Environmental and Social Management Framework (ESMF)

Transforming Eastern Province through Adaptation

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1. Executive summary

This document presents the Environmental and Social Management Framework (ESMF) for the proposed GCF project Transforming Eastern Province through Adaptation (TREPA). The project is designed to lead to a paradigm shift away from degraded and vulnerable land in the Eastern Province, which is currently unable to sustain livelihoods, to a climate resilient landscape providing development opportunities for smallholder farmers. Through the introduction of restoration and sustainable land-use practices, the project is designed to bring about a number of environmental, economic and social benefits. Nevertheless, as the project has been screened on environmental and social risks the need has been identified to develop an ESMF as the specific sites (villages/communities) and concrete site-specific restoration activities (in the following referred to as sub-projects) will only be decided during the project's inception phase.

After providing a brief overview of the project the ESMF (chapter 2) contains an analysis of the relevant policy and regulatory framework in Rwanda (chapter 3) and identifies gaps and implications for the project to ensure compliance with the IUCN Environmental and Social Management System (ESMS) and with the GCF Safeguard policies. It further identifies potential environmental and social risk issues at a high level, based on the generic project activities that are already known at this stage, including recommendations for avoiding or mitigating identified risks (chapter 4). Chapter 5 delineates the procedures and steps to be taken for screening the sub-project on risks, for carrying out impact assessments and for monitoring risks during project implementation. Chapter 6 presents requirements for stakeholder consultation and outlines the project-level Grievance Mechanism. Implementation arrangements and the ESMF budget are presented in chapter 7.

2. Project description

2.1 Objectives and geographic location

The project aims to achieve a paradigm shift in land management practices in Rwanda's Eastern Province from landscapes that are degraded, fragile and unable to sustain livelihoods in the face of climate change to restored ecosystems and landscapes through building community resilience to enhance livelihoods, food and water security of the most vulnerable rural population
The project's outcomes and outputs are presented in the table below.

Table 1: Project Outcomes and outputs

Project Outcomes	***Project Outputs***
Outcome 1: Restored landscapes that support climate resilient agro-ecological systems and livelihoods in Eastern Province	*Output 1.1. Diversified agroforestry packages scaled-up*
	Output 1.2. Woodlots and tree plantations are rehabilitated and sustainably managed for productive and ecological services
	Output 1.3 Scale-up climate resilient silvopastoral packages to restore degraded rangelands
	Output 1.4 Protective restoration measures are scaled up to climate-proof fragile, ecologically sensitive and erosion prone lands
	Output 1.5 Clean and efficient cooking energy technologies promoted through support to private sector and communities to transition/reduce biomass fuel consumption
Outcome 2: Agricultural markets and value chains are climate resilient and reinforce climate resilient ago-ecological systems	*Output 2.1 Farmers' groups strengthened to adopt climate resilient land use practices with access to market and finances*
	Output 2.2 Enhanced climate resilience of value chains and commodities
	Output 2.3 Enhanced financial inclusion and investments in value chains for climate resilient agricultural and tree products
Outcome 3: Local and National institutions and governance mechanisms are with enhanced capacities to implement adaptation measures and manage climate change.	*Output 3.1 Strengthened gender-responsive climate resilience for coordinated cross-sectoral planning & community landscape restoration plans developed*
	Output 3.2 Enhanced and coordinated knowledge and information systems for decision and negotiation support
	Output 3.3 Seed and seedling supply systems enhanced to provide diverse climate adapted species and varieties
	Output 3.4: Evidence from best practices generated and disseminated

The project will focus on the Eastern Province, which is the most vulnerable and drought exposed region of Rwanda. The province covers seven districts namely: Bugesera, Rwamagana, Ngoma, Kirehe, Kayonza, Gatsibo and Nyagatare.

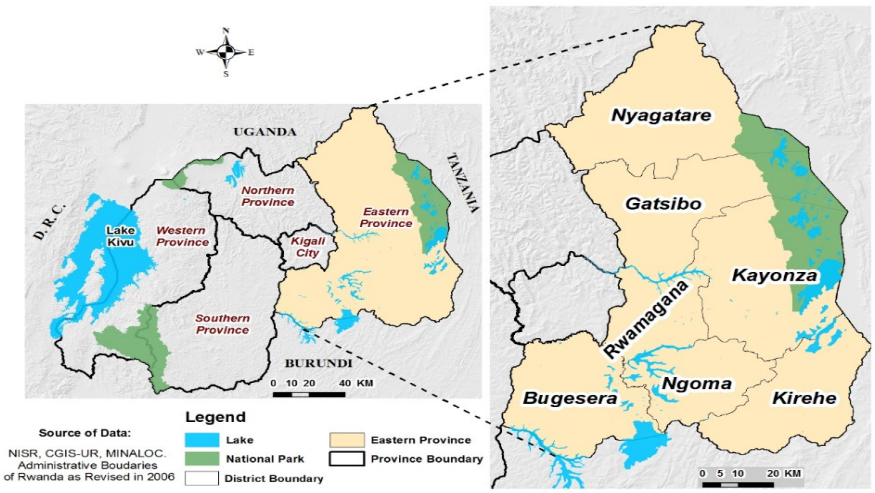

Figure 1: Project Area Map

2.2 Roles in the execution and oversight of the project

The focal Ministry for the project will be the Ministry of Environment (MoE) through Rwanda Forestry Authority (RFA). Previously the Rwanda Water and Forestry Authority, has now been split into the RFA and Rwanda Water Resources Board (RWB). The project will be implemented by the following executing entities: Rwanda Forestry Authority (RFA), IUCN Rwanda Country Office and Enabel (former Belgian Technical Cooperation). The project has also pre-identified the service provider of different outputs including World Agroforestry Centre (ICFRAF), ICCO Cooperation and World Vision Rwanda Office.

As an Accredited Entity, IUCN will oversee the project implementation and be accountable to GCF. IUCN will be responsible for ensuring that appropriate standards are adhered to, including procurement, finance, reporting and monitoring, and environmental and social safeguards. The AE functions will be undertaken jointly by programmes hosted at Headquarters (GEF & GCF Coordination Unit, Global Finance Unit, Global Forest Programme) and the Regional Office for Eastern and Southern Africa (ESARO).

RFA will be responsible in the country for implementation of activities undertaken by different units in the Forestry Department of RFA at central level and by the Agricultural and Natural Resource Unit, Forestry and Natural Resources and Forestry Extension Offices at district level.

Enabel Rwanda office bring the experience of implementing different forest /restoration projects in Eastern province of Rwanda including implementation a sustainable woodlot management plan.

2.3 Rationale for the ESMF

The project is designed to bring about a number of environmental, economic and social benefits through the introduction of restoration and sustainable land-use practices as explained in chapter D.3 of the funding proposal. Environmental benefits include, among other, improved soil conservation and reduction of erosion and sedimentation, improved biodiversity and biological connectivity through agroforestry and silvopastoral systems, improved tree cover and reduction of GHG emissions. Expected social benefits and positive effects on peoples' livelihoods include, among others, enhanced income through productivity gains in agriculture, grazing and biomass production, enhanced income opportunities, reduction of household expenditures for cooking fuel through increased biomass supply and distribution of Improved Cooking Stoves.

Despite this overall positive expected outcome, the ESMS Screening identified some potential unintended social and environmental impacts that might occur if not carefully managed. However, these risks are not expected to result in any significant adverse impact, most of them are considered of minor magnitude, are limited in scale and duration and can be readily avoided, managed or mitigates with known and accepted measures. The Screening further concluded on the need to develop an Environmental and Social Management Framework (ESMF) – herewith presented - as the specific sites (villages/communities) and restoration activities (in the following referred to as sub-projects) will only be decided during the project's inception phase.

The purpose of the ESMF is to serve as guidance for ensuring that the sub-projects – once defined - will be assessed on potential environmental and social impacts and appropriately managed, in line with the requirements of the IUCN Environmental and Social Management System (ESMS) and with the GCF Safeguard policies. The project executing partners and the project management unit (PMU) will follow this ESMF to ensure environmental and social risks of sub-projects are identified and appropriately assessed, and management measures are in place prior to the implementation of the relevant project activities. The ESMF (English version and its translation into Kinyarwanda) will be publicly disclosed via electronic links on the website of the Accredited Entity (IUCN) and the two Executing Entities. The ESMF will also be made public via electronic link in the GCF website, at least 30 days prior to submission of the funding proposal to the GCF Board. The Kinyarwanda version will be made available to local stakeholders in the project area in order to be accessible by local stakeholders and potentially affected peoples.

3. Institutional and regulatory framework for social and environmental matters

This section of the ESMF outlines the existing policies, legislations and institutions and identifies requirements as well as gaps of the relevant legal and institutional arrangements that would hinder or guide the development of the project in line with the applicable national and international laws and, more concretely, with environmental and social safeguards policies and standards of GCF and of IUCN.

3.1 National policies, legislation and institutions

The Republic of Rwanda has developed a series of policy and strategies, legal instruments and institutional framework for environmental planning and conservation and for social protection. The strategies and action plans that reflect the national priorities for Environmental Natural Resources (ENR) sector that are in line with the Rwanda's second phase Economic Development and Poverty Reduction Strategy (EDPRS II), a medium-term framework for achieving the country's long term development aspirations as embodied in Rwanda Vision 2020, and the Sustainable Development Goals (SDGs) priorities.

Since 2003, most of the sectoral legislations on environment and natural resources have been under review, environmental policies and laws have been repealed and new ones enacted in line with the Constitution of 2003. The Republic of Rwanda has acted number of organic law for the protection and conservation of environment. The environmental policies are developed by the MINIRENA, and regulated and enforced by the Rwanda Environmental Development Authority (REMA). The Law on Environmental Protection (08/2005 of 08/04/2005), the Ministerial Order on Environmental Impact Assessments (EIA) (003/2008, 004/2008) and the General Guidelines and Procedure for EIA establish the legal framework for environmental and social impact assessment. The guidelines determine what types of works, activities and projects require an EIA and establish guidance and requirements for screening, impact assessment, mitigation measures, management plan, and consultation. EIAs are reviewed and cleared by Rwanda Development Board (RDB). Rwanda Natural Resources Authority (RNRA) is an authority that leads the management of promotion of natural resources - land, water, forests, mines and geology. It is entrusted with supervision, monitoring and to ensure the implementation of issues relating to the promotion and protection of natural resources in programs and activities of all national institutions.

Rwanda Social Protection Strategy plays an important role in enabling the government to tackle poverty and inequality across the country. The strategy has evolved over time and the Social Protection Sector Strategic Plan (SP-SSP) 2018/19 – 2023/24 has been developed to adjust the strategy for social protection to emerging challenges such as malnutrition, livelihood shocks, existence of extreme poverty.[1] It is built on four pillars of social security, social care services, short term social assistance and livelihood and employment support. These four pillars are grounded in the four guiding principles of Protection, Promotion, Prevention and Transformation. This is critical for the achievement of national and international human welfare thresholds such as the guarantees provided by the Constitution, the United Nations Sustainable Development Goals (SDGs), and international agreements including the Universal Declaration of Human Rights (1948), which identify social protection as a fundamental human right for all citizens.

3.2 Gap assessment

This chapter provides a comparison of the environmental and social safeguards policies and standards of GCF and IUCN's Environmental and Social Management System (ESMS)[2] and relevant policies of the Government of Rwanda (GoR) – as relevant to the project. Where gaps are identified, measures are recommended how the project will fill the gaps or ensure stronger protection.

[1] NST-1 Social Protection Sector Strategic Plan (SP-SSP) 2018/19 – 2023/24
[2] Available at www.iucn.org/esms

Table 2: Comparative table of GCF, IUCN and Government policies related to environmental and social safeguards, gaps and recommendations

GCF	IUCN ESMS Procedures and Standards	Policy Government of Rwanda (GoR)	Gaps and recommendations
PS1: Assessment and management of environmental and social risks and impacts	• ESMS Manual providing an integrated methodological approach to identifying and managing environmental and social impacts and opportunities and to ensure appropriate stakeholder engagement. • Selection of measures based on mitigation hierarchy using four stages: (i) screening of impacts; (ii) scoping and assessment of impacts; (iii) development of environmental management plans, and (iv) monitoring and review. • **Stakeholder engagement and Grievance mechanism** established as ESMS principles; Stakeholder particiation and consultation as well as disclosure of information is further guided by the Guidance Note on Stakeholder Engagegement[3]; requires detailed procedures for capturing affected peoples' concern through an effective grievance mechanism	The Law on Environmental Protection (08/2005 of 08/04/2005), the Ministerial Order on EIA (003/2008, 004/2008) and the General Guidelines and Procedure for EIA provide an adequate legal framework for environmental and social impact assessment. It includes the list of works, activities and projects that need to undertake an EIA as well as guidelines for screening, impact assessment, mitigation measures, management plan, and consultation. The activities proposed by the project do not require an EIA.	The national law and respective EIA regulation focus primarily on projects where major risks are expected. In order to ensure that also minor and moderate environmental and social risks are identified – in adherence with IUCN and GCF policy - the project will put in place an explicit screening and risk management procedures that each of the sub-projects will undergo.
	ESMS Questionnaire provides for identifying social and environmental risks including risks for **vulnerable groups**, of violating **human rights,** of **discrimination** and **gender risks** (including gender-based violance)	The 2003 post genocide constitution prohibits all forms of discrimination based upon ethnicity, while guaranteeing all people equal rights.[4] The legal/ regulatory system is considered robust and promotes decentralized planning, implementation and social accountability. The Social Protection Sector Strategic Plan aims at safeguarding the needs of vulnerable households. The Ministry of Local Government and the National Institute of Statistics of Rwanda (NISR) established the Ubudehe social categorization system which is based on a vulnerability ranking of households established by communities in their area on a scale of 1 to 6 according to their perceived poverty and vulnerability status, with a score of 1 being the most vulnerable and 6 the least. This will provide an appropriate framework for the allocation of benefits.	In addition to ensuring a fair and transparent allocation of benefits using the Ubudehe social categorization system, the project will screen sub-project on potential inadvertent risks to vulnerable groups and groups of different gender (including gender-based violance).

[3] Available at: https://www.iucn.org/sites/dev/files/esms_stakeholder_engagement_guidance_note.pdf

[4] Article 11 of the Constitution states "Discrimination of whatever kind based on, inter alia, ethnic origin, tribe, clan, color, sex, region, social origin, religion or faith, opinion, economic status, culture, language, social status, physical or mental disability or any other form of discrimination is prohibited and punishable by Law".

PS2: Labour and working conditions	Due to the nature of its projects, IUCN does not have a Standard on Labour and working conditions; however, potential risks are identified through a dedicated section in the ESMS Questionnaire for each of these three risk areas including risks of forced labour and of harmful child labour.	Rwanda adopted National Policy and regulations on Occupational Safety and Health as well as labour and working conditions that are consistent with ILO labour standards. This includes provisions to prevent child labour, which are not proportionate to his/her capacity, are harmful health wise (e.g. nocturnal, laborious, unsanitary or dangerous) or constraint his/her education and morality. OHS regulations ensures the screening of safety issues, assessment of work safety during project preparation, design and construction supervision. OSH issues are routinely included into the environmental monitoring process during implementation of agriculture sector programs	As precautionary measure, all sub-projects will be screened on risks related labour and working conditions
PS3: Resource efficiency and pollution prevention	Due to the nature of its projects, IUCN does not have a Standard on Resource efficiency and pollution prevention; however, potential risks are identified through a dedicated section in the ESMS Questionnaire for each of these three risk areas	Not applicable as the project activities do not involve production, management, storage, use, transport or disposal of hazardous materials including pesticides	n/a
PS4: Community health, safety and security	Due to the nature of its projects, IUCN does not have a separate Standard Community health, safety and security but these risks are addressed as social applying the ESMS Screening procedures described in the ESMS Manual (see above). The ESMS Questionnaire includes a dedicated section on Community health, safety and security risks.	Rwanda has developed a National Risk Atlas based on a comprehensive and nationwide assessment of the existing risks with the view of developing comprehensive disaster risk profiles. The Atlas identified and mapped all areas prone to floods and landslides for effective prevention, mitigation and preparedness planning mechanism. In addition, a risk assessment systems for projects has been put in place to identify areas prone to flood and natural hazards, with well-established implementation mechanism. National small dam safety guidelines were developed by MINAGRI.	As precautionary measure, all sub-projects will be screened on community health and safety risks
PS5: Land acquisition and involuntary resettlement	Standard on Involuntary Resettlement and Access Restrictions applies to projects that require (1) resettlement of communities or (2) restricting peoples' access to areas and/or the use of natural resources and such restrictions would negatively impact peoples' livelihoods. Typical activities triggering the standard are establishing use restrictions under formal frameworks (e.g. framework for protected area), strengthening enforcement of resource restrictions, designing or redesigning protected area boundaries. Requirement to assess consequences of resettlement or access restrictions and identify ways to avoid or minimize risk and/or to compensate for any residual	see detailed analysis in the Process Framework	The project does not include any activities that require resettlement or involuntary taking of land. However, there is a possibility that restoration measures in the Akagera buffer zone and in other areas (e.g. roadside and river/lake shore, tree district/state tree plantations) might require access restrictions or strengthening enforcement of existing restrictions. To address potential impacts from access restrictions, a Process Framework has been developed that guides the process of

	impacts. Agreed mitigation strategy should be documented in form of an Action Plan or a Process Framework		identifying risks from access restrictions and development of mitigation measures once the sub-projects have been defined (see annex 5).
PS6: Biodiversity conservation and sustainable management of living natural resources	ESMS Standard on Biodiversity Conservation and Sustainable Management of Living Natural Resources Provisions relevant for the project: • ESIA/targeted assessment and mitigation needed for following risk issues (as per screening): - development of (even small) infrastructure or activities that may cause disturbance to specific elements of biodiversity / areas of high biodiversity value; - introduction or reintroduction of species where risks are identified that species develop invasive characteristics; - harvesting of wild living resources (e.g. NTFP) with risks of unsustainable use of living natural resources or when affecting traditional use systems. • Forest restoration projects need to maintain or enhance biodiversity and ecosystem functionality. • Plantation projects need to demonstrate that they are environmentally appropriate, socially beneficial and economically viable. • Where of biocides are unavoidable need of an appropriate pest management planning process, including risk assessment and disclosure of a Pest Management Plan, where relevant.	The legislation on EIA (see above) includes guidelines on identification and screening of sensitive environmental resources, including survey of environmental baseline information. The national environmental protection system emphasizes the protection, maintenance and rehabilitation of natural habitats through a set of laws, regulations, guidelines and standards. Avoiding such sensitive areas is the top priority of the EIA, and where inevitable, special assessments are mandatory and necessary mitigation or offset measures are to be developed in the environmental management plan. The Law on Governing Biodiversity in Rwanda (Law N° 70/2013 of 02/09/2013) determines modalities for management and conservation of biological diversity in Rwanda with a component on monitoring of the conservation status Rwanda's biodiversity and promoting biodiversity research. It prohibits activities involving the use of invasive species and sets obligation to control such species to minimize harm to biodiversity.	The Interventions supported under the project are expected to have positive impacts on biodiversity. Risks related to invasive species are governed by the national legislation. As precautionary measures, additional guidance will be provided (see table 4 in chapter 5).
PS7: Indigenous peoples	Not triggered by the project	The 2003 post genocide constitution prohibits all forms of discrimination based upon ethnicity, while guaranteeing all people equal rights	Covered by the provisions to pay particular attention to the needs of vulnerable groups (including displaced peoples, those below the poverty line, landless, elderly, women and children).
PS8: Cultural heritage	ESMS Standard on Cultural Heritage • If risks are identified, risk assessment guided by competent professionals with consultation of relevant groups such as local communities, government authorities, relevant civil society organisations, local experts and traditional knowledge holders; • Chance Find procedures • Equitable benefit sharing in cases where use of cultural heritage generates economic and social benefits; • Adherence to FPIC when projects affect cultural heritage to which communities have legal (including customary) rights	Not applicable to the project as the project does not involve any infrastructure work that might affect unknown, buried resources nor does it involve benefit sharing related to cultural resources or access restrictions to such resources.	n/a

4. Potential environmental and social impacts and guidance for mitigation

The project aims to lead to a paradigm shift away from degraded and vulnerable land in the Eastern Province unable to sustain livelihoods to a climate resilient landscape providing development opportunities for smallholder farmers. The intervention is expected to have environmental and social impacts that are overall highly beneficial. 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 environmental or social risks and potentially also a few or moderate impacts given the sensitivity of the receiving environment, the complex demographic and social context and the vulnerability of social groups, including marginalized groups.

The risks cannot be ascertained in more depth at this stage because the exact sites for field interventions will only be determined through a comprehensive, participatory spatial analysis. While the project document has established generic types of interventions, the exact nature of the interventions may change once the sites and specific baseline conditions are known in year one of the project's operation, and as a result of more focused consultations with relevant stakeholders, and in particular with women, marginalized groups and disadvantaged groups.

The generic project activities proposed for implementation have been assessed on potential environmental and social risks. An estimation of the significance of the identified risks has been made based on an estimated likelihood of impacts occurring and the severity/magnitude of potential impacts – following the classification guidance presented in Table 3.

Table 3: Likelihood and impact of planned activities

Description	**Impact (consequence)**		
Likelihood (Lk)	Minor (1)	Medium (2)	Major (3)
Almost Certain (4)	Moderate	High	Very High
Likely (3)	Moderate	Moderate	High
Possible (2)	Low	Moderate	Moderate
Unlikely (1)	Very low	Low	Moderate

Table 4 on the following page summarizes the result of this assessment and provides recommendations for mitigating measures. The table is considered as a preliminary Environmental and Social Management Plan (ESMP). Because the assessment is done without knowing the location of the activities and context-specific details, the table needs to be understood as indicative; its purpose is to provide general guidance for the detailed design of the interventions.

Table 4: Preliminary Environmental and Social Management Plan (ESMP)

Outputs and activities	Potential environmