business through producing and marketing quality products.	Medium	High	Involvement and capacity development in NTFPs, MAPS and other forest product based enterprise development
10	Federation of Nepalese Forest based Industry and Trade (FeNFIT)	Aimed to take necessary steps towards stabilizing the industry by contributing to the conservation and development of Nepali forests and at the same time strengthening the national economy as well as making use of the forest in a scientific and legal way.	Low	Low	Involvement and capacity development in forest based industry and trade policy development and advocacy
11	Independent Power Producers' Association (IPPAN)	A vibrant organization that aims to produce electricity in Nepal. It is being supportive to the government to achieve the goal of National Energy Crisis Prevention and Electricity Development Decade (2016-2026) document.	Low	Low	Capacity building through workshops, trainings and interactions
12	Jadibuti Association of Nepal (JABAN)	Aim to make sustainable use of the country natural resources and provide necessary support to rural communities for producing and marketing quality products	Low	High	Involvement and capacity development in natural resource based enterprise development and marketing
F	Research institutions & universities				
1	Nepal Agriculture Research Council (NARC)	Aiming to conduct qualitative studies and researches on different aspects of agriculture, to identify the existing problems in agriculture and find out the solution and to assist government in formulation of agricultural policies and strategies.	Low	High	Involvement in selection of climate tolerant crop varieties and development of organic production practices
2	Agriculture and Forestry University (AFU)	AFU was established in 2010. In addition to teaching and extension, the AFU conducts various researches on the	Low	High	Involvement in selection of climate tolerant crop and varieties and NTFP species and development of organic production practices

		issues of agriculture, livestock and forestry in the nation including climate change.			
3	TU- Institute of Forestry	Established to prepare capable human resources required for the forestry sector, to impart standard higher education and to involve in extensive, empirical and timely creation of knowledge and research in the fields of forestry sector.	Medium	Medium	Involvement in selection of climate responsive production practices of NTFPs, MAPS and other forest products
4	Kathmandu Forestry College (KAFCOL)	The KAFACOL was established in 2005 to undertake research and outreach projects related to biodiversity, forestry, and natural resources management.	Low	Low	Involvement in selection of climate responsive production practices of NTFPs, MAPS and other forest products
5	South Asia Institute of Advanced Studies (SIAS)	Research institute established in 2011 as a platform for advanced research, policy engagement and scholarly exchange, with a thematic focus on environment and climate change, democracy and governance, disaster risk management, urban resilience etc.	Low	Low	Involvement and capacity development in local level climate change adaptation strategy development
G	International organization and donors				
1	International Centre for Integrated Mountain Development (ICIMOD)	Regional learning and knowledge sharing centre serving 8 member countries of Hindu Kush Himalayas – Afghanistan, Bangladesh, Bhutan, China, India, Myanmar, Nepal, and Pakistan – and based in Kathmandu. Aims to assist mountain people to understand these changes, adapt to them, and make the most of new opportunities, while addressing upstream-downstream issues.	High	Very high	Involvement in climate data analysis and modelling. Information sharing through workshops, seminars, conferences and publications.
2	International Water Management Institution (IWMI)	IWMI is a scientific research organization focusing on the sustainable use of water and land resources in developing countries. IWMI in Nepal works in the field of water resources assessment and future development, water management and productivity, climate change, sharing the benefits of growth healthy watersheds, gender and migration. IWMI-Nepal has long been a pioneer in gender research, exploring women's role in decision making and encouraging women's participation in Water Users' Associations.	High	Very high	Involvement in climate data analysis and modelling. Information sharing through workshops, seminars, conferences and publications.
3	The Mountain Institute (TMI)	The TMI is actively dedicated to mountain communities and their unique environments. The TMI's work on Mountain Ecosystem-based Adaptation (EbA) Program has expanded EbA work in the Himalayas (Nepal), Mount Elgon (Uganda) and the Andes (Peru).	Very high	Very high	Involvement in climate data analysis and modelling. Information sharing through workshops, seminars, conferences and publications.

4	WWF Nepal/ Hariyo Ban Program	Aims to reduce the adverse impacts of climate change and threats to biodiversity in Nepal; to empower Nepal's communities in safeguarding living heritage and adapting to climate change through sound conservation and livelihood approaches. The first phase of the Hariyo Ban Program ended on 31 December 2016 and the second phase is in operation until 2022.	High	High	High because upstream downstream linkages approach initiated during Hariyo Ban Program will be upscaled across the Gandaki River Basin. Similarly, this project will support the Implementation of the CHAL strategy of the government prepared with the support of Hariyo Ban Program.
5	Women Organising for Change in Agriculture and Natural Resources Management (WOCAN)	International NGO promoting policies and practices regarding gender in agriculture and natural resources management sector.	Low	Low	Capacity building through workshops, trainings and interactions

3. Stakeholder Consultation

3.1 Consultation methodology

This chapter describes the methodology used to prepare the project.

3.1.1 Oversight of the proposal formulation process

Oversight by NDA Technical Committee: The proposal preparation process was overseen and advised by the NDA/Ministry of Finance (MOF) who had formed a Technical Committee composed of member for this process. The NDA called six meetings with the IUCN and its consortium members (DOFSC and NTNC) and gave suggestions on the preparation process and submission deadlines. The team also provided advice on the focus for the project in order to avoid possible duplication of thematic and geographical areas with other projects in preparation under NDA. The composition of the NDA Technical Committee is presented in Table 2.

Table 2: NDA Technical Committee Members

Name	Position
Mr. Baikuntha Aryal succeeded by Mr. Kewal Bhandari succeeded by Mr. Srikrishna Nepal	Joint Secretary, International Economic Cooperation Coordination Division, MOF
Mr. Lal Bahadur Khatri succeeded by Mr. Shiva Sharma succeeded by Mr. Ramesh Nepal	Under Secretary, International Economic Cooperation Coordination Division, MOF
Mr. Subash Parajuli succeeded by Mr. Krishna Chandra Kafle	Section Officer, International Economic Cooperation Coordination Division, MOF
Mr. Pragyajan Y Rai (Yalamber)	National Project Coordinator Green Climate Fund Readiness Programme in Nepal Ministry of Finance/International Economic Cooperation Coordination Division
Mr. Janak Pathak	National Project Coordinator Green Climate Fund Readiness Programme in Nepal Ministry of Finance/International Economic Cooperation Coordination Division

Oversight by MOFE Technical Committee: The proposal formulation process was further supervised by a five-member Technical Committee formed by the Ministry of Forests and Environment (MOFE). The composition of the committee is depicted in Table 3.

Table 3: Members of MOFE Technical Committee

Name and designation	Position	Role
Mr. Dhananjaya Paudel succeeded by Dr. Sindhu P. Dhungana	Joint Secretary, Foreign Aid Cooperation Division, MOFE	Chair
Mr. Sagar Rimal	Under Secretary, Foreign Aid Cooperation Division, MOFE	Member
Mr. Binod Singh	Under Secretary, Foreign Aid Cooperation Division, MOFE	Member
Dr. Prem Paudel	Under Secretary, Department of Soil Conservation and Watershed Management, MOFE	Member
Mr. Kishor Aryal succeeded by Ms. Sumana Devkota	Under Secretary, Department of Soil Conservation and Watershed Management, MOFE	Member

The committee called five meetings and provided invaluable suggestions on the technical contents of the proposal. The technical committee owned the proposal as a project under the MOFE.

3.1.2 Development of proposal formulation approach

Desk study: The project design team carried out a desk study and reviewed the following types of literature:

- Climate change policies, strategies, plans, NAPA, and legal documents
- Various studies conducted on climate change impacts in Nepal
- IPCC methodology on vulnerability assessment
- Recommendations Ecosystem-based Adaptation Project and Ecosystem Protecting Infrastructure and Communities Project implemented by IUCN in Nepal
- Projects in implementation in the proposed project site
- Various legal and institutional structures governing natural resource management in Nepal
- Various sectoral and cross-sectoral strategies (e.g. forest, agriculture, biodiversity, climate change, tourism, water resources, gender) from the nature conservation perspective.

Identification of climate change impacts: The design team identified the following climate change contexts and risks as a basis for further study and proposal formulation.

Climate Change Impacts:

- Temperature:
 - Increased average temperature in the middle hills and mountains (by 0.06 to 0.12°C per annum since 1977)
 - Increased incidence of heat waves
- Precipitation:
 - Increasing average annual precipitation (estimated at 0.7mm/decade) in lower elevations
 - Decreasing snowfall and overall drier winters in upper elevations
 - Decreasing precipitation in all seasons (1.3mm/year) in the middle hills and mountains, with the highest decrease in the post-monsoon season
 - Delayed monsoon, with increased incidence of torrential daily precipitation
 - Increased intensity and frequency of hailstorms
 - Decreasing precipitation during the winter period.

Effects:

- Increased frequency, duration and intensity of floods and extreme rainfall events leading to rising riverbeds, increased frequency of landslides and soil erosion, decreased water-flow in the GRB and its tributaries
- Increased frequency, duration and intensity of droughts and drying out of water sources
- More favourable conditions for invasive species, adversely affecting biodiversity and crops
- Increased heat stress
- Changing cropping patterns and decreased agricultural production
- Contributing to outmigration and abandonment of agricultural land

Direct impacts from climate change in the GRB include changes in precipitation patterns and higher temperatures. These impacts adversely affect people, natural ecosystems and agricultural land, and the ecosystem services they provide. Some of the most significant effects are:

- Drying-out of water sources and wetlands
- Changes in species composition of forests, grasslands and wetlands
- Increased incidence of invasive species and diseases
- Physical damage from floods and landslides
- Changes in altitudinal zones for agriculture (requiring changes in cropping and grazing patterns) and natural ecosystems

Climate change, in combination with other pressures, including fire, overharvesting, invasive species, overgrazing, and pollution, threatens the GRB's biodiversity, agricultural productivity, and increases risks to the livelihoods of the people living in the basin.

Identification of stakeholders for consultation: Based on the outcomes of the stakeholder analysis carried-out (see Chapter 1), the team identified the following stakeholders for consultation:

- Community level stakeholders: Village Institutions/Municipality officials, service centre level government officials, community leaders, NGOs, CBOs, local peoples' organisations, rights-holder organisations ³⁰, teachers, local political party representatives, community workers, and local key informants.
- Sub-national level stakeholders: Local body officials, line agency officials, NGOs, CBOs, political party representatives, development workers, media representatives, various project representatives, local peoples' organisations, rights-holder organisations.
- National level stakeholders: National Planning Commission, sectoral ministries and related departments, divisions and directorates under them, research institutions, international organizations, rights-holder organisations, and professional associations, private sector associations.

Development of consultation moDality: The team used the following approach to consultation to gather required information.

- i. Workshops at district and community level
This approach was used to gather suggestions on issues of climate change by consensus. The participants of the workshop were all kinds of stakeholders at the district level.
- ii. Focus group discussion (FGD) at district level
This approach was used to get insight into the specific issues in climate change and adaptation. There were eight FGDs conducted
- iii. Face to face interaction (interview) at community, district and national levels

³⁰ Rights-holder organizations are organizations that claim and defend the rights of particular groups of excluded population

This approach was used to get in-depth information about issues on climate change adaptation by the people being involved in policy making, policy implementation, research, extension and development.

iv. Mobilisation of media and rights-holder organisations

This approach was used to involve wider range of stakeholders at the community level.

Development of tentative outline of the reports: The team worked out on the tentative outline of the sectoral papers and the main proposal document to be prepared. The team also prepared the working objectives for the preparation of inception report.

Preparation of checklists and questionnaires: There were 9 types of checklists and two briefing materials prepared for field study. These forms (in Nepali) are available from the IUCN Nepal office for review. They included:

- i. Questionnaire for Climate change adaptation
- ii. Questionnaire for Agriculture sector
- iii. Questionnaire for forestry sector
- iv. Questionnaire for Gender Inclusion
- v. Questionnaire for Social Inclusion
- vi. Questionnaire for project site GIS
- vii. Questionnaire for Environment and Social Management System (ESMS)
- viii. Questionnaire for Monitoring and Evaluation system
- ix. Questionnaire for Stakeholder analysis
- x. Questionnaire for Market and economic Analysis

An inception report was presented in the National Inception Workshop 20 September 2017 in Hotel Himalaya. There were 55 participants from various organisations. With several suggestions for improvement, the Inception Workshop endorsed the methodology and climate change impacts and theory of change to be considered.

3.1.3 Consultant team

An interdisciplinary team of consultants has been formed that comprised 12 members representing the following sectors and thematic areas:

Table 4: Team of consultants

Name	Expertise
Dr Krishna Chandra Paudel	M&E, knowledge management
Dr Narendra Man Babu Pradhan	E&S Safeguards and Ecosystem
Dr Krishna Ram Khadka	Markets and economic analysis
Dr Sushila Nepali	Social inclusion
Dr Himlal Shrestha	GIS
Dr Nabin Joshi	Climate Change
Mr. Krishna Hengaju	Environment
Mr. Bijaya Raj Paudel	Stakeholder analysis
Mr. Rabin Bogati	Watershed management
Ms Kanti Rizal	Gender inclusion
Mr Murari Raj Joshi	Agriculture
Dr William Jackson	International consultant (overall lead)

For the field visits, the consultant team was split into different groups in order to cover the different geographical clusters, as described in Table 5 below.

Table 5: Composition of field team

Team/ Cluster	Name	Team/ Cluster	Name
1	Dr. Nabin Joshi* Mr. Rajan Poudel Mr. Ashish Maharjan Mr. Rabin Adhikari	5	Dr. Sushila C Nepali* Mr. Rabindra R Joshi Mr. Keshav Bhusal Mr. Sujan Bista
2	Dr. Himlal Shrestha* Dr. Narendra Pradhan* Mr. Kishor Aryal Mr. Kashinath Nepali Ms. Saika Khadka	6	Dr. Krishna Ram Khadka* Ms. Kanti Rizal* Ms. Anu Adhikari Mr. Saurav Paudel Mr. Sushan Chettri
3	Dr. Krishna C Poudel* Mr. Prashant Nepal Mr. Nabin Gurung Ms. Bishal Bhattarai	7	Mr. Rabin Bogati* Mr. Kishor P Bhatta Ms. Sabhyata Lamichhane Mr. Anil Thapa
4	Mr. Bijaya R Paudel* Mr. Krishna D Hengaju* Mr. Santosh Pathak Mr. Sarju Maharjan Mr. Janak R Bohara	8	Dr. Murari R Joshi* Ms. Shaalu Basnet Mr. Tejab Pun Mr. Santosh Pokhrel

3.2 Documentation of Consultations

3.2.1 Selection of study sites and preparation for field visits

A key input for the development of the project was the climate change vulnerability assessment that had been carried out in the GRB districts in 2010 by the National Adaptation Programme of Action (MOSTE, 2010, in the following referred to as NAPA study). The results of this assessment directed the selection of the study sites as follows.

Table 6: Vulnerability status of the GRB districts

Vulnerability status	Districts	Number of local bodies (municipalities)
Very high	Lamjung	5
High	Chitwan, Dhading, Gorkha, Manang,	42
Medium	Mustang, Nawalparasi, Makawanpur, Tanahu, Kaski, Parbat, Baglung, Myagdi, Rasuwa	74
Low	Syangja, Gulmi, Arghakhanchi, Nuwakot	27
Very low	Palpa	3
Total	19	151

After political restructuring of Nepal, Municipalities (217) and Village Development Committees (VDC) (3,276) were merged in to 753 local bodies within seven provinces. As many Municipalities and VDCs were merged to form new local bodies, the vulnerability status of the local bodies identified in the 2010 assessment did not remain the same as earlier. Climate change vulnerability of the newly formed local bodies has not been undertaken yet by the government.

In order to conduct a vulnerability analysis of the new local bodies, the project took an approach of drainage network of the watershed and sub-watersheds. The river map layer was acquired from the National Geographic Information Infrastructure Project (NGIIP), Department of Survey and the vulnerability layer was acquired from Regional Database System (RDS), ICIMOD.

For field consultation, five vulnerability groups namely very low, low, medium, high and very high were considered following the NAPA study. The 151 local bodies were then classified into different vulnerability groups. In order to get a representative picture of the local bodies in the GRB, in consultation with the MOFE officials, the consultant team identified eight clusters (including one additional cluster for Chure) for the feasibility study.

3.2.2 Pre-feasibility study

The aim of the pre-feasibility study was to collect people's perception on the climate change issues in the project site and collect basic information required to design the feasibility study methodology. The prefeasibility study included one regional level consultation in Pokhara (Kaski), two district level consultations in Besisahar (Lamjung district) and Sauraha (Chitwan district), one consultation at the Institute of Agriculture and Animal Sciences in Sundarbazar (Lamjung). It further included nine community level consultations in Mustang, Kaski, Tanahu, Lamjung, Chitwan, Syangja and Nawalparasi from 22nd to 26th September 2017 (see below Table 7, SN 6-19). The participants of the consultation were selected and invited by the local governments in consultation with the District Forest Office and District Soil Conservation and Watershed Management Offices. From this preliminary survey, climate vulnerability, existing interventions, monitoring mechanisms and barriers to climate resilient solutions were identified and the stakeholder analysis has been updated (including decision who to involve in the feasibility study).

3.2.3 Feasibility study: Participatory and inclusive consultation

Eight groups were formed for conducting the feasibility study. In total 1,421 people were consulted during, 54.5 per cent were women and 45.6 per cent were men. Of the 939 individuals from local communities consulted, 65 per cent were women and 35 percent were men. Efforts were made to include people from all spheres of life in the community. Table 7 provides more detail on the name of the communities, place and date of consultation, number and nature of participants and the major outcome of the consultation.

3.2.4 Validation of the final proposal

The Funding Proposal was further revised to address the comments of the GCF Secretariat Reviewer. The revised Funding Proposal was shared with 14 communities in the GRB for validation (see below Table 7, SN 166-180). The communities highly welcomed the planned intervention and its expected results and assured their full cooperation in the implementation of the project. Table 7 provides details about this consultation step including names of the communities, place and date of consultation, number and nature of participants and the major outcome of the consultation.

The revised proposal was shared with the members of the Technical Committee of the Ministry of Forests and Environment; and with the members of the Technical Committee of

the NDA/Ministry of Finance. Both the Ministries endorsed the Full Proposal and gave their approval for resubmission to GCF for consideration.

Summary of consultations and outcomes: A summary of consultation conducted at various levels and the major outcomes from such consultations are presented below (Table 7).

Table 7: Summary of consultation outcomes

SN	Level and place of consultation	Date	Number and nature of participants	Major Outcome
1	Discussion with UNDP team on overlapping on thematic area, Kathmandu	12 Apr 2017	Two experts from UNDP working on GCF proposal	UNDP will be focusing on GLOF and mountain areas while IUCN will be working on adaptation in the hills and Terai areas
2	Progress Review, IUCN	25 May 2017	Consultants team	Suggestions on process ahead
3	Meeting with NDA on inception workshop and proposal preparation road map, NDA Kathmandu	10 Sep 2017	Joint Secretary, Under Secretary and Section Officer of the NDA	Involvement of NDA and MOFE was finalised, climate change issues identified were refined, methodology was improved
4	Workshop with potential collaborators to collect feedback on theory of change, IUCN, Kathmandu	13 Sep 2017	14 participants from potential collaborators of both non-government and government sectors	Theory of change was discussed and was further improved to present in the national level consultation
5	National level stakeholder consultation workshop to collect feedback on project framework, Kathmandu	20 Sep 2017	55 participants from various relevant organisations including government, Civil society organisations, private sector, community organisations, INGOs, research organisations, IPs organisations,	Broader framework of the project, objectives, theory of change and major activities were tentatively identified
6	Sub-national level, District Soil Conservation Office, Kaski	22 Sep 2017	33 participants from various organisations	Climate vulnerability, existing interventions, monitoring mechanisms, barriers to climate resilient solutions, related stakeholders involved and to be involved were identified
7	Community level, Lwang, Macchapuchhre RM, Kaski	23 Sep 2017	25 participants (10 IPs, 2 Dalit, 13 others, 11 female)	
8	Community level, Sikles, Kaski	23 Sep 2017	11 participants (7 IPs, 4 others, 6 female)	
9	Community level, Tharpu Women Cooperative Office, Tanahu	23 Sep 2017	7 participants (2 IPs, 2 Dalit, 3 others, 3 female)	
10	Institutional level, IAAS, Lamjung Campus, Sunder Bazar, Lamjung	23 Sep 2017	7 participants ³¹	
11	Community level, Pitauli, Kwasoti, Nawalparashi	23 Sep 2017	26 participants (7 IPs, 3 Dalit, 16 others, 12 female)	

³¹ See note at the end of the Table 7

12	District level, DCC Meeting Hall, Lamjung	24 Sep 2017	24 participants ³²	
13	Community level, Ghanapokhara, Lamjung	24 Sep 2017	18 participants (7 IPs, 2, 9 others, 10 female)	
14	District level, DFO, Chitwan	24 Sep 2017	10 participants	
15	Community level, Sauraha, Chitwan	24 Sep 2017	29 participants (3 IPs, 3 Dalit, 23 others, 15 female)	
16	Community level, Uppallo Aandhikhola Sub-watershed area, Syangja	25 Sep 2017	11 participants (2 Dalit, 9 others, 4 female)	
17	District level, Soil Conservation Office, Syangja	25 Sep 2017	8 participants	
18	Community level, Tiger Club Megauli, Chitwan	25 Sep 2017	15 participants (5 IPs, 2 Dalit, 8 others, 5 female)	
19	Community level, Ghassong, Jomsong, Mustang	26 Sep 2017	16 participants (10 IPs, 6 others, 10 female)	
20	Meeting with UNEP and NDA consultants on progress review	5 Oct 2017	Two participants (UNEP and NDA)	Feedback on budgeting procedure was obtained
21	Consultation meeting with GCF Technical Committee in MOFE	20 Nov 2017	5 members of the Technical Committee	Feedback on the PCN was obtained
22	Meeting with the Secretary of MOFE	23 Nov 2017	5 participants (Secretary, Joint Secretary, three Under Secretaries)	Approval of PCN was obtained
23	Meeting with MOF/NDA GCF team	30 Nov 2017	Three participants (Joint Secretary, Under Secretary, NDA Consultant)	Feedback and approval of PCN was obtained
24	District Level - Mustang	10 Dec 2017	20 participants from various district level organisations ³³	Climate change vulnerability analysed, past works on adaptation reviewed, existing projects identified and ways for leveraging analysed, and district level stakeholders to be involved in the project identified

³² See note at the end of the Table 7

³³ See note at the end of the Table 7

25	Rural Municipality Level- Gharapjong, Mustang	10 Dec 2017	8 Municipal authorities and staff ³⁴	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
26	Community Level – Thini Gaun, Mustang	10 Dec 2017	10 participants (5 IPs, 5 others including 6 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
27	Community Level – Gharapjong, Mustang	10 Dec 2017	9 participants (5 IPs, 4 others, 5 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
2829	Rural Municipality Level – Thasang, Mustang	11 Dec 2017	14 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
30	Community Level – Sauru, Mustang	11 Dec 2017	10 participants (2 Dalit, 6 IPs, 2 others including 6 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
31	Community Level – Kobang, Mustang	11 Dec 2017	10 participants (1 Dalit, 5 IPs, 4 others including 4 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
32	District Level - Myagdi	11 Dec 2017	23 participants from various district level organisations	Climate change vulnerability analysed, past works on adaptation reviewed, existing projects identified and ways for leveraging analysed, and district level stakeholders to be involved in the project identified
33	Rural Municipality Level – Annapurna, Myagdi	11 Dec 2017	13 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
34	Community Level – Dana, Myagdi	11 Dec 2017	10 participants (9 IPs, 1 other including 1 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
35	Community Level – Narchyang, Myagdi	11 Dec 2017	10 participants (5 Dalit, 3 IPs, 2 others including 1 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention

³⁴ See note at the end of the Table 7

				areas and potential stakeholders to be involved at the community level
36	Rural Municipality Level – Raghuganga, Myagdi	12 Dec 2017	10 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
37	Community Level – Rankhu, Myagdi	12 Dec 2017	7 participants (6 Dalits, 1 IP including 4 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
38	Community Level – Dagnam, Myagdi	12 Dec 2017	8 participants (6 Others including 4 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
30	Rural Municipality Level – Jaljala, Myagdi	12 Dec 2017	10 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
40	Community Level – Pari Beni, Myagdi	12 Dec 2017	10 participants (6 Dalits, 2 IPs, 2 others including 6 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
41	Community Level – Banskharka, Myagdi	12 Dec 2017	6 participants (3 Dalits, 3 IPs including 3 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
42	Rural Municipality Level – Madi, Thumki Danda, Kaski	12 Dec 2017	19 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
43	Community Level – Taprang, Sindujure, Ward – 6, Kaski	12 Dec 2017	12 participants	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
44	Community Level – Tarkang, Kaski	12 Dec 2017	14 participants	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
45	Municipality Level_ Pokhara Lekhnath Metropolitan City, Kaski	13 Dec 2017	10 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF

46	Community Level – Gharipatan, Kaski	13 Dec 2017	7 participants (2 IPs, 1 Dalit, 4 others; 4 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
47	Community Level – Jalari, Rapaudi, Ward No - 18	13 Dec 2017	9 participants (3 IPs, 2 Dalit, 4 others; 4 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
48	Municipality Level – Rupa, Bhirchowk, Kaski	15 Dec 2017	11 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
49	Community Level – Deurali, Ward No – 5, Kaski	15 Dec 2017	15 participants (4 Dalits, 5 IP including 7 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
50	Community Level – Miya gaun, Ward No – 6 & 1, Kaski	15 Dec 2017	13 participants (2 Dalits, 5 IP including 6 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
51	Rural Municipality Level – Kwholasothar, Maling, Ward No – 2, Lamjung	18 Dec 2017	21 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
52	Community Level – Gilung, Lamjung	18 Dec 2017	15 participants (10 IPs, 1 Dalit, 4 others including 9 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
52	Community Level – Salme, Ward No – 8, Lamjung	18 Dec 2017	12 participants (1 Dalit, 3 IPs, 8 others, including 6 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
54	Municipality Level – Madhya Nepal, Bhorletar, Lamjung	11 Dec 2017	13 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
55	Community Level – Dura Group, Bardanphant, Ward No – 10, Lamjung	11 Dec 2017	10 participants (9 IPS, 1 other including 7 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
56	Community Level – Rambazar, Ward No – 7, Lamjung	11 Dec 2017	10 participants (3 IPs, 7 others including 7 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention

				areas and potential stakeholders to be involved at the community level
57	Municipality Level – Besisahar, Chautari, Ward No – 7, Lamjung	14 Dec 2017	11 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
58	Community Level – Chiti Tilhar, War No – 11, Lamjung	14 Dec 2017	15 participants (2 Dalits, 4 IPs, including 11 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
59	Community Level – Chandistha, Ward No – 11, Lamjung	14 Dec 2017	28 participants (1 Dalit, 3 IPs, 24 others including 15 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
60	Rural Municipality – Dordi, Nauthar Shera, Ward No – 4, Lamjung	15 Dec 2017	33 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
61	Community Level – Khatri gaun, Shreenamjyang, Ward No – 3, Lamjung	15 Dec 2017	36 participants (1 IP, 2 Dalit, 33 others including 23 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
62	Community Level – Jiteri, Ward No – 4, Lamjung	15 Dec 2017	8 participants (7 IPs, 1 other including 5 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
63	Rural Municipality Level – Dudhpokhari, Okhari, Ward No – 6, Lamjung	16 Dec 2017	24 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
64	Community Level – Jorne, Ward No – 3, Lamjung	16 Dec 2017	8 participants (8 IPs including 5 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
65	Community Level – Gauda, Lamjung	16 Dec 2017	55 participants (40 IPs, 15 Dalit including 34 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
66	Rural Municipality Level – Marsyangdi, Khudi Village, Lamjung	13 Dec 2017	21 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF

67	Community Level – Bhusme, Ward No – 8, Lamjung	13 Dec 2017	21 participants (6 IPs, 3 Dalits, 12 others including 6 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
68	Community Level – Pallotari, Ward No – 3, Lamjung	13 Dec 2017	28 participants (22 Dalits, 1 IP, 5 others including 16 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
69	Municipality Level – Sundarbazar, Lamjung	17 Dec 2017	15 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
70	Community Level – Bhoteodar, Ward No – 2 & 9, Lamjung	17 Dec 2017	25 participants (1 Dalit, 5 IPs, 19 other including 14 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
71	Community Level – Khatri gaun, Ward No – 6, Lamjung	17 Dec 2017	29 participants (2 Dalit, 2 IPs, 25 other including 12 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
72	District Level – Gorkha	14 Dec 2017	21 participants from various district level organisations	Climate change vulnerability analysed, past works on adaptation reviewed, existing projects identified and ways for leveraging analysed, and district level stakeholders to be involved in the project identified
73	Municipality Level – Gorkha	12 Dec 2017	11 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
74	Community Level – Sirdibas Watershed area, Gorkha	12 Dec 2017	12 participants (4 IPs, 8 others including 7 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
75	Community Level – Thulo Rip, Gorkha	12 Dec 2017	20 participants (17 IPs, 2 Dalit, 1 other including 13 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
76	Rural Municipality Level – Dharche, Gorkha	10 Dec 2017	10 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF

77	Community Level – Laprak, Gorkha	10 Dec 2017	12 participants (1 Dalit, 11 IPs including 6 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
78	Rural Municipality Level – Arughat, Gorkha	11 Dec 2017	13 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
79	Community Level – Soti, Gorkha	11 Dec 2017	11 participants (2 IPs, 2 Dalit, 5 other including 5 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
80	Community Level – Aarupokhari, Gorkha	11 Dec 2017	11 participants (3 IPs, 8 others including 7 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
81	District Level – DCC office, Dhading	11 Dec 2017	19 participants from various district level organisations	Climate change vulnerability analysed, past works on adaptation reviewed, existing projects identified and ways for leveraging analysed, and district level stakeholders to be involved in the project identified
82	Rural Municipality Level – Gangajamuna, Dhading	8 Dec 2017	5 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
83	Community Level- Phulkharka, Ward No – 5, Dhading	8 Dec 2017	8 participants	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
84	Community Level – Dansing, Sukbhanjyang, Dhading	8 Dec 2017	13 participants (2 IPs, 2 Dalit, 9 others including 5 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
85	Rural Municipality Level – Tripurasundari, Dhading	9 Dec 2017	6 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
86	Community Level – Salyantar, Ward No – 1, Dhading	9 Dec 2017	10 participants (5 IPs, 5 others including 5 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level

87	Community Level – Chapthok, kastya khola, Ward No – 6, Dhading	9 Dec 2017	12 participants (1 Dalit, 11 others including 6 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
88	District Level – Nuwakot	11 Dec 2017	13 participants from various district level organisations	Climate change vulnerability analysed, past works on adaptation reviewed, existing projects identified and ways for leveraging analysed, and district level stakeholders to be involved in the project identified
89	Rural Municipality Level – Kispang, Nuwakot	11 Dec 2017	13 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
90	Community Level – Kaule, Dawachet, Nuwakot	11 Dec 2017	10 participants (1 Dalit, 6 IPs, 3 others including 3 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
91	Community Level – Fikare, Nuwakot	11 Dec 2017	10 participants (2 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
92	Rural Municipality – Meghang, Deurali, Nuwakot	12 Dec 2017	14 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
93	Community Level – Sano Kimtang, Nuwakot	12 Dec 2017	10 participants (2 Dalit, 8 IPs including 7 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
94	Community Level – Chiuri Bhanjhyang, Ward No – 2, Nuwakot	12 Dec 2017	10 participants (10 IPs including 6 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
95	District Level-Rasuwa, Dhunche	8 Dec 2017	17 participants from various district level organisations	Climate change vulnerability analysed, past works on adaptation reviewed, existing projects identified and ways for leveraging analysed, and district level stakeholders to be involved in the project identified
96	Rural Municipality Level – Gosainkunda, Rasuwa	10 Dec 2017	13 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF

97	Community Level – Dhunche, Sole, Ward No – 6, Rasuwa	10 Dec 2017	10 participants (10 IPs including 5 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
98	Community Level – Ramche, Rasuwa	10 Dec 2017	10 participants (10 IPs including 6 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
99	Rural Municipality Level – Kalika, Kalikasthan, Rasuwa	10 Dec 2017	10 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
100	Community Level – Dharapani, Ward No – 3, Rasuwa	8 Dec 2017	10 participants (1 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
101	Community Level – Chilime, Rasuwa	8 Dec 2017	15 participants (1 Dalit, 14 IPs including 7 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
102	Rural Municipality – Parbatikunda, Goljung, Rasuwa	9 Dec 2017	13 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
103	Community Level – Goljung, Ward No – 4, Rasuwa	9 Dec 2017	10 participants (10 IPS including 9 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
104	Community Level – Purano Syaphru, Rasuwa	9 Dec 2017	10 participants (1 Dalit, 9 IPs including 6 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
105	Rural Municipality Level – Ichchhyakamana, Chitwan	8 Dec 2017	11 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
106	Municipality Level – Madi, Chitwan	12 Dec 2017	5 participants (1 female)	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
107	Community Level – Amiliya Sibir, Chitwan	12 Dec 2017	12 participants (10 Dalits, 1 IPs, 1 other including 5 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention

				areas and potential stakeholders to be involved at the community level
108	Community Level – Ratni, Chitwan	12 Dec 2017	7 participants (7 others including 5 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
109	Rural Municipality Level – Rapti, Chitwan	10 Dec 2017	12 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
110	Community Level – Mandanpur, Ward No – 7, Chitwan	10 Dec 2017	12 participants (3 Dalits, 3 IPs, 6 other including 7 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
111	Community Level – Bhawanipur, Ward No – 4, Chitwan	10 Dec 2017	13 participants (5 IPs, 8 others including 4 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
112	Rural Municipality Level – Kalika, Chitwan	11 Dec 2017	7 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
113	Community Level – Kalika, Chitwan	11 Dec 2017	8 participants (3 IPs, 5 other, 3 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
114	Community Level – Chepang group, Padampur, Chitwan	11 Dec 2017	23 participants (21 Dalits, 1 IPs, 1 other including 22 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
115	Municipality Level – Kawaswoti, Nawalparasi	12 Dec 2017	10 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
116	Community Level – Hasoura, Nawalparasi	12 Dec 2017	16 participants (1 Dalit, 15 others including 5 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
117	Community Level – Kawaswoti, Ward No – 15, Nawalparasi	12 Dec 2017	13 participants (4 IPs, 9 others including 7 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level

118	District Level - Palpa		12 participants from various district level organisations	Climate change vulnerability analysed, past works on adaptation reviewed, existing projects identified and ways for leveraging analysed, and district level stakeholders to be involved in the project identified
119	Rural Municipality Level – Mathagadi, Palpa	11 Dec 2017	9 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
120	Community Level – Jhadewa, Mathagadi – 4, Palpa	12 Dec 2017	9 participants (9 IPs including 1 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
121	Community Level – Baseni Khola, Mathagadi – 7, Palpa	12 Dec 2017	10 participants (8 IPs, 2 Dalit including 6 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
122	Rural Municipality Level – Nisdi, Palpa	10 Dec 2017	9 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
123	Community Level – Chuiribas, Nisdi – 4, Palpa	13 Dec 2017	10 participants (8 IPs, 1 Dalit, 1 other including 4 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
124	Community Level – Jyamire, Nisdi – 7, Palpa	13 Dec 2017	7 participants (6 IPs, 1 Dalit including 1 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
125	Rural Municipality Level – Pubakhola, Palpa	10 Dec 2017	15 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
126	Community Level – Devinagar, Purbakhola-4, Palpa	14 Dec 2017	15 participants (12 IPs, 1 Dalit, 2 others including 5 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
127	Community Level – Jalpa, Purbakhola – 2, Palpa	14 Dec 2017	10 participants (9 IPs, 1 other including 3 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level

128	Rural Municipality – Binayee Tribeni, Nawalparasi	17 Dec 2017	10 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
129	Community Level – Ghumti, Ward No – 1, Nawalparasi	15 Dec 2017	10 participants (8 IPs, 1 Dalit, 1 other including 7 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
130	Community Level – Kumaltar, Ward No – 1, Nawalparasi	15 Dec 2017	8 participants (1 Dalit, 7 others including 6 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
131	Rural Municipality Level – Hupsekot, Nawalparasi	9 Dec 2017	11 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
132	Community Level – Gyuan, Hupsekot – 2, Nawalparasi	16 Dec 2017	18 participants (14 IPs, 2 Dalit, 2 others including 6 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
133	Community Level – Hupsekot – 6, Nawalparasi	16 Dec 2017	9 participants (6 IPs, 3 others including 4 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
134	District Level – Gulmi	14 Dec 2017	13 participants from various district level organisations	Climate change vulnerability analysed, past works on adaptation reviewed, existing projects identified and ways for leveraging analysed, and district level stakeholders to be involved in the project identified
135	Municipality Level – Resunga, Gulmi	14 Dec 2017	15 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
136	Community Level – Bhadgaon, Resunga – 3, Gulmi	14 Dec 2017	7 participants (1 Dalit, 6 others including 2 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
137	Community Level – Resunga, Gulmi	14 Dec 2017	7 participants (1 Dalit, 2 IPs, 4 Others, including 2 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level

138	Rural Municipality Level – Gulmidurbar, Gulmi	13 Dec 2017	10 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
139	Community Level – Birbase, Gulmidurbar – 3, Gulmi	13 Dec 2017	7 participants (1 Dalit, 2 IPs, 4 Others, including 3 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
140	Community Level – Bakhre, Gulmidurbar – 4, Gulmi	13 Dec 2017	6 participants (2 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
141	Rural Municipality Level – Satyawati, Gulmi	15 Dec 2017	10 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
142	Community Level – Piplaneta, Satyawati – 6, Gulmi	15 Dec 2017	8 participants (1 Dalit, 3 IPs, 4 Others, including 4 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
143	Community Level – Chorkate, Satyawati – 6 & 9, Gulmi	15 Dec 2017	7 participants (1 Dalit, 1 IPs, 5 Others, including 4 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
144	Municipality Level – Galkot, Baglung	16 Dec 2017	8 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
145	Community Level – Narethali, Galkot-2, Baglung	16 Dec 2017	8 participants (1 Dalit, 3 IPs, 4 Others, including 4 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level
146	Rural Municipality Level – Bareng, Baglung	16 Dec 2017	5 Municipal authorities and staff	Consent of Municipality was obtained to conduct the feasibility study and to cooperate in implementing the project activities if awarded by GCF
147	Community Level – Hugdisir, Bareng-2, Baglung	16 Dec 2017	7 participants (1 Dalit, 1 IPs, 5 Others, including 4 female)	Analysed the vulnerability of communities and ecosystem; and identified adaptation intervention areas and potential stakeholders to be involved at the community level

150	Consultation with national level climate change experts, academicians, development activists, politicians, and planners	2-10 Jan 2018	12 consultations with government officials, academicians, experts and planners.	Major findings of the study were verified with the climate change elite group
151	Policy feedback meeting organised by NDA	9 Jan 2018	13 Members of the NDA's Technical Committee representing various organisations including representative from Indigenous people's organisation	Guidance on proposal submission was obtained
152	Consultation with Technical Team in MOFE	21 Jan 2018	Team of consultants	Suggestions on fund flow mechanism
153	Workshop meeting of IUCN Hqs and Asia Regional Office representative with the NDA and MOFE Technical Committee members	2 Mar 2018	10 Members of MOFE including 5 of the Technical Committee; three from NDA including one consultant; two from IUCN Hqs; two from IUCN ARO including consultant; and team of consultants;	The proposal was reviewed in line with GCF and government requirements, proposal preparation roadmap was finalised
154	Workshop with NDA and MOFE on fine-tuning of theory of change	12-14 Feb 2018	5 members of the MOFE's Technical Committee; 2 members from NDA, team of consultants	Theory of change was further improved to perfectly match with the objectives of GCF and the newly elected government of FDR Nepal
155	Discussion with FAO on geographical and thematic overlapping between two proposals	25 Apr 2018	3 members from FAO Nepal, Team of consultants	FAO and IUCN are targeting different geographical areas
156	Discussion with Technical Team on implementation structure	7 May 2018	Five members of the MOFE's Technical Committee	Modification on implementation structure proposed
157	Meeting with Secretary and FACD experts on the draft final proposal	23 May 2018	Secretary of MOFE and Joint Secretary of Foreign Aid Cooperation Division of MOFE; team of consultants	Suggestion to revise the output-wise budget allocation
158	Meeting with the Technical Committee of NDA/MOF on draft final proposal	11 Jun 2018	13 Members of the NDA's Technical Committee representing various organisations including representative from Indigenous people's organisation	Suggestions for fine tuning of the proposal
159	Meeting with the Ministry of Forests Officials to review the comments provided by the GCF reviewer, Patrick van Laake.	3 Oct 2018	5 members of the MOFE's Technical Committee	MOFE's guidance on the ways ahead

160	Skype meeting with the IUCN Asia regional Office and Headquarters GCF Unit Staffs	3 Oct 2018	5 members from Hqs and 3 members from ARO; consultant team	Ways ahead to follow government guidance in addressing GCF reviewer's comments
161	Consultation with the Ministry of Forests and Environment for the revision of the proposal	14 Dec 2018	5 members of the MOFE's Technical Committee	Revision methodology approved
162	Meeting with the newly appointed Member Secretary of the NTNC, who is also the Joint Secretary of the Environment and Biodiversity Division of the Ministry of Forests and Environment	12 Mar 2019	15 Staff, experts and consultants of NTNC	Clarity on the modality of consultation with the newly elected State Governments of states 3, 4, and 5 which embrace districts of GRB.
163	Meeting with the newly appointed Director General of the Department of Forests and Soil Conservation of the Ministry of Forests and Environment	14 Mar 2019	7 members of DOFSC including DG, DDG and 2 members of the MOFE's technical Committee representing from the DOFSC	Appointment of Ms. Sumana Devkota, Under Secretary in the Proposal formulation Team to succeed Mr. Kishor Aryal
164	Meeting with NDA on the status of revision and inclusion of newly elected State Government roles in the project	18 Mar 2019	3 members of NDA including NDA's consultant	Clarity on the roles to be included and the importance of the proposal to be explained in the GCF meeting on 20th of the Nepal NDA with GCF secretariat staff and reviewers
165	Skype meeting with GCF Secretariat reviewers, staff, Nepal NDA delegates and Nepal Country Team	20 Mar 2019	GCF Secretariat proposal reviewers, NDA delegates from Nepal, FAO Nepal, UNDP Nepal, IUCN nepal	Clarification by GCF staff on some important issues in general and on economic and financial analysis to IUCN proposal
166	Revised proposal validation workshop with Bufferzone User Committee, Local Elected Bodies, Private Sector, NGO of Sauraha Chitwan	20 May 2019	12 participants (1 Dalit, 11 others including 1 Female)	The revised funding proposal was endorsed and commitment to cooperate the project implementation was shown.
167	Revised proposal validation workshop with National Park, NGO of Sauraha, Chitwan	20 May 2019	13 Others, 5 female	The revised funding proposal was endorsed and commitment to cooperate the project implementation was shown.
168	Revised proposal validation workshop with Conservation Area Management Committee, Local Elected Bodies, CBOs, NGOs of Ghanapokhara, Lamjung	20 May 2019	36 participants (22 IPS, 9 Dalits, 5 others including 7 Female)	The revised funding proposal was endorsed and commitment to cooperate the project implementation was shown.

169	Revised proposal validation workshop with Conservation Area Management Committee, Local Elected Bodies, CBOs, NGOs of Bhujung, Lamjung	20 May 2019	35 Participants (31 IPS, 2 Dalits, 1 madheshi and 1 other) including 18 Female	The revised funding proposal was endorsed and commitment to cooperate the project implementation was shown.
170	Revised proposal validation workshop with Conservation Area Management Committee, Local Elected bodies, CBOs, NGOs, Private sector of Manang Nesyang RM, Manang	20 May 2019	13 Participants (12 IPS, and 1 Dalit) including 3 Female	The revised funding proposal was endorsed and commitment to cooperate the project implementation was shown.
171	Revised proposal validation workshop with Government, Local Elected Bodies, CBOs, Conservation Area Management Committee of Gharpajhong Gaunpalika Jomsom, Mustang	21 May 2019	14 participants (9 IPS, 3 Dalits and 3 others) including 8 Female	The revised funding proposal was endorsed and commitment to cooperate the project implementation was shown.
172	Revised proposal validation workshop with Local Elected Bodies, Local communities, Conservation Area Management Committee of Bargung Muktichetra RM Kagbeni, Mustang	21 May 2019	12 participants (11 IPS and 1 other) including 5 Female	The revised funding proposal was endorsed and commitment to cooperate the project implementation was shown.
173	Revised proposal validation workshop with Local Elected Bodies, Conservation Area Management Committee, CBOs, Local Communities, Private Sector of Lho Ghyakar Damodar Kunda RM, Mustang	21 May 2019	14 IPS including 8 Female	The revised funding proposal was endorsed and commitment to cooperate the project implementation was shown.
174	Revised proposal validation workshop with Conservation Area Management Committee, Local communities of Lhomanthang RM, Mustang	21 May 2019	14 IPS including 8 Female	The revised funding proposal was endorsed and commitment to cooperate the project implementation was shown.
175	Revised proposal validation workshop with Conservation Area Management Committee, Local Elected Bodies, Local Communities of Chumnubri RM, Gorkha	21 May 2019	17 participants (16 IPS and 1 other) including 2 Female	The revised funding proposal was endorsed and commitment to cooperate the project implementation was shown.
176	Revised proposal validation workshop with Conservation Area Management Committee, Local Communities of Machhepuchre RM, Kaski	21 May 2019	33 participants (26 IPS, 5 Dalits and other) including 5 Female	The revised funding proposal was endorsed and commitment to cooperate the project implementation was shown.

177178	Revised proposal validation workshop with Local Elected Bodies, Conservation Area Management Committee, Local Communities of Madi RM, Kaski	22 May 2019	13 participants (9 IPS and 4 others) including 9 Female	The revised funding proposal was endorsed and commitment to cooperate the project implementation was shown.
179	Revised proposal validation workshop with Conservation Area Management Committee, Local Communities of Lumle, Kaski	22 May 2019	18 participants (10 IPS, 1 Dalit and 7 others) including 8 Female	The revised funding proposal was endorsed and commitment to cooperate the project implementation was shown.
180	Revised proposal validation workshop with Conservation Area Management Committee, Local Communities of Chumnubri RM, Gorkha	22 May 2019	12 IPS Participants including 7 female	The revised funding proposal was endorsed and commitment to cooperate the project implementation was shown.
181	Meeting with the Joint Secretary (Planning), MOFE to brief the revised FP	21 May 2019	Dr. Sindhu Dhungana, Joint Secretary of MOFE	Joint Secretary of MOFE approved the revised version and suggested to proceed with the resubmission
182	Meeting with the NDA Nepal to brief the revised FP	21 May 2019	Ramesh Nepal, Under Secretary, NDA	NDA approved the revised version and suggested to proceed with the resubmission process as soon as possible
<p>Note:</p> <p>Participants of the district level and municipal level consultations were the office bearers and thus were there as they were in terms of ethnicity and gender in their respective positions. However, the participants of the community level consultations could be influenced by the consultation team and thus the breakdown carries meaning. On the whole, participation of IPs was 40.3 percent, Dalits was 10.8 percent and female was 54.5 percent.</p>				

4. Stakeholder Engagement Strategy for the Project

4.1 Introduction

One key output of the project preparation phase was the stakeholder engagement plan presented below that describes how the identified stakeholder will be further engaged during project implementation. The intention of the SEP is to catalyse and organize stakeholder engagement and assure that it effectively takes place in line with IUCN Stakeholder Engagement Policy articulated in the Stakeholder Engagement Guidance Note³⁵.

Deciding which stakeholders to continue engaging with during implementation and the form of engagement was based on the stakeholder analysis and on the outcomes of the consultation process carried out during project development. It considers the stakeholder's interest in the project and their ability to influence the project and contribute to its success, as well as the potential likelihood of the stakeholder being affected by project activities (positively or negatively).

Engagement can take different shapes including active participation in key components of the project (including executing specific components), involvement in project monitoring and evaluation or inclusion in the project's governance structure (e.g. steering committee). The project team will engage stakeholders through a range of approaches tailored to suit stakeholder needs, their capacity and their interests. The team will ensure that stakeholders are aware of project work and will listen and learn from stakeholders particularly the vulnerable poor, indigenous people and women – in the process of fine-tuning the project activities, selecting the concrete sites for interventions and making decisions about their detailed design.

Stakeholder engagement will aim to ensure that the project will not contribute to existing inequalities and marginalization but rather help to reduce them. It will contribute to identifying and implementing creative and innovative decisions that are well adapted to the local social-cultural and environmental context.

4.2 Engagement with Stakeholders

4.2.1 Government stakeholders

There is a wide range of government agencies relevant to the project. The project will be executed by the Ministry of Forests, Science and Environment and its departments, relevant units and line agencies at provincial and local level will be important stakeholders during the project's implementation.

The project will in particular work with the Division of Climate Change Management, Department of Forests and Soil Conservation, Department of National Parks and Wildlife Conservation, Department of Forest Research and Survey (DFRS), the Department of Plant Resources and their line agencies at the district level. These will play different roles in the project and will have distinct roles in project execution as well as lead facilitators for policy/strategy-related work.

³⁵ Available at https://www.iucn.org/sites/dev/files/esms_stakeholder_engagement_guidance_note.pdf

Apart from the MoFE, the project will collaborate and coordinate with the Ministry of Agriculture, Land Management and Cooperatives, the Ministry of Livestock Development and the Ministry of Federal Affairs and Local Development.

Coordinated delivery of services to farmers and forest user group members by different line agencies is lacking and efforts are often duplicated by the government agencies involved. The following areas of government support to communities were identified as needing improvement and targeted by the project:

- Coordinated efforts to help farmers obtain services and to establish networks with supporting institutions
- Identify lower cost production and distribution techniques for farmers.
- Increase the capacity of farmers for planning, implementation, and monitoring and evaluation of climate adaptation and climate resilient enterprises
- Improve trust between farmers and supporting line agencies.

At the time of undertaking the feasibility study there was no single government institution working on climate change as its primary mandate. The MoFE is responsible for implementing Climate Change Policy.

Prior to the federal restructure, climate responsive planning and development activities at the district level were carried-out as a part of the work undertaken by technical offices including the District Soil Conservation office, District Forest Office, District Agriculture Development Office, District Livestock Development Office, and the District Technical Office. How these functions are carried out within the new provincial and local government structures is yet to be determined.

The new political structure focuses on the devolution and decentralization of the powers. As such, many soil conservation activities are likely to be devolved to local bodies - Municipalities and Rural Municipalities.

The MoFE has the prime responsibility for ecosystem and watershed management and the Ministry of Agriculture and Land Management is responsible for agro-ecosystem management. The DSCWM will remain as a section in the Department of Forest.

New structures will be formed at the provincial level and at the local levels. There is an immense opportunity for the project to support the government in developing structures that better address climate change needs and reduce current barriers.

4.2.2 Civil society stakeholders

Community Based Organizations (CBOs) were found to be abundant in the GBR. Community forestry user groups (CFUGs) were the most common CBOs. Other important CBOs include conservation area management committees (CAMCs) and sub-committees, buffer zone management committees (BZMCs), buffer zone user committees (BZUCs), leasehold forest groups, Community Based Anti-Poaching Units (CBAPUs), Community based tourism management committees, sub watershed management committees /groups, mothers' groups, youth groups, saving and credit group, and farmers' groups; and the Federation of Nepalese Journalists (FNJ).

Various local and national CBOs and NGOs are undertaking conservation and rural development works in the GBR. These will be important complements to the project as they provide opportunities for replication of climate responsive nature-based solutions.

Extensive multi-stakeholder consultation will ensure that climate responsive activities proposed by the project align with the government's policies, climate priority sectors, and contribute/ compliment ongoing initiatives.

Rural communities and their networks in the GRB are important collaboration partners as they are interested in securing supplies of ecosystem services, particularly forest and grassland products (e.g. fuel wood, timber, forage and medicinal herbs), disaster mitigation, and improved local microclimate and water supply.

Besides government technical agencies, the project will engage with many other relevant NGOs undertaking activities on climate resilience.

4.2.3 Women as individual stakeholders or groups

Women, because of gender based discrimination and ingrained patriarchal socio economic and political system and their lower socio-economic status in comparison to men are more vulnerable to impacts of climate change and natural disasters. The project will emphasize inclusion of women in project-relevant decision making and will seek opportunities to collaborate with and promote women as change agents, as individual stakeholders or groups (e.g. women-led community forest and local level institutions) to reduce gender inequality and ensure their participation, access to and benefits from natural resources. The concrete engagement strategies need to reflect their needs and livelihood conditions including give due respect to workload issues and cultural impediments.

The project will work closely with other user groups such as water user groups, farmers' groups, livestock groups, saving and credit groups, co-operatives and other informal social groups that are vital to shape the land use practices, behaviour and decision making.

4.2.4 Vulnerable, marginalized or disadvantaged groups

Vulnerability in GRB is highly correlated not only with gender but also caste, ethnicity, regional identity, and geographic location and poverty. The level of social inclusive participation, decision making, and leadership roles played by poor, marginalized groups, Dalits and disabled people is more theoretical, than actual practice. Some specific groups within the GRB, including small farm holders, cattle herders, poor and marginalized groups, elderly people are particularly vulnerable due to climate change and are impacted mostly. At the same time these groups play key roles as the custodians of natural resources. While vulnerable groups have been identified as beneficiaries of the project activities, it will be important to include these groups in decision making in order to ensure that their needs but also their capabilities are well understood when designing the on-the ground interventions.

4.2.5 Indigenous Peoples

The GRB has more than 40 ethnic groups. Chepang, Gurung, Bhoti, Loba, Thakali, Tamang, Magar, and Tharu are the major indigenous peoples living in the project area. The Tharu are indigenous people of the Terai. Gurung, Tamang, Magar and Chepang are traditionally from the Middle Hills. Loba, Thakali and Bhoti are from the Himalayan area. Indigenous communities are organized through various formal and informal institutions and the project will engage with relevant institutions in order to ensure that the groups cultural identity, tradition and customs but also their capabilities and development objectives are well understood when designing the on-the ground interventions. In adherence to the ESMS Standard on Indigenous People, the project will consider indigenous peoples are the

rightful owners and not only as merely stakeholders. As such the project will ensure that these groups will be active and effective participants in decision-making processes relevant to them and seek free, prior and informed consent (FPIC) for any intervention that:

- a. takes place on their lands, waters, or territories;
- b. may have negative economic, social, cultural or environmental impacts on their rights, resources or livelihoods;
- c. involves the use of their traditional knowledge; or
- d. promotes the development and generation of social or economic benefits from cultural heritage sites or resources to which they have legal (including customary) rights.

Further provisions of the ESMS Standard are explained in the ESMF in chapter 6.2.

4.2.6 Private sector stakeholders

There is considerable potential for development of economic activities based on increased flows of ecosystem services that result from project interventions that aim to build climate resilience. Through improving the enabling environment and incentive structures to engage with the private sector, the project can pave the way for scaling up and replication in the future.

There are numerous private sector organization that are relevant to the project, including the Federation of Nepalese Chamber of Commerce and industries (FNCCI), the Hotel Association Nepal (HAN), the Tourism Association of Nepal (TAN) and the Nepal Non-Timber Forest Product Network and their chapters.

The project will collaborate with private firms and institutions to encourage the adoption of climate resilient approaches in farm and non-farm enterprises.

4.2.7 International Organizations

Consultations with international organizations were carried out to improve the design of the project and to improve understanding of the involvement of stakeholders in climate related activities. The following organisations will be helpful in implementation of the project: ICIMOD, UNEP, UNDP, FAO, CARE Nepal, and WWF Nepal.

4.3 Stakeholder Engagement Plan

Table 8 below describes the engagement strategies for the various stakeholders identified by the Stakeholder Analysis and through the consultations carried out during project development as key stakeholders. Because stakeholder engagement is considered an evolving process, the plan will be updated on a regular basis during project implementation and project roles as well as form and frequency of consultations might be refined or specified in more detail. The plan will also need to be updated once the specific sites (villages/communities) for field interventions have been decided and the exact on-the-ground interventions in the identified sites are known. The implementation of the plan will be monitored by the PMU and submitted to the GCF as part of the Annual Performance Report.

Table 8: Stakeholder Engagement Plan

Stakeholder		Topics of engagement	Responsible entity	Forms and frequency of engagement
A	Government agencies (national, provincial, local)			
1	Ministry of Finance/NDA	Coordinating between the implementing and executing agencies	Ministry of Finance/ NDA	Quarterly
2	Ministry of Forests and Environment (MOFE)	Execution of the project	MOFE as an Executing Entity	Regularly
3	Department of Forests and Soil Conservation (DOFSC)	Organization establishment based on watershed and basin level, PES establishment based on watershed level planning and program implementation	MOFE as an Executing Entity	Quarterly through PMU meetings
4	Department of National Parks and Wildlife Conservation (DNPWC)	Watershed areas management based on the status	MOFE as an Executing Entity	Semi-annual through PSC meeting
5	Department of Plant Resources (DPR)	Linking ecosystem and hydrological system	MOFE as an Executing Entity	Semi-annual through PSC meeting
6	Forest Research and Training Centre (FRTC)	Publishing an Atlas on Micro watershed, Sub watershed, Watershed and Basin	MOFE as an Executing Entity	Semi-annual through PSC meeting and quarterly through training
7	Department of Environment	Mainstreaming program on mitigation and adaptation with DOFSC	MOFE as an Executing Entity	Semi-annual through PSC meeting and quarterly through training
8	Ratrapati Chure Terai Madhesh Conservation development Board (RCTMCDB)	Mainstreaming all sectoral activities in the Chure area	MOFE as an Executing Entity	Semi-annual through PSC meeting
9	Department of Local Infrastructure and Agriculture Development (DoLIDAR)	Environmental impact assessment and Master Plan of Rural road Protection of road and Agriculture field, water sources and infrastructure	MOFE as an Executing Entity	Semi-annual through PSC meeting
10	Ministry of Federal Affairs and General Administration (MOFAGA)	Sub watershed level planning approach for local level government, Watershed level for Province and basin level plan for Federal government	MOFE as an Executing Entity	Semi-annual through PSC meeting
11	Provincial governments of Gandaki Province, Provinces 3 and 5.	Coordination at Province level	Provincial governments of Gandaki Province, Provinces 3 and 5.	Semi-annual through PSC meeting and quarterly through training

12	Local governments (municipalities of 151 local bodies in the GRB)	Community mobilisation and formulation of sub-sub-basin level management plans for each small tributary of the GRB.	Provincial governments of Gandaki Province, Provinces 3 & 5	Semi-annual through PSC meeting and quarterly through training
13	Ministry of Agriculture and Livestock Development (MOALD)	Sloppy land use moDality development, maintaining River side greenbelt	MOFE as an Executing Entity	Semi-annual through PSC meeting and quarterly through training
14	Department of Livestock Development (DoLD)	Integrating program with watershed management concept	MOFE as an Executing Entity	Semi-annual through PSC meeting and quarterly through training
15	Department of Agriculture (DOA)	Providing information on farming system and climate change adaptation in agriculture	MOFE as an Executing Entity	Semi-annual through PSC meeting and quarterly through training
16	National Planning Commission (NPC)	Program and budgeting based on the periodic plan Legitimize the working policy into practice such as Basin Level planning	MOFE as an Executing Entity	Semi-annual through PSC meeting
17	Ministry of Land Reform and Management (MoLRM)	One door system to provide legal document of Protected Area and Forest area to DNPWC and DoF, respectively.	MOFE as an Executing Entity	Semi-annual through PSC meeting
18	Ministry of Home Affairs (MoHA)	Cause of Disaster and IWMP of Basin	MOFE as an Executing Entity	Semi-annual through PSC meeting
19	Water and Energy, Water Resources and Irrigation (MEWI)	Water resources policy and watershed management policy should be integrated in Nepal's case. Mainstreaming the program with watershed management and PES	MOFE as an Executing Entity	Semi-annual through PSC meeting
20	Department of Hydrology and Metrology (DHM)	Mainstreaming climate information, early warning of floods into watershed management planning.	MOFE as an Executing Entity	Semi-annual through PSC meeting
21	Department of Water Supply and Sewerage	Linking water source protection and PES	MOFE as an Executing Entity	Semi-annual through PSC meeting
22	Department of Cottage and Small Industries (Micro Enterprise Development for Poverty Alleviation) (MEDPA)	Linking micro, small and medium entrepreneurs with the market and business development service providers	MOFE as an Executing Entity	Semi-annual through PSC meeting and quarterly through training
23	National Trust for Nature Conservation (NTNC)	Collaborating with the local governments on the execution of field activities	IUCN Nepal and NTNC	Regularly through project activity execution on the ground
B	Civil Society Organizations			

1	Community Forest User Groups (CFUGs)	Soil conservation on farmland, landslides treatment, water source protection, river training and working in watershed concept Local resource person training	DOFSC as a Chair of PMU	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
2	Collaborative Forest User groups (CoFMGs)	River bank protection, Catchment pond, Conservation pond River system based management Agro-forestry based Public land management	DOFSC as a Chair of PMU	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
3	Leasehold Forest User Group (LFGs)	Integrating Sub watershed based planning and monitoring cycle	DOFSC as a Chair of PMU	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
4	Buffer Zone management committee	Link up-stream down-stream planning process, Water harvesting and River bank protection Nature-based tourism promotion and benefit distribution	DOFSC as a Chair of PMU	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
5	Conservation Area Management Committee (CAMC)	Innovative business plan for land rehabilitation through cooperative Linking upstream down stream in management planning and monitoring	DOFSC as a Chair of PMU	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
6	Federation of Community Forestry Users Nepal (FECOFUN)	Basin approach and organization restructuring PES establishment for sustainable financing	DOFSC as a Chair of PMU	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
7	Association of Collaborative Forest Users Nepal (ACOFUN)	Linking protection, management and market of high value forest products Revolving fund mobilization for mitigation and adaptation	DOFSC as a Chair of PMU	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
8	Nepal National Forest User Group (NEFUG)	Linking watershed management in the advocacy	DOFSC as a Chair of PMU	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
9	Community Forestry Supporter Networker (COFSUN)	River Basin approach PES	DOFSC as a Chair of PMU	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
10	Nepal Foresters Association (NFA)	Basin approach and legal arrangement PES	DOFSC as a Chair of PMU	Mainly through capacity development trainings, technology transfers and

				participation in field execution of project activities
11	Nepal Forest Technicians Association (NEFTA)	Basin approach and legal arrangement PES	DOFSC as a Chair of PMU	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
12	Nepal Agroforestry Foundation (NAF)	Integrating quality service in the government program	DOFSC as a Chair of PMU	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
13	Nepal Federation of Indigenous Nationalities (NEFIN)	Focus watershed management planning and monitoring PES establishment for sustainable financing for mitigation and adaptation	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
14	National Indigenous Women Federation (NIWF)	Focus on involvement of indigenous women and enhancement of their livelihoods resulting into their enhanced climate resilience.	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
15	NGO-Federation of Nepalese Indigenous Nationalities (NGO-FoNIN)	Focus on providing information on mainstreaming indigenous peoples in climate resilient development.	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
16	Nepal Chepang Association (NCA)	Importance of Watershed management plan Networking with related CBOs	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
17	Dalit NGO Federation (DNF)	Business plan Advocacy on River Basin Approach	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
18	Nepal National Dalit Social Welfare Organization (NNDSWO)	Business plan Advocacy on River Basin Approach	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
19	Dalit Alliance for Natural Resources (DANAR)	Business plan Advocacy on River Basin Approach	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities

20	Himalayan Grassroots Women's Natural Resources Management Association (HIMAWAN)	Basin and watershed level organization Farmland improvement and water conservation	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
21	Municipal Association of Nepal (MuAN)	Integrated Conservation and development plan based on land capability, Sub watershed plan based ICDP Disaster Risk Reduction program	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
22	Local Initiatives for Biodiversity, Research and Development (LIBIRD)	Integrating research out put into policy formulation	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
23	Climate Change Network Nepal (CCNN)	Integration of learning into national sectoral plan and coordination mechanism	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
24	Soil and Water Conservation Society (SOWCOS)	Need more active role in policy level	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
25	Green Foundation Nepal (GFN)	Systematic and sequential program	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
26	Nepal Forum of Environmental Journalists (NEFEJ)	Involving in information on climate change adaptation and capacity building on climate change awareness raising	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
27	Community based tourism management committees	Information on eco-tourism in the GRB	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
28	Community Based Anti-Poaching Units (CBAPUs)	Capacity building through workshops, trainings and interactions	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
29	Saving and credit group	Capacity building in improved governance and mobilisation of savings and credits products.	IUCN Nepal	Mainly through capacity development trainings, technology transfers and

				participation in field execution of project activities
C	Local communities			
1	Agriculture producers' group	Field implementers of climate resilient value chain development, adoption of flood tolerant paddy varieties and drought tolerant wheat varieties.	NTNC Nepal	Regularly through execution of field activities on the ground
2	Livestock husbandry group	Actors in integrating Livestock Development plan into IWMP; and improved water availability through construction and maintenance of water holes in community grasslands	NTNC Nepal	Regularly through execution of field activities on the ground
3	Micro-entrepreneur group	Value chain on the selected agroforestry option and support to establish appropriate agroforestry enterprise	NTNC Nepal	Regularly through execution of field activities on the ground
4	Water User Association (WUA)	Increased water supply through the enhanced ecosystem services	NTNC Nepal	Regularly through execution of field activities on the ground
5	Water User Association	Capacity building on enhancing water use efficiency	NTNC Nepal	Regularly through execution of field activities on the ground
6	Community Development Groups (CDGs)	Sustainability of group; linking overall watershed planning and involvement in up-stream and down-stream linkages and application of PES	NTNC Nepal	Regularly through execution of field activities on the ground
7	Youth groups	Involvement and capacity development in enterprise development	NTNC Nepal	Regularly through execution of field activities on the ground
8	Mothers' group	Involvement and capacity development in natural resource management	NTNC Nepal	Regularly through execution of field activities on the ground
9	Eco-clubs	Involvement and capacity development in improving school environment	NTNC Nepal	Regularly through execution of field activities on the ground
D	Private sector			

1	Local saving and credit groups	Improving governance and mobilisation of savings and credits products.	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
2	National Micro Entrepreneurs' Federation Nepal (NMEFEN)	Capacity building of microentrepreneurs and policy advocacy	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
3	Federation of Nepalese Chamber of Commerce and Industry (FNCCI)	Enabling environment for investment in sustainable forest watershed management; and value chain development	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
4	Federation of Small and Medium Enterprises Nepal	Value chain development and capacity building of small and medium entrepreneurs	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
5	Federation of Nepal Cottage and Small Industries (FNCSI)	Value chain development and capacity building of cottage and micro entrepreneurs	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
6	Eco-tourism-Hotel owners	Capacity development in eco-tourism hotel enterprises	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
7	Hotel Association Nepal (HAN)	Capacity development in hotel enterprise policy advocacy	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
8	Tourism Association of Nepal (TAN)	Capacity development in tourism policy advocacy	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
9	Nepal herbs and herbal products Associations (NEHHPA)	Business plan, Public private partnership model	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities

10	Federation of Nepalese Forest based Industry and Trade (FeNFIT)	Capacity development in forest based industry and trade policy advocacy	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
11	Independent Power Producers' Association (IPPAN)	PES and Watershed area conservation	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
12	Jadibuti Association of Nepal (JABAN)	Business plan; and capacity development in natural resource based enterprise development and marketing	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
E	Research institutions & universities			
1	Nepal Agriculture Research Council (NARC)	Selection of climate tolerant crop varieties and development of organic production practices	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
2	Agriculture and Forestry University (AFU)	Selection of climate tolerant crop and varieties and NTFP species and development of organic production practices	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
3	TU- Institute of Forestry	Selection of climate responsive production practices of NTFPs, MAPS and other forest products	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
4	Kathmandu Forestry College (KAFCOL)	Selection of climate responsive production practices of NTFPs, MAPS and other forest products	NTNC Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
5	South Asia Institute of Advanced Studies (SIAS)	Capacity development in local level climate change adaptation strategy development	IUCN Nepal	Mainly through capacity development trainings, technology transfers and participation in field execution of project activities
F	International organization and donors			
1	International Centre for Integrated Mountain Development (ICIMOD)	Involvement in climate data analysis and modelling. Information sharing through workshops, seminars, conferences and publications.	IUCN Nepal	Regular exchanges in order to coordinate with other projects and activities implemented by ICIMOD

2	International Water Management Institution (IWMI)	Involvement in climate data analysis and modelling. Information sharing through workshops, seminars, conferences and publications.	IUCN Nepal	Regular exchanges in order to coordinate with projects and activities implemented by IWMI
3	The Mountain Institute (TMI)	Involvement in climate data analysis and modelling. Information sharing through workshops, seminars, conferences and publications.	IUCN Nepal	Regular exchanges in order to coordinate with projects and activities implemented by TMI
4	WWF Nepal/ Hariyo Ban Program	Long term plan for the piloting area and PES establishment.	NTNC Nepal	Regular exchanges in order to coordinate with projects and activities implemented by WWF
5	Women Organising for Change in Agriculture and Natural Resources Management (WOCAN)	Integrating success cases into integrated watershed management ; and capacity building of women for policy advocacy on climate change	NTNC Nepal	Regular exchanges in order to coordinate with capacity building projects and activities implemented by WOCAN

5. Sector-wise Potential Collaborators

In addition to the engagement strategy presented in the stakeholder engagement plan in table 8 the project will potentially also collaborate and coordinate with other GCF readiness supported institutions, accredited entities and institutions under accreditation process as well as various organisations working in different sectors. Table 9 lists institutions that have been targeted as potential collaborators by sector.

Table 9: Stakeholders targeted to be involved in project interventions

Support Areas	Stakeholder
Agriculture	<ul style="list-style-type: none"> • Municipality and Rural Municipality –Agriculture Technician • District level GON offices (forests, agriculture, livestock, etc) • Farmers groups and cooperatives • National Agriculture Research and Development Fund (<i>Nepal</i>) • Kisan ko lagi Unnat biu-bijan Karyakaram (<i>KUBK</i>) • Prime Minister Agricultural Modernisation Project <i>Nepal</i> • Prime Minister Employment Programme • <i>HIMALI Project</i> • Kisan Project (CEAPRED) • Micro-Finance Program • WWF/Hariyo Ban Program • Care Nepal • Water, Sanitation and Hygiene (<i>WASH</i>) projects • Community Service Centre • Women Empowerment Centre • Nepal Agroforestry Foundation • Community Service Centre • Women Empowerment Centre
Livestock	<ul style="list-style-type: none"> • Municipality and Rural Municipality –Livestock Technician • District level GON offices (DLSO) • Farmers groups and cooperatives • National Agriculture Research and Development Fund (<i>Nepal</i>) • Kisan ka lagi Unnat biu-bijan Karyakaram (<i>KUBK</i>) • Agricultural Commercialization and Trade Project (PACT) for <i>Nepal</i> • <i>HIMALI Project</i> • Kisan Project (CEAPRED) • Micro-Finance Program • Care Nepal
Forestry	<ul style="list-style-type: none"> • Municipality and Rural Municipality • District level GON offices (DFO, DSCO, ACAP) • Community Forest User Groups • Federation of Community Forest Users Nepal's district chapter • Farmers groups and cooperatives • National Agriculture Research and Development Fund (<i>Nepal</i>)

	<ul style="list-style-type: none"> • <i>HIMALI Project</i> • WWF/Hariyo Ban Program • Care Nepal • FINIDA project • Nepal Agroforestry Foundation • The Himalayan Grassroots Women's Natural Resource Management Association (<i>HIMAWANTI</i>) • FAO
Watershed, water, and off-farm	<ul style="list-style-type: none"> • Municipality and Rural Municipality and District Level Coordination Committee. • District level GON offices (DSCO, DWEDO, DIO) • Community Forest User Groups • Federation of Community Forest Users Nepal's district chapter • <i>HIMALI Project</i> • British Gorkha Welfare • Indian Embassy • WWF/Hariyo Ban Program • Care Nepal • FINIDA project • Water, Sanitation and Hygiene (<i>WASH</i>) projects • Western Regional Drinking Water and Sanitation (<i>NEWA</i>). • ICIMOD

Appendix 6

Environmental and Social Impact Assessment (ESIA) – Guidance Note

1. Context

This document provides guidance for conducting an Environmental and Social Impact Assessment (ESIA) and for preparing an ESIA report. It also serves as guidance for drafting the Terms of Reference for an ESIA. An ESIA is applicable for projects that have been identified by the Environmental and Social Management System (ESMS) screening as high or moderate risk projects, requiring full or a partial ESIA respectively³⁶. The purpose of the ESIA is to assess and predict potential adverse social and environmental impacts and to develop suitable mitigation measures, which are documented in an Environmental and Social Management Plan (ESMP).

The scope and depth of the ESIA depends on the nature, complexity and significance of the identified issues, as established by the ESMS screening. For a full ESIA the scope is defined by a scoping study which involves relevant stakeholders to confirm the risks identified by the ESMS screening, to set priorities for the ESIA and to determine the types of assessments required for the ESIA. The key elements, methodology and outputs of a scoping study are described in the ESMS Guidance Note on Scoping.³⁷

1. Key elements of an ESIA and an ESIA report

The key elements of an ESIA and its report are described in this section. These elements must be thoroughly covered by a full ESIA for a high-risk project. A partial ESIA does not require as much background and baseline data as a full ESIA; the elements usually not covered in a partial ESIA are marked with an asterisk. The order and manner in which the information is presented in an ESIA report should be based on this outline.

Non-technical summary

Summarise significant impacts in a way that can be easily understood by a non-technical audience, in particular local stakeholders. The summary includes how the identified impacts should be managed and points out any outstanding issues that require further action.

Project description

Concisely describe the main parameters of the proposed project, including:

- The project proponent and other project partners and their respective roles in the project
- The project's geographic location, preferably illustrated with appropriate maps³⁸
- Summary of the project (project objective(s), expected results/outcomes, outputs and main activities)
- Implementation arrangements.

Analysis of policy, legal and administrative framework*

Describe the policy, legal and administrative framework within which the project takes place and identify any laws and regulations that pertain to environmental and social matters relevant to the

³⁶ A partial ESIA typically focusses on the few delineated environmental or social impacts issues identified by the ESMS screening.

³⁷ Available at www.iucn.org/esms.

³⁸ When including maps in the ESIA report, make sure that the sites mentioned in the report are clearly identified on the maps.

project. This includes regulations about environmental and/or social impact assessments to which the project must adhere as well as laws implementing host country obligations under international law. Explain the requirements of any co-financing partners, if applicable. Where pertinent, take into account legal frameworks for promoting gender equality. Flag any areas where the project might fall short on compliance.

Stakeholder identification and analysis

The purpose of the stakeholder identification and analysis is to understand potential impacts on stakeholders and to clarify who should be involved in the ESIA process and how. This is done by listing all relevant stakeholders – based on any existing stakeholder analysis developed during the project design process and on general knowledge about the project context and its main stakeholders – and elaborating the following:

- stakeholders' interests in and expectations from the project;
- how they might influence the project (positively or negatively);
- a first appraisal or estimation of how their livelihoods could be impacted by the project (positively or negatively); and
- how they should be involved in the ESIA based on the information in the three items above.

Stakeholders should be disaggregated between men and women where relevant and feasible. It is useful to present the key findings of the stakeholder analysis in a matrix. The stakeholder analysis is considered a work in progress that should be adjusted as more information becomes available during the ESIA process and beyond.

Environmental and social baseline*

Describe and analyse the environmental and social context in which the project operates. While some broad contextual information is necessary, the analysis should focus on the immediate context of the project site and aspects that relate to the identified impacts in order to be relevant to decisions about project design, operation, or mitigation measures. For general context data, consult – to the extent possible – secondary data and existing analyses, including the situation analysis carried out as a previous project design step. To understand the context at the project site, it is usually necessary to collect primary data at the site.

The main purpose of this section of the ESIA report is to provide an understanding of current environmental and social conditions that form the baseline against which project impacts can be predicted and measured during project implementation. For moderate-risk projects that require only a partial ESIA and no scoping study, this section also provides an opportunity to substantiate the results of the ESMS screening by confirming potential impacts and/or identifying other potential impacts.

The scope of the baseline analysis depends on the nature of the project and the issues identified by the screening. The analysis might cover a range of physical, biological, socio-economic and cultural features potentially affected by the project. The ESMS Guidance Note on Social Impact Assessment (SIA)³⁹ provides complimentary guidance including a non-exhaustive list of topics relevant for understanding social impacts.

Assessment of environmental and social impacts

This step is the heart of the ESIA; it itemizes and describes the identified impacts, makes predictions in terms of their probability and assesses their significance. In accordance with the ESMS Policy Framework, the assessment should give particular attention to impacts related to the ESMS standards

³⁹ See ESMS Guidance Note on Social Impact Assessment, available at www.iucn.org/esms.

such as adverse impacts on people's livelihood through access restrictions or resettlement, on indigenous peoples, on cultural heritage or on biodiversity. However, thematic coverage of the ESMS also involves other potential social impacts including impacts on women or vulnerable groups or risks triggered by the project failing to take climate change effects into consideration. While the ESIA's terms of reference already establishes the main impacts to be covered by the assessment – based on the screening (or scoping for high-risk projects) – it is important to understand that an ESIA is an iterative process during which new and more detailed information may be obtained and additional significant issues might come up (e.g., as part of the baseline analysis).

When analysing the risks not only direct impacts should be taken into consideration but also indirect impacts such as inadvertent knock-on effects or cumulative effects that materialise through interaction with other developments, impacts occurring at the project site or within the project's wider area of influence⁴⁰ and impacts triggered over time⁴¹.

Project impacts can be analysed using a range of methods from simple qualitative analysis to detailed quantitative surveys or modelling. The data collection methods and analytical tools used and the depth of analysis should be commensurate with the type and significance of the impacts, it should allow rigorous assessment of the significant impacts using qualitative and to the extent possible also quantitative methods. The report should describe the methods chosen for data collection and analysis and the rationale for the choice of method; it should further describe the quality of available data and, where applicable, explain key data gaps and uncertainties associated with predictions.

Participatory research and assessment tools should be employed wherever sensible to increase stakeholder's understanding of the project, provide opportunity for raising issues and enable participation of affected groups in the identification of mitigation measures, as discussed in section 9.

Understanding the significance of risks is important for prioritising the need for mitigation measures. For evaluating significance it is important to consider the likelihood that a given risk event is expected to occur and the magnitude of the expected impacts (consequence). The latter refers to the extent to which a risk event might negatively affect environmental or social receptors. This includes considerations of the following criteria: sensitivity of the receptor, severity of impacts, expected duration and scale and whether or not the impact is reversible. Annex A describes the methodology that IUCN uses for assessing the significance of environmental and social impacts/risks.

Analysis of alternatives*

The purpose of the analysis of alternatives is to identify other options, including not implementing the project, to achieve the project objectives and compare their impacts with the original proposal. This step is required only for high-risk projects where the identified impacts are very significant.

The analysis systematically compares feasible, less adverse, alternative technologies, designs, operations and sites – including the "no project" option – to the proposed project in terms of:

- their effectiveness of achieving the project objectives as well as potential trade-offs;
- their potential environmental and social impacts;
- the feasibility of mitigating these impacts;
- operational requirements and their suitability under local conditions;
- their institutional, training, and monitoring requirements;
- their estimated cost-effectiveness; and
- their conformity to existing policies, plans, laws and regulations.

⁴⁰ For a definition of the project's wider area of influence, see the glossary in the *ESMS Manual* at www.iucn.org/esms.

⁴¹ Although the future cannot be foreseen, the assessment should consider scenarios that are technically or scientifically robust enough to make predictions.

The analysis should recommend the preferred alternative and state why it was chosen.

Environmental and social management plan (ESMP)

A main output of the ESIA process is a strategy for managing risks and mitigating impacts. The identification of mitigation measures is done in consultation with affected groups and is guided by the mitigation hierarchy. The mitigation hierarchy implies that all reasonable attempts must first be made to avoid negative social or environmental impacts. If avoidance is not possible without challenging the conservation objective of the project, measures should be taken to minimise the impacts to acceptable levels and address remaining residual impacts with adequate and fair compensation measures.

The risk management strategy is documented in an Environmental and Social Management Plan (ESMP) that describes: the mitigation measures developed during the ESIA, an implementation schedule and required resources and responsibilities. The technical and operational feasibility, cultural adequacy and sustainability of proposed measures must be demonstrated as well as requirements for capacity building and institutional strengthening, where relevant. The ESMP should also indicate how the measures designed to avoid impacts will be monitored for effectiveness. The guidance note for developing the ESMP provides further instructions and includes templates for the ESMP and for monitoring the plan.⁴²

Results of stakeholder consultations

Stakeholder engagement is a key principle of the ESMS and an important procedural tool for a successful ESIA. It improves understanding of local conditions and stakeholders' concerns and is essential for identifying effective strategies for mitigating negative impacts. Involving affected groups in decision making gives them more confidence and security, improves the legitimacy of the project and helps build constructive relationships among stakeholders.

The ESMS Manual defines requirements for stakeholder engagement by establishing minimum provisions for disclosure and consultation during the steps of the project cycle.⁴³ These provisions are particularly relevant for the ESIA process; the provisions for consultation and disclosure are more stringent for high-risk projects (full ESIA) than for moderate-risk projects (partial ESIA). Tables 5 and 6 in the ESMS Manual synthesise these requirements.⁴⁴

During the ESIA, consultations should concentrate on potentially affected groups, indigenous peoples and civil society organizations; the stakeholder analysis supports the decision of whom to consult. The consultation process must be culturally appropriate, non-discriminatory and gender sensitive. It should assure that all people whose lives might be affected by the project are properly consulted to verify and assess the significance of impacts and that all affected groups are provided the opportunity to participate in the development of mitigation measures.

The intensity or depth of stakeholder engagement should be appropriate to the complexity of the project and the significance of the identified risks and tailored to individual groups. The general logic of stakeholder engagement that should be followed is described in Figure 3 in the ESMS Manual. It is important to be mindful of the resources and time required of stakeholders. The consultation process is best scheduled in iterative steps, first seeking initial inputs, then feed-back on first assessment results and suggestions for mitigation actions, and concluding with a final stakeholder meeting to gather feed-back on the draft of the ESIA report, the ESMP and other action plans, as relevant.

⁴² See ESMS Guidance Note on Developing and Monitoring an ESMP, available at www.iucn.org/esms.

⁴³ See sections 4.2.7 and 4.6 of the ESMS Manual, available at www.iucn.org/esms.

⁴⁴ See ESMS Manual, section 4.6, available at www.iucn.org/esms.

If the Standard on Involuntary Resettlement and Access Restrictions or the Standard on Indigenous Peoples are triggered, consultations should fully adhere to the Free, Prior and Informed Consent Principle. Guidance is provided in the ESMS Manual and in a separate guidance note.⁴⁵

The final ESIA report should document the results of the consultations carried out with stakeholders and project-affected groups and provide a summary of the concerns raised and an explanation of how these results have been addressed in the ESIA and the ESMP. The description should specify how women were included in the consultation, taking into consideration their gender-specific knowledge, roles, responsibilities and potential impacts.

2. Other items to be specified in the terms of reference for an ESIA

The actual terms of reference for an ESIA must be tailored to each project as the scope and depth of the assessment depend on the nature, complexity and importance of the issues emerging from the ESMS screening. For high-risk projects, the scope of the ESIA will be determined in detail by the scoping study preceding the ESIA.

The terms of reference for an ESIA usually include the items listed below. The terms of reference for moderate-risk projects are less comprehensive than those for high-risk projects; hence elements marked with an asterisk are usually not required for a partial ESIA.

- A summary of the main project features
- A list of applicable national and local ESIA requirements, where available and relevant*
- A list of the key issues that emerged from the ESMS screening and scoping to be analysed in the ESIA
- A description of the required elements of the ESIA (see section II, 3-9) and specification of the content of any additional specialist studies (if applicable) to be undertaken as part of the ESIA
- Provision of methodological guidance (if applicable) for the overall ESIA and specialist studies (e.g., gender responsive analysis)
- Specification of the type of environmental and social expertise required by the ESIA expert/team
- A preliminary list of feasible project alternatives including a “no project” option and requirements for their assessment*
- Specification of types of required consultations with affected people, communities and other parties including final stakeholder meeting(s) for gathering views on the draft ESIA and ESMP
- The requirement for preparing an ESIA report and other documents or action plans (as needed) and for rigorously indicating accuracy, reliability and sources of the data used
- A budget and schedule for the ESIA providing sufficient time and funds for effective stakeholder consultation.

Carrying out an ESIA requires a technical team with appropriate qualifications and experience in qualitative and quantitative research techniques and familiarity with the thematic and regional or local context; the team should have experience with participatory design and assessment methodologies, with gender analysis and gender-responsive project design and, where relevant, with indigenous peoples' issues.

⁴⁵ ESMS Guidance on Free, Prior and Informed Consent will be available at www.iucn.org/esms.

Annex A: Guidance for rating environmental and social risks

The rating of risks is based on the assumptions that the management measures and plans specified in the respective column are implemented and effective in mitigating the risk. It is good practice that the plans are available before ESMS Clearance. Risk rating is based on the two elements: likelihood and the expected impacts (consequence).

Likelihood represents the possibility that a given risk event is expected to occur. The likelihood should be established using the following five ratings: *Very unlikely to occur (1)*, *Not expected to occur (2)*, *Likely – could occur (3)*, *Known to occur - almost certain (4)* and *Common occurrence (5)*

Impact (or consequence) refers to the extent to which a risk event might negatively affect environmental or social receptors – see criteria distinguishing five levels of impacts in table 1:

Table 1: Rating impact of a risk event

Severe (5)	Adverse impacts on people and/or environment of very high magnitude , including very large scale and/or spatial extent (large geographic area, large number of people, transboundary impacts), cumulative, long-term (permanent and irreversible) ; receptors are considered highly sensitive ; examples are severe adverse impacts on areas with high biodiversity value ⁴⁶ ; severe adverse impacts to lands, resources and territories of indigenous peoples; significant levels of displacement or resettlement with long-term consequences on peoples' livelihood; impacts give rise to severe and cumulative social conflicts with long-term consequences.
Major (4)	Adverse impacts on people and/or environment of high magnitude , including large scale and/or spatial extent (large geographic area, large number of people, transboundary impacts), of certain duration but still reversible if sufficient effort is provided for mitigation; receptors are considered sensitive; examples are adverse impacts on areas with high biodiversity value; adverse impacts to lands, resources and territories of indigenous peoples; significant levels of displacement or resettlement with temporary consequences on peoples' livelihood; impacts give rise to social conflicts which are expected to be of limited duration.
Medium (3)	Adverse impacts of medium magnitude, limited in scale (small area and low number of people affected), limited in duration (temporary), impacts are relatively predictable and can be avoided, managed and/or mitigated with known solutions and straight forward measures.
Minor (2)	Adverse impacts of minor magnitude, very small scale (e.g. very small affected area, very low number of people affected) and only short duration, may be easily avoided, managed, mitigated.
Negligible (1)	Negligible or no adverse impacts on communities, individuals, and/or on the environment.

Significance of risks is established by combining likelihood and expected impact (consequence) of a risk event as demonstrated in table 2. The significance rating signals how much attention the risk event will require during project development and implementation and the extent of control actions to be put in place. See the Guidance Note on Assessment and Management of Environmental and Social Risks for further details on the rating (including factors influencing the likelihood and impact).

Table 2: Rating significance of a risk event

		Likelihood of occurrence				
		<i>Very unlikely to occur (1)</i>	<i>Not expected to occur (2)</i>	<i>Likely – could occur (3)</i>	<i>Known to occur - almost certain (4)</i>	<i>Common occurrence (5)</i>
Impact	Severe (5)	Moderate	Substantial	High	High	High
	Major (4)	Low	Moderate	Substantial	Substantial	High
	Medium (3)	Low	Moderate	Moderate	Moderate	Substantial
	Minor (2)	Low	Low	Moderate	Moderate	Moderate
	Negligible (1)	Low	Low	Low	Low	Low

⁴⁶ For the definition see IUCN ESMS Standard on Biodiversity Conservation and Sustainable Use of Natural Resources.

Appendix 7

Social Impact Assessment (SIA) – Guidance Note

1. Context

This document provides general guidance for conducting a Social Impact Assessment (SIA) and for preparing a SIA report. It is applicable for projects where the Environmental and Social Management System (ESMS) screening has identified a need to assess social risk and impact issues. The purpose of the SIA is to identify and analyse potential adverse impacts and to ensure that the needs and conditions of people affected by a proposed project are fully taken into account in project design and that suitable mitigation measures are identified as needed. It should also contribute to enhancing opportunities for developmental benefits for affected groups.

2. Key elements of an SIA

The key elements of a SIA report are described and illustrated below. The order and manner in which the information is presented should be based on this outline.

Non-technical summary

Summarise significant issues in a way that can be easily understood by a non-technical audience, in particular local stakeholders. The summary includes how the issues identified should be managed and any outstanding issues that require further action.

Project description (up to 2 pages)

Concisely describe the main parameters of the proposed project, including:

- The project proponent and other project participants and their respective roles in the project
- Project's geographic location, preferably illustrated with appropriate maps⁴⁷
- Summary of project intervention (project objective(s), expected results/outcomes, outputs and main activities)
- Implementation arrangements.

Analysis of policy, legal, and administrative framework

Describe the legal and regulatory framework within which the project takes place and identify any laws and regulations that pertain to social matters relevant to the project. This includes regulations about environmental and/or social impact assessments to which the project must adhere as well as laws implementing host country obligations under international law. Explain the requirements of any co-financing partners, if applicable. Where pertinent, national and international legal frameworks on gender should be taken into account. Flag any areas where the project might fall short on compliance.

⁴⁷ When presenting maps, clearly mark the sites on the map that are referenced in the report.

Stakeholder identification and analysis

The purpose of the stakeholder identification and analysis is to clarify who should be involved in the SIA process and how. List all relevant stakeholders who have an interest in or might influence the project, disaggregated between men and women where relevant and feasible. The SIA should make use of any stakeholder analysis done during the project design process. The SIA provides an additional layer to this analysis by elaborating on potential project impacts on the identified stakeholders. This process might include identifying new stakeholders.

Stakeholders should be described and analysed regarding:

- their interests in and expectations from the project;
- how they might influence the project (positively or negatively);
- how their livelihoods could be impacted by the project (positively or negatively); and
- how they should be involved in the SIA.

It is useful to present the key findings of the stakeholder analysis in a matrix.

Socio-cultural, economic, historical, institutional and political context

Describe and analyse the socio-cultural, economic, historical, institutional and political context in which the project operates. While some broader contextual information is necessary, the main analysis should focus on the immediate context of the project and the project location in order to be relevant to decisions about project design, operation, or mitigation measures. For gathering general context data consult – to the extent possible – secondary data and existing analyses, including the situation analysis carried out as a project design step. Accuracy, reliability, and sources of the data need to be specified.

This section serves two purposes. First, it provides baseline data regarding the socio-economic situation before the project commences as well as relevant anticipated developments within the project area. Second, it provides an opportunity to substantiate the results of the ESMS screening by confirming potential impacts and/or identifying other potential issues. As such it serves as a preparation for the in-depth impact analysis (see section 6).

The two lists below describe the generic topics to be covered in this section of the SIA. Other topics may be added to reflect the findings of the ESMS screening. It is critical to focus the data collection and analyses on issues relevant to the project, to relevant social groups and to areas where adverse social impacts might occur.

Socio-cultural, historic and economic context:

- Main social groups and their socio-cultural characteristics disaggregated between men and women; emphasis on indigenous peoples and vulnerable groups such as landless persons, the elderly, persons with disabilities, children, ethnic minorities or displaced persons;
- Historical events relevant to the project and potential impacts;
- Economic trends and prospects (relevant for social groups at or near the project);
- Main economic activities and livelihood patterns: formal and informal, subsistence and commercial, including dependence on natural resources or on illegal activities such as poaching or illegal trade;

- Social issues and risks faced by social groups, including issues related to access to resources and to social services as well as to their capabilities and development opportunities;
- Interests and developmental aspirations of social groups and their attitudes toward sustainable natural resource management;
- Existing or potential emerging conflicts between or among social groups that are relevant to the project.

Political, institutional and legal context:

- Institutional environment: local and central government, private sector and civil society institutions relevant to the activities proposed by the project;
- Policy and decision-making processes, stability of political systems, leadership and rule of law;
- Policies and regulations on property rights/tenure regimes, natural resource management and conservation and current practice of enforcement (in general and locally, especially at the project site);
- Capacities and capacity issues of institutions relevant to the project and to impacts;
- Issues and constraints within existing institutions and in their relationships with each other that might present barriers for the project and opportunities for overcoming these constraints.

Assessment of social impacts

Methodology of data collection and impact analysis⁴⁸

Describe the data collection and impact analysis methodology used in the SIA, including

- the data collection methods and analytical tools used (e.g., qualitative versus quantitative data, mix of data from different units of analysis for triangulation of results);
- the units of analysis used for the social assessment (e.g., household level, community level or other relevant social aggregations);
- if sampling was used, rationale and criteria for sampling sites and respondents; please note that representative sampling (rather than subjective sampling) should be employed wherever possible.

When designing the research methodology, it is important to be mindful about how much time and resources the research process will require from the communities.

Identification, prediction and assessment of impacts

The SIA identifies, predicts and assesses the significance of project impacts related to the ESMS Standards as well as to other potential critical social issues identified during ESMS screening. The following impacts should be taken into consideration:

- Direct or indirect impacts occurring at the project site or within the project's wider area of influence. Indirect impacts include inadvertent knock-on effects or side-effects of the project given the complexity of social processes and the human-environment interface;
- Impacts within the project's wider area of influence including transboundary impacts, where relevant;
- Negative impacts triggered immediately as well as longer term impacts;⁴⁹
- Cumulative effects that materialize through interaction with other developments at the project site as well as in the wider area of influence.

⁴⁸ More detailed methodological guidance on conducting a SIA can be found in Vanclay et al, 2015, *Social Impact Assessment: Guidance for assessing and managing the social impacts of projects*, available at http://www.iaia.org/uploads/pdf/SIA_Guidance_Document_IAIA.pdf.

⁴⁹ Although the future cannot be foreseen, the assessment should consider scenarios that are technically or scientifically robust enough to make certain predictions.

Examples of potential impacts related to the ESMS standards and other social risks are illustrated in Table 1.

Table 1: Typical Risks Organized by ESMS Standard and Other Social Impacts

Standard on Involuntary Resettlement and Access Restrictions⁵⁰	<ul style="list-style-type: none"> – Economic/livelihood losses through material impacts caused by restricting access to and use of natural resources (e.g. fodder, medicinal plants, fuel wood). – Livelihood losses through non-material impacts related to social, recreational, spiritual, cultural, knowledge and educational values of the land/resource to be restricted. – Impacts related to reduced access to social services such as education or health services by prohibiting or limiting physical access to places where those services are delivered.
Standard on Indigenous Peoples	<ul style="list-style-type: none"> – Disturbances of social, spiritual and cultural identity. – Potential for ethnic conflicts stimulated by project activities – for instance in a situation with conflicting resource use or conflicting cultural practices. – Inequitable or culturally inappropriate benefits provided by the project with the risk of leading to alienation or inter- or intra-community conflicts.
Standard on Cultural Heritage	<ul style="list-style-type: none"> – Damages to physical cultural resources. – Non-material impacts due to restrictions of access to cultural resource (including natural features or resource with cultural, religious or spiritual significance). – Negative impacts from the promotion or use of cultural resources.
Other social impacts	<ul style="list-style-type: none"> – Increased marginalization of groups due to project activities. – Elite capture of projects benefits or natural resources that aggravate internal differentiation. – Disturbances to patterns of social relations and community cohesion. – Perpetuation or aggravation of unequal power relations or inequalities between men and women. – Impacts on human health and safety including injuries or death through human-wildlife conflicts. – Economic losses (e.g., crops, livestock, infrastructure) through damages from wildlife.
Climate Change	<ul style="list-style-type: none"> – Increased vulnerability of local communities due to project activities failing to take climate change impacts into account.

When assessing impacts, consider social and cultural aspects that differentiate social groups such as:

- How the risk of being impacted by project activities differs by social characteristics including:
 - gender, gender roles, and gender-specific constraints;
 - ethnicity, race and class;
 - culture and language;
 - age.
- Social risks, vulnerability and security/safety issues affecting specific social groups.
- Influence of power relations of social groups on the project design and how implementing the project may affect power relations.

⁵⁰ The standard covers risks of access restrictions and involuntary resettlement, but resettlement is not specifically addressed in this Guidance Note. It is dealt with in a separate Guidance Note (under development).

Wherever differences between social groups are relevant, the analysis should be broken down accordingly. Impacts should be predicted in qualitative and, to the extent possible, in quantitative terms and assessed on their significance. Rather than describing environmental and social variables in isolation, demonstrate their interactions. This is important not only to better understand the full risks but also to compare potential trade-offs between conservation and social benefits. The extent and quality of available data, key data gaps, and uncertainties associated with predictions need to be identified.

Analysis of alternatives

Identify other options that could achieve the project objectives and compare their impacts. This step is generally required only if the identified impacts are very significant. The analysis systematically compares feasible, less adverse alternatives – including the "no project" option – to the proposed project site, technology, design, and operation in terms of:

- their effectiveness in achieving the project objectives as well as potential trade-offs,
- their potential environmental and social impacts,
- the feasibility of mitigating these impacts,
- operational requirements and their suitability under local conditions,
- their institutional, training, and monitoring requirements,
- their estimated cost-effectiveness, and
- their conformity to existing policies, plans, laws, regulations.

The analysis should conclude with a recommendation and indication of the preferred alternative and an explanation why it was chosen.

Environmental and Social Management Plan (ESMP)

For each significant social impact an appropriate mitigation strategy must be developed. First, all available options should be sought to avoid impacts (e.g., through adjustment of project design, modification of protected area boundaries). If avoidance is not possible, appropriate measures to minimise the impact should be identified. Where avoidance is not possible or negative residual impacts remain after minimising, the SIA should propose methods of adequately compensating affected groups for their losses.

Compensation mechanisms must be developed in consultation with legitimate representatives of affected groups and designed in a way that they are socio-economically and culturally suitable, considering a range of options for in-kind, non-monetary and monetary compensation, as appropriate. For affected households whose livelihoods are land- or subsistence-based (e.g., depending on forest resources or grazing land), priority should be given to land-based compensation approaches (e.g., offering alternative land or access to resources of at least equal value). Forms of in-kind compensation might include supporting communities with alternative livelihood or income-earning opportunities.

The SIA report should also point out any issues for which the impact analysis has concluded that no further attention is required (e.g., because of low significance or probability). Where relevant and feasible, the SIA could also explore opportunities for social enhancement. This might include:

- opportunities to enhance the participation of men and women in the project and how to support both genders in the development of sustainable livelihood activities and in deriving social and economic benefits from the project, or
- measures to enhance social inclusion and cohesion; to address vulnerability, capacity and equity issues; to empower weak, poor and marginalised social groups; and to enhance safety and security.

Briefly describe each mitigation measure including the type of impact(s) it will address, its design, equipment requirements and operating procedures, as appropriate. Proposed mitigation measures should be technically and operationally feasible and culturally adequate. The benefits of measures should be distributed in an equitable manner across the affected population. Estimate their costs (including initial investment and recurrent expenses) and, where relevant, indicate contributions from stakeholders and beneficiaries (including in-kind). Specify institutional arrangements and any needs for development of the capacity of communities or partners to implement the proposed measures. Also specify the sustainability of the measures and whether they will continue to be effective after project funding ceases.

The measures should be presented in an Environmental and Social Management Plan (ESMP) to facilitate their integration into project management. This includes confirming their feasibility, indicating resources and costs, responsibilities, their schedule for implementation, and evidence of completion. Please refer to the ESMP Guidance Note⁵¹ and its templates for further details.

Stakeholder consultation

Stakeholder engagement is a key principle of the ESMS and an important procedural tool for a successful Environmental and Social Impact Analysis (ESIA) or SIA. It allows for improving the understanding about local conditions and stakeholders' concerns and is essential for identifying effective strategies for mitigating negative impacts. Involving affected groups in decision-making gives them more confidence and security, improves the legitimacy of the project and helps building constructive relationships among stakeholders.

The ESMS defines requirements for stakeholder engagement by establishing minimum provisions for disclosure and consultation (see sections 4.2.7 and 4.6 of the ESMS Manual).⁵² During the ESIA/SIA process, consultations should concentrate in particular on potentially affected groups, indigenous peoples and civil society organizations; the stakeholder analysis supports the decision of whom to consult. The consultation process needs to be culturally appropriate, non-discriminatory and gender sensitive; it should assure that all groups whose lives might be affected by the project are properly consulted to verify and assess the significance of impacts and that all affected groups are provided the opportunity to participate in the development of mitigation measures.

The intensity or depth of stakeholder engagement should be appropriate to the complexity of the project and tailored to individual groups taking into account the significance of the identified risks (see section 2.1.4 of the ESMS Manual). It is important to be mindful about the resource and time availability of stakeholders. The consultation process is best scheduled in iterative steps first seeking initial inputs, then feed-back on first assessment results and suggestions for mitigation actions and

⁵¹ ESMS Guidance Note on Developing and Monitoring an ESMP, available at www.iucn.org/esms.

⁵² See ESMS Manual, available at www.iucn.org/esms.

concluding with a final stakeholder meeting to gather feed-back on the draft of the ESIA/SIA report, the ESMP and other action plans, where relevant.

If the Standards on Involuntary Resettlement and Access Restrictions or on Indigenous Peoples are triggered, consultations should fully adhere to the Free Prior and Informed Consent Principle. Guidance is provided in the ESMS Manual and in a separate Guidance Note.⁵³

The ESIA/SIA report should document the results of the consultations carried out with stakeholders and project-affected groups and provide recommendations with an explanation how these results have been taken into account. The description should specify how women have been included in the consultation, taking into consideration their gender-specific knowledge, roles, responsibilities and potential impacts.

3. Specific provisions from the social ESMS standards

This chapter contains specific provisions related to the ESMS Standard on Involuntary Resettlement and Access Restrictions⁵⁴ and the Standard on Indigenous Peoples. They are considered only if the ESMS screening has concluded that (1) the respective standard is triggered or that (2) the SIA needs to determine whether the standard is triggered.

Provisions of the Standard on Involuntary Resettlement and Access Restrictions

This standard applies to projects where the conservation objective requires restricting people's access to land or natural resources. Typical examples are interventions that involve the establishment of protected areas, expansion or alteration of boundaries or strengthening of protected-area management. Projects that trigger this standard require a more in-depth analysis of the potential impacts on social groups affected by the restrictions. Where relevant the assessment should be disaggregated by social groups and include analysing:

- their cultural and historical relationship to the resource being restricted (land and associated natural resources);
- their current rights to these resources – legal rights as well as customary and non-legally recognized rights;
- the degree of their dependency on these resources for livelihoods;
- the relationship between the use of resources and conservation objectives and the extent of their positive and negative impacts on resource sustainability.

The analysis should be contrasted with the specific conservation objective of the project and it should be critically judged whether the project's expected conservation benefits outweigh the costs and risks caused by access restriction.

To synthesise the analysis, the preparation of an inventory is recommended describing the main types of natural resources, their current use and importance for livelihoods, use rights and planned restrictions (see Annex A). Wherever relevant this should be disaggregated by social groups.

⁵³ ESMS Guidance on Free, Prior and Informed Consent will be available at www.iucn.org/esms.

⁵⁴ As mentioned in note 3 this Guidance Note covers only risks of access restrictions; resettlement is dealt with in a separate Guidance Note (under development).

Provisions of the Standard on Indigenous Peoples

The Standard on Indigenous Peoples applies whenever indigenous peoples are present in a proposed project area, have collective attachment to the area or could be affected negatively by the project (even without being present at the project site). Projects that trigger the standard require a more in-depth analysis of potential impacts on indigenous peoples. Depending on the results of the ESMS screening the SIA might need to include the following:

- demographic, social, economic and cultural information on indigenous communities;
- maps showing the location of indigenous peoples' settlements and activities in relation to the project area (including sites and resources of cultural and religious significance);
- description and analysis of all forms of resource tenure and use, and of customary rights and claims to lands, territories and resources in the project area or potentially impacted by the project, and the status of recognition of these rights and claims under national legislation and administrative practices;⁵⁵
- social organisation and institutions, including identification of existing rules and channels of communication that should inform the design of future consultation processes;
- systems of production (food, medicine, artefacts), including roles and rules based on gender, age, ethnicity, caste or other factors;
- local knowledge relevant to the proposed project, identification of the groups or individuals who may be the special holders of such knowledge, and determination of how it may be affected and used during project implementation.

3. Other items to be specified in the terms of reference for an SIA

The actual terms of reference for a SIA must be adapted and tailored to each situation. The scope and depth of the assessment depend on the nature, complexity and significance of the issues emerging from the ESMS screening. The terms of reference for a SIA usually includes the following items:

- A summary of the main project features (with location map)
- A list of applicable national ESIA requirements, if applicable
- A list of the key issues that emerged from the ESMS screening to be analysed in the SIA
- A description of the required elements of the SIA report (see Chapter II, 1-9) and requirements for preparing any other documents and action plans
- Methodological guidance (if applicable) for the overall SIA and required specialist studies (e.g. gender responsive analysis)
- Specification of the type of social expertise required by the SIA expert/team
- Specification of required consultations with affected people, communities and other parties
- A budget and schedule for the SIA providing sufficient time and funds for effective stakeholder consultation.

Carrying out the SIA requires a technical team with appropriate qualifications (preferably social science backgrounds) and relevant experience in the field of social impact assessment. The team

⁵⁵ If the Standard on Involuntary Resettlement and Access Restrictions is triggered, an assessment of access rights is already covered in the required analysis.

should include experience with participatory consultation methodologies, with gender analysis and gender responsive project design and, if relevant, with indigenous peoples' issues.

Annex A: Inventory of natural resources and access restrictions

The table below provides a template for creating an inventory of natural resources. The inventory is a first step for analysing livelihood impacts when a project's conservation objectives require use restrictions for certain natural resources.

The table shows resources for illustrative purposes; some may not be relevant for the project (and should hence be removed), others may be added depending on the livelihood context. In the first row the current use of the resource is described and its importance for the livelihood of local communities/groups. The second row indicates the sites where the resources are currently gathered. The template distinguishes three zones (core, buffer and community use zone), but this can be adjusted as needed. The third row asks for specifying current use rights for the each resource. Where relevant disaggregate the analysis of importance, resource use practices and rights between social groups (e.g., indigenous peoples, women, vulnerable groups). The last row describes restrictions planned by the project and the relevant zones. It is important to use a broad interpretation of access restrictions considering not only the actual establishment of restrictions but also project activities that would strengthen enforcement of existing restrictions or changes boundaries of use zones.

Resource			Conservation zone	Buffer zone	Community use zone
Timber	1	Importance for livelihoods			
	2	Current sites of gathering/harvesting			
	3	Use rights (formal & customary)			
	4	Restrictions triggered by project			
Construction materials	1	Importance for livelihoods			
	2	Current sites of gathering/harvesting			
	3	Use rights (formal & customary)			
	4	Restrictions triggered by project			
Fuel wood	1	Importance for livelihoods			
	2	Current sites of gathering/harvesting			
	3	Use rights (formal & customary)			
	4	Restriction triggered by project			
Grazing livestock	1	Importance for livelihoods			
	2	Current sites of gathering/harvesting			
	3	Use rights (formal & customary)			
	4	Restrictions triggered by project			
Medicinal plants	1	Importance for livelihoods			
	2	Current sites of gathering/harvesting			
	3	Use rights (formal & customary)			
	4	Restrictions triggered by project			
Bushmeat / wild game	1	Importance for livelihoods			
	2	Current sites of gathering/harvesting			
	3	Use rights (formal & customary)			
	4	Restrictions triggered by project			

Appendix 8

Developing and Monitoring an Environmental and Social Management Plan (ESMP) – Guidance Note

1. Components of the ESMP

An Environmental and Social Management Plan (ESMP) documents the project's risk management strategy. It serves as an "Umbrella Document" that integrates the findings of all impact studies carried out during the design phase, the plans and other provisions for complying with the requirements of the Standards that were triggered as well as country- and site-specific information relevant for the project's risk management strategy. The ESMP will become an integral part of the project proposal.

The ESMP has the following content:

- a) Projects description including logframe and project activities, location and geographic extent of the project;
- b) Brief reference to the legal framework in the host country relevant for environmental and social management and how the projects ensures compliance;
- c) Complete list of identified negative effects that specific project activities may cause and their significance;
- d) Planned measures to avoid adverse environmental and/or social impacts, to minimise them to acceptable levels or to compensate for them; including responsibilities (staffing) and schedule for implementing the mitigation measures, their technical feasibility, cultural appropriateness, expected effectiveness in providing mitigation to all affected groups;
- e) Reference to plans required by the Standards (e.g. Indigenous Peoples Plan, Action Plan Access Restrictions etc.) and whether mitigation measures have been included or not in the ESMP;
- f) Cost estimates for the proposed mitigation measures and for ensuring compliance, to be included in the budget of the project proposal;
- g) Description of the executing entities' capacity to implement the ESMP; where needed, provide for capacity building measures (to be included in the ESMP budget).

For each mitigation measure the operational details need to be summarised in form of a table (see Template 1). A good synchronization with the project's overall implementation plan and its monitoring and reporting cycle is critical.

There are instances where a mitigation measure is already conceptualized as an activity in the project's main implementation plan. It is still advisable to also include this activity in the ESMP along with all other mitigation measures in order to provide an overall picture of the project's mitigation strategy and to be able to check the list of mitigation measures against the identified impacts. As such it serves to analyse whether measures are actually sufficient, feasible and sustainable for mitigating the impacts. In order to avoid repetition with the project's result framework and implementation plan, only the codes of the activity should be entered in this case (see footnote in Template 1).

2. ESMP Monitoring and Supervision

The ESMP needs to be monitored to track the progress in implementing the agreed mitigation measures. This should be done annually and based on Template 2 provided in the Annex. The first two columns are copied from the ESMP. For each measure it should be signaled whether implementation is on schedule (or ahead of schedule or completed), slightly delayed or delayed - using the suggested color coding. Where delays are encountered the reasons need to be explained and solutions suggested.

Aside from progress the effectiveness of the mitigation measures will also need to be monitored. Template 2 provides a simple format. Where measures are complex, a monitoring plan should be developed including key indicators, baseline and targets (see template 3). The executing agency should use observations and stakeholder consultations (in particular with affected groups) in order to judge the measures' effectiveness. The agency is also encouraged to seek synergies with the project's monitoring plan which might include indicators that can be used for judging the effectiveness of mitigation measures (e.g., livelihood indicators of affected groups). The findings are entered in the column on the right.

Annual monitoring should also identify any additional environmental or social risks that may have emerged since the project started and establish appropriate mitigation measures for any significant new risk. These additional risks and their mitigating measures should be added to the ESMP (Template 1, Annex) and reported on as part of annual monitoring.

The annual ESMP Progress Monitoring Table is reviewed by the implementing agency (e.g. IUCN) as part of the periodic project supervision missions.

Annex

Template 1: Environmental and Social Management Plan (ESMP)					
ESMS Standards		Triggered	Main issues, how they will be addressed and whether a stand-alone plan is required (e.g. Indigenous Peoples Plan, Process Framework etc.)		
Involuntary Resettlement and Access Restrictions		<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD			
Indigenous Peoples		<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD			
Cultural Heritage		<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD			
Biodiversity Conservation and Sustainable Use Natural Resources		<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD			
Category	Activities to comply with ESMS policy and provisions		Costs	Implementation Responsibility	Schedule
Disclosure Requirements					
Grievance Mechanism					
Gender Mainstreaming					
Stakeholder Engagement					
Key Social and Environmental Impacts and related Mitigation Measures					
Social & Environmental Impacts ⁵⁶	Mitigation measures ⁵⁷	Feasibility, effectiveness and sustainability ⁵⁸	Costs	Implementation Responsibility	Schedule

⁵⁶ If Standards are triggered and it has been decided that the mitigation measures are not presented in form of a stand-alone plan (e.g. IPP, Process Framework etc.), the measures are described in this table

⁵⁷ Where mitigation measures have already been conceptualized as project activities, only the codes of the activities need to be entered (e.g. "-> see Activity 1.2.3"); other columns are not applicable to avoid repetition.

⁵⁸ The ESMP has to confirm that proposed mitigation measures are feasible, that they are effective in providing mitigation for all affected groups and sustainable. In this column either describe how feasibility is confirmed or put ✓ to confirm that feasibility has already been proven elsewhere and indicate where to find evidence.

<i>New ESMS risks that have emerged</i>					

Note: The progress of implementing mitigation measures should be color-coded in column C:
Green = On Schedule/ Ahead of Schedule/ Completed, Orange = Slightly Delayed, Red = Delayed

ON SCHEDULE / AHEAD OF SCHEDULE/ COMPLETED	SLIGHTLY DELAYED	MAYOR DELAYS/ ISSUES
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Template 2: ESMP Monitoring				
Period covered by the report:				
ESMS Standards	Describe the progress of implementing the required tools (Indigenous Peoples Plan, Process Framework etc.):			
Social & Environmental Impacts⁵⁹	Mitigation measures	Color coding	Describe status of completion , suggest solutions where problems are encountered	Early judgement: Does this measure seem effective?
<i>New ESMS risks that have emerged</i>				
<i>Other ESMS provisions</i>	Describe status of completion and evidence			Outstanding action and timing
Disclosure				
Grievance Mechanism				
Gender Mainstreaming				
Stakeholder Engagement				
<i>TO BE COMPLETED BY IMPLEMENTING AGENCY (IUCN)</i>			Date/Name of reviewer:	
ESMP monitoring - main findings:			Status ESMP <input type="checkbox"/> on schedule <input type="checkbox"/> slightly delayed <input type="checkbox"/> major delays/issues	

⁵⁹ Column A and B are copied from the ESMP.

Template 3: Plan for Monitoring Effectiveness of ESMP					
Mitigation measures	Indicators proving effectiveness of avoidance or reducing impacts ⁶⁰	Baseline	Monitoring methodology	Target (mid-term)	Target (end of project)
A	B	C	D	E	F
<i>New ESMS risks that have emerged</i>					

⁶⁰ Identify one indicator for each mitigation measure. Use the same numbering as for mitigation measures as in Table 1 and use corresponding number for indicators; e.g., measure 1 (M1) would be monitored by indicator 1 (Ind1).

Appendix 9

Pest Management Planning - Guidance Note

A. Introduction

1. For the purpose of this Guidance Note pests are defined as “any species, strain or biotype of plant, animal or pathogenic agent injurious to humans, animals, plants, other organisms, native biodiversity, habitats, ecosystems, or materials, including vectors of parasites or pathogenic agents”. This definition of “pests” includes “invasive alien species⁶¹” that threaten ecosystems, habitats or species.
2. For the purpose of this Guidance Note pest management is defined as the use of any technique to prevent the arrival or establishment of the pest (“prevention”), reduce the pest population or keep it at a reduced level (control), or completely remove the pest from a defined area (eradication). Pest management techniques include:
 - i. The practice of removal of conditions favourable to pests (though this does not trigger the adherence to this Guidance Note unless such removal involves the use of one or more other techniques as defined below);
 - ii. Physical control, i.e. manual or mechanical removal of the pest, such as uprooting, felling, burning, shooting or trapping;
 - iii. Use of baits and attractants including bait stations using food, hormones (pheromones), or other chemical-based, visual or audible lures;
 - iv. Biological control (or “classical biological control”) is defined as releasing or augmenting the population of an organism which attacks the pest specifically (also referred to as “natural enemies”), and which is expected to persist in eventual balance with the target pest. Such agents are most commonly insects or pathogens such as fungi;
 - v. “Natural” biocides or biopesticides are defined as including naturally occurring substances that control pests (biochemical pesticides), microorganisms that control pests (microbial pesticides), and pesticidal substances produced by plants containing added genetic material or plant-incorporated protectants (PIPs)⁶². An example is the use of the micro-organism *Bacillus thuringiensis* against insect pest. Despite being derived from natural materials, such substances may be highly toxic.
 - vi. Synthetic biocides including pesticides, fungicides, herbicides, insecticides, algicides, molluscicides, miticides, rodenticides.
3. This Guidance Note is part of the IUCN’s Environmental and Social Management System (ESMS) and is hosted under the Standard on Biodiversity and Sustainable Use of Natural Resources.

⁶¹ See the Decision VI/23 of COP 6 for a definition of invasive alien species, available at:

<https://www.cbd.int/decision/cop/?id=7197>

⁶² As defined by the United States Environmental Protection Agency. Available at <https://www.epa.gov/ingredients-used-pesticide-products/what-are-biopesticides>

B. Purpose and Principles of the Guidance Note

4. The purpose of the Guidance Note is to promote and support safe effective and environmentally sound pest management and to minimize health and environmental risks (including risks to terrestrial and aquatic ecosystems, non-target species and other important ecological resources) associated with the use of biocides and other pest management techniques.
5. IUCN encourages the use of ecologically sound pest management practices, following Integrated Pest Management (IPM)⁶³ principles. The over-riding principle is that the choice of the pest management technique should be based on effectiveness at managing the pest while minimising the risks to health and the environment, including non-target or ecological damage.
6. This Guidance Note recognises that quite often, in particular when managing invasive alien species, a method such as biological control or biocides can – if used in an environmentally sensitive and effective way - cause less environmental damage than physical control. The choice of technique should be based on the overall balance of environmental costs and benefits, including the cost of leaving the pest unmanaged or less well-managed, and the environmental impacts of the chosen technique.

C. Scope of application

7. This document provides guidance for pest management planning for projects that intend or may be required to manage pests, with particular attention to the use of synthetic biocides, but with guidance also provided for projects applying other pest management techniques as defined in paragraph 2 (ii-vi.)⁶⁴.
8. In adherence to the definition of pests provided in paragraph 1 the Guidance Note applies to any project that involves the use of biocides or other pest management techniques to manage any invasive alien species.
9. The Guidance Note is also applicable for projects that do not apply biocides but (only) include activities related to biocide handling (e.g. procurement and transportation of biocides, storage, disposal of biocides or of biocide contaminated materials etc.).
10. The Guidance Note is further intended to inform projects supporting policy reform and institutional capacity development to enhance implementation of IPM and/or regulate and monitor the distribution and use of biocides.

D. Requirements

11. Projects that include the application of biocides and other pest management techniques as defined in paragraph 2 (ii-vi) trigger the application of this Guidance Note. The minimum requirement is that (i) the project document provides a description of the proposed technique. Further requirements are (ii) undertaking an assessment of the risks of applying the chosen technique (hereafter called “technique risk assessment” or TRA) and (iii) the development of a pest management plan (PMP). Requirement (ii), however, applies only for projects where the proposed pest management technique could potentially cause more than very minor and temporary risk and requirement (iii) only for projects with potentially significant impacts, including

⁶³ FAO defines Integrated Pest Management (IPM) as “an ecosystem approach to crop production and protection that combines different management strategies and practices to grow healthy crops and minimize the use of pesticides”

<http://www.fao.org/agriculture/crops/thematic-sitemap/theme/pests/ipm/en/>

⁶⁴ It does not cover gene drive technology to control pests or invasive species – as IUCN cannot undertake any work in this area as per recent IUCN Resolution on Synthetic Biology (WCC-2016-Res-086-EN) “Calls upon the DG & Commissions (...) refraining from supporting or endorsing research, including field trials, into the use of gene drives for conservation or other purposes until this assessment has been undertaken”.

beyond the immediate site of application. While the level of risk and applicability of these requirements will be established case-by-case during the ESMS Screening⁶⁵, Table 1 provides a general orientation.

12. A technique risk assessment evaluates the potential for negative impacts of the use of the technique on the environment (including impacts on non-target species and on habitats and ecosystems), human health, or other human values. It sets these risks against the benefits to be obtained from use of the proposed technique and, where appropriate, compares these costs and benefits with those that might result from using alternative management techniques. The TRA should also propose measures to avoid, minimize or mitigate risks.
13. A pest management plan involves a more rigorous and comprehensive analytical process than a TRA. It is a concise implementation plan for the pest management aspects of the project, which is used to communicate with relevant stakeholders to ensure that they are informed about important details of the pest management strategy and are given the opportunity to react. The PMP includes the results of the TRA but also describes the full rationale of and justification for the application of biocides or other pest management techniques, and the respective institutional and regulatory framework. It provides a comprehensive description of the proposed technique, associated risks and appropriate measures to minimize or mitigate those risks. The detailed content is outlined in Annex A.
14. Relevant stakeholders should be involved in the development of the PMP, in particular local communities who may be affected by the application of the biocide or other pest management technique (e.g. by proximity, through hydrological systems, by the use of treated areas for free-ranging livestock or non-timber forest product collection, etc.).
15. The PMP needs to be disclosed and discussed in at least two steps. A draft version of the plan must be shared at the earliest possible stage with potentially affected parties and other stakeholders, in a form and language understandable to them, and their views must be taken into account during revision of the draft. The final version of the plan must be publicly disclosed prior to project approval, including on the IUCN website.
16. The TRA and the development of the PMP are undertaken subsequent to the ESMS Screening. The appraisal of the TRA and/or the PMP forms part of the ESMS Clearance which takes place prior to IUCN-internal approval of the full project proposal.⁶⁶ The PMP will become an integral part of the contractual agreement between IUCN and the executing entity.
17. The above requirements also apply to projects where a decision about the use of biocides or other pest management techniques is taken only during the course of project implementation. Where a TRA and/or PMP are required, they need to be submitted to IUCN for approval prior to any use of the proposed technique.

⁶⁵ Chapter 4 of the ESMS Manual describes the ESMS review procedures along the project cycle - the ESMS Screening is the first of the ESMS review steps with the intention to identify risks. The manual is available at www.iucn.org/esms.

⁶⁶ See chapter 4 of the ESMS Manual for a description of the ESMS review procedures along the project cycle, available at www.iucn.org/esms

Table 1: Pest management techniques and respective requirements

Requirements Pest management techniques	Description of applied technique	Technique Risk Assessment (TRA)	Pest Management Plan (PMP)	Guidelines that must be adhered to
Physical methods , including manual and mechanical removal of the pest, such as uprooting, felling, burning, shooting or trapping	Required	If major habitat disturbance is likely to be caused (such as felling an invasive tree species over an extensive area)	If major habitat disturbance is involved (to be determined by the ESMS Screening)	
Use of baits and attractants , including bait stations using food, hormones (pheromones), or other chemical-based lures	Required	To be determined by the ESMS Screening	Not required.	<ul style="list-style-type: none"> • Technical guidelines provided by the manufacturer of the product used in baits/attractants
Application of biological control (i.e. "classical biological control")	Required	Required; including specificity testing based on standards/best practices	Required	<ul style="list-style-type: none"> • IPPC, 2016. Guidelines for the export, shipment, import and release of biological control agents and other beneficial organisms: International standard to deal with the importation and release of biocontrol agents (ISPM3). Available at http://tinyurl.com/IPPC-Guidelines-adopted-2005; • OECD, Guidance to the environmental safety evaluation of microbial biocontrol agents. Available at https://tinyurl.com/oecd-2014-microbial-biocontrol
Application of small amounts of synthetic biocides or natural biocides (or bio-pesticides) in limited or controlled areas	Required; public disclosure of pest management technique and mitigation measures	To be determined by the ESMS Screening		<ul style="list-style-type: none"> • Technical guidelines provided by the manufacturer of the biocide
Application of natural biocides (or bio-pesticides) as the major or a major component of the project.	Required	Required	If major use of a toxic substance or bio-pesticide is planned	<ul style="list-style-type: none"> • Technical guidelines provided by the manufacturer of the biocide
Application of synthetic biocides as the major or a major component of the project.	Required	Required	Required	<ul style="list-style-type: none"> • Technical guidelines provided by the manufacturer of the biocide; WHO and FAO, 2014. <i>International Code of Conduct on Pesticide Management</i>. Available at: http://www.fao.org/agriculture/crops/thematic-sitemap/theme/pests/code/en/; • WHO and FAO, 2016. <i>Guidelines on highly hazardous pesticides</i>. Available at: http://www.fao.org/3/a-i5566e.pdf

18. For projects that involve the use of synthetic or natural biocides (or bio-pesticides) adherence to the following requirements should be demonstrated:

- i. Evidence that available options to avoid the use of biocides have been rigorously considered, such as biological or physical means, and that none is viable for the specific context and objective. The Guidance Note recognizes that for some pest management operation such as eradication of rats, biocides are generally accepted as the best method; in such cases there may be no need to prove that biological or mechanical means are not effective. If this is the case, seek preliminary confirmation as part of ESMS Screening.
- ii. Any use of biocides or bio-pesticides must be guided by the associated technical guidelines provided by the manufacturers of the respective product and the respective national regulatory authority and comply with recommendations and minimum standards as described in the WHO and FAO (2014) and associated guidelines⁶⁷; this includes ensuring the use of suitable protective and application equipment and that biocides are handled only by appropriately trained operators.
- iii. Preference should be given to products that are less hazardous and persistent in the environment, and to methods of application and equipment that minimize the risks to users, local communities and the environment, and which maximise efficiency (i.e. requiring smaller quantities of biocide). Synthetic and natural biocides should have a lifespan in the field that does not exceed the project needs; for example, bio-pesticides should not remain active in the soil for long periods after the use of the agent. The technique risk assessment needs to demonstrate that risks are within acceptable thresholds (according to national or international standards, whichever is stricter) in normal operating conditions as well as in abnormal situations (including leaks, spills and emergencies).
- iv. The procurement or use of formulated products that are in World Health Organization (WHO) Classes IA (extremely hazardous) and IB (highly hazardous), or formulations of products in Class II, are not allowed in IUCN projects unless there are restrictions in place that deny or prevent use or access of substance by lay personnel and others without training or proper equipment.⁶⁸ The use of IA and IB should strictly adhere to the FAO/WHO guidelines on highly hazardous pesticides.⁶⁹ Chemicals specified as persistent organic pollutants (POPs) under the Stockholm convention are not to be used in any IUCN project.

19. Where projects involve the application of biological control, traps or hormone lures, the following requirements apply:

- i. The technique risk assessment needs to demonstrate that risks to terrestrial and aquatic ecosystems, non-target species and other important ecological resources are minimised and where possible mitigated (see paragraph 12).
- ii. The use of biological control agents must adhere to internationally agreed standards.⁷⁰

⁶⁷ World Health Organization and United Nations Food and Agriculture Organization, 2014. *International Code of Conduct on Pesticide Management*. Available at <http://www.fao.org/agriculture/crops/thematic-sitemap/theme/pests/code/en/>

⁶⁸ World Health Organization, 2009. *The WHO recommended classification of pesticides by hazard and guidelines to classification: 2009*. Available at http://www.who.int/ipcs/publications/pesticides_hazard_2009.pdf.

⁶⁹ World Health Organization and United Nations Food and Agriculture Organization, 2016. *Guidelines on highly hazardous pesticides*. Available at <http://www.fao.org/3/a-i5566e.pdf>.

⁷⁰ In particular the standard published by the Secretariat of the International Plant Protection Convention (IPPC, 2016, *Guidelines for the export, shipment, import and release of biological control agents and other beneficial organism*, available

20. If dealing with pest animals, particularly vertebrates, welfare guidance should be adhered to as outlined by the manufacturer of the trapping equipment or biocide, internationally recognised best practice⁷¹, and national legislation, whichever is stricter. For example, many kinds of trap should be checked daily, and in some countries or circumstances, management of certain pest taxa such as mammals and birds may not be carried out while they have dependent young. The use of firearms should be guided by explicit firearm protocols developed by the executing entity or national legislation, whichever is stricter. The executing entity should also establish specific protocols for disposing of the carcasses of culled pest animals.
21. Populations of both pests and non-target indicator species should be measured before and after treatment, to evaluate the effectiveness of pest removal and any impacts on non-targets.
22. The executing entity must monitor the implementation of the mitigation measures regularly and judge their effectiveness in mitigating pest management risks, so that corrective action can be undertaken, where needed. The end-of-project evaluation should assess whether the project has been able to avoid or mitigate negative impacts and identify any risk issues that require further action or monitoring. Where relevant, measures should be devised for post-project monitoring, including the identification of resources for this.
23. The costs for implementing the activities specified in the pest management plan, including risk mitigation measures, must be estimated and incorporated into the project budget.
24. At the start of the project, the executing entity should explain to all relevant stakeholders the IUCN ESMS Grievance system and its role as a mechanism to receive and address complaints related to situations where the project fails to adhere to the agreed mitigation measures, or where the application of pest management techniques might cause social or environmental harm.
25. In addition to this Guidance Note, projects managing invasive alien species should also follow the guidelines developed by IUCN and CBD on the prevention of biodiversity loss caused by invasive alien species⁷² and the recommendations from the CBD for the use of biological control to combat invasive alien species⁷³.

at: <http://tinyurl.com/IPPC-Guidelines-adopted-2005>). Further guidance is expected to be published in 2017 by IUCN, Invasive Species Specialist Group (ISSG), together with the Convention of Biological Diversity (CBD).

⁷¹ For instance best practices published by the Government of New Zealand, available at: <http://tinyurl.com/NZ-HumaneVertebratePestContr>

⁷² IUCN (SSC Invasive Species Specialist Group), 2000. *IUCN Guidelines for the Prevention of Biodiversity Loss caused by Alien Invasive Species*. Available at: <https://portals.iucn.org/library/efiles/documents/Rep-2000-052.pdf>. CBD, COP 6, 2002, Guiding principles for the prevention, introduction and mitigation of impacts of alien species that threaten ecosystems, habitats or species. Available at: <https://www.cbd.int/doc/decisions/cop-06-dec-23-en.pdf>. CBD, 2014. *Pathways of Introduction of Invasive Species, their Prioritization and Management*, available at <http://tinyurl.com/CBD2014Invasive>

⁷³ Decision XIII/13 of COP 13, *Invasive alien species: addressing risks associated with trade, experiences in the use of biological control agents, and decision support tools*. Available at: <https://www.cbd.int/doc/decisions/cop-13/cop-13-dec-13-en.pdf>

Annex A

Outline Pest Management Plan (PMP)

Section 1: Intended project or programme

1. Title of the proposed project or programme.
2. Countries or territories where the pest management will be applied.
3. Name of the executing entity, full name and contacts of the main project personnel responsible for the PMP and his/her manager(s).
4. Summary of the project.
5. Date of preparation of the PMP.

Section 2: Rationale for the pest management approach

This section establishes the rationale for using the proposed pest management approach by providing a description of the following items:

1. Current impacts caused by the pest which is proposed for management by the project, and anticipated future changes such as those caused by climate change and other planned interventions;
2. Current management practices applied to the pest, and rationale for the proposed changes;
3. Executing entity's experience with pest management.

Section 3: Description of pest management technique

This section provides a comprehensive description of the chosen pest management technique. For the application of synthetic or natural biocides (or bio-pesticides) the following items need to be included:

1. The identity, class and quantity/application rate of biocides or bio-pesticides envisaged for use by the project (including chemical, trade and common names, likely dilution rates, application rates per ha etc).
2. The form and methods of application in which biocides or bio-pesticides will be used (e.g., pellet, liquid, paint-on, back-pack or aerial spraying, rodenticides dropped from aircraft, permanent bait stations etc).
3. Specific geographical location where the biocides or bio-pesticides will be applied: e.g. name of local area, district, municipality, landowners, map or coordinates (if available); and the estimated total area (hectares) to which the biocide will be applied.
4. Name and address of supplier of selected biocides or bio-pesticides (including confirmation of holding a license to sell this product) and details of facility where the products will be stored.

Section 4: Institutional and regulatory framework

This section should provide a short description of the institutional and legal framework under which the biocide or other technique will be applied.

1. Short description of the country's regulatory framework and the legal status of the product or technique including a reference to the required documentation and standards required under national law and international good practice.

2. Where a biocide or other technique is not regulated, the proponent should attempt to identify international laws for this or similar products, or applicable regulations in neighbouring countries that could be used as a guide, including internationally recognised good practice. The proponent must also explain why this particular biocide or technique is necessary despite the absence of national regulation.
3. Analysis of institutional capacity for control of the distribution, use and disposal of biocides, in particular the product selected by the project and the institutions responsible at the project site.
4. Any measures proposed to strengthen regulatory framework and institutional capacity, where relevant.

Section 5: Technique Risk Assessment (TRA)

This section should analyse the potential environmental, occupational, and public health risks of the chosen pest management approach, taking into account the proposed use, intended users and other actors involved. It should propose effective measures for minimizing identified risks. This should include

1. Assessment of **risks to people** associated with **application** of the product or technique based on any physical risks or the expected exposure to the biocide of relevant operators or members of the public, their sensitivity and likelihood that exposure may cause harmful impacts. The assessment should take the real circumstances of application into account, including the capability of operators to handle products within acceptable risk margins and their access to and use of protective gear and appropriate application equipment.
2. Assessment of **risks to the environment** associated with **application** of the technique or product, based on the expected levels of use of the product. The assessment should include potential impacts to all components of the biophysical environment, including but not limited to soils, surface waters, groundwater, marine run-off, habitats, plant communities, and non-target species, particularly native, endemic and threatened species.
3. Assessment of risks linked to the **steps prior and subsequent to application** such as transport, storage, local movement and handling, and disposal of the proposed chemicals (and diluents) under local circumstances (including the disposal of empty chemical containers); evaluation of the capability of actors operating these steps to handle product.
4. The TRA should consider normal operations as well as abnormal situations and hazards (including weather hazards, spills and emergencies, and associated clean up).
5. Effective measures should be identified to **reduce and mitigate the risks** such as training for workers applying biocides and for people coming in contact with the substances, effective personal protective equipment, development of standard operating procedures, upgrading of storage facilities etc.; mitigation measures should include activities for monitoring effectiveness of application and early identification of needs for corrective actions (e.g. tracking of damage to and/or deaths of non-target species).
6. **Alternatives** to the proposed technique should be examined and evidence provided that no less risky technique would be viable for the specific context and objective. Similarly, evidence should be provided that preference has been given to products that are less hazardous and persistent, and to methods of application that reduce environmental and health risks and **maximise efficiency** by requiring smaller quantities of the biocide.
7. The assessment should conclude with a comparison of the selected approach and its expected result with the current situation, and provide clear **evidence of the benefits** justifying the selection of the approach.

Section 6: Mitigation, monitoring and emergency plan

1. This section should provide a detailed description of the mitigation measures recommended by the TRA. This should include specifying required resources, technical specifications, schedule, costs and responsibilities.
2. This section should also include an emergency plan outlining the actions to be taken if the application of the technique results in unexpected events with negative environmental or health impacts (including unpredicted non-target mortality, physical damage such as landslides, or leaks, spills and associated clean up). The emergency plan should
 - i. describe the planned responses to emergency situations caused by unexpected natural events (such as high winds, excessive rainfall, runoff, unexpected movement of wild or domestic animals, etc.) as well as by technical failure or human error;
 - ii. describe procedures for first aid and medical attention for cases involving poisoning or undue contact with these substances;
 - iii. include the provision to cease the application as quickly as possible whenever necessary, and to assist in preventing damage (and to reverse it if at all possible);
 - iv. include a mechanism to observe and record any such unexpected events or impacts.

Section 7: Consultation, disclosure and grievance

1. This section should document when and where the PMP was disclosed and the range of consultations the proponent has undertaken with stakeholders, particularly local communities and their potentially affected members including adjacent land-owners or land users. It should specify the dates and results of relevant consultations, including how feed-back received was taken into consideration.
2. It should also provide evidence of consultations held with relevant authorities (indicating who and when) and evidence that appropriate EIA procedures were followed and licenses and permissions, where relevant, were obtained.
3. The section should conclude with an explanation of the IUCN ESMS grievance system and its role to receive and address complaints in case pest management techniques might cause social or environmental harm; this should include instructions how to access this system.

Appendix 10

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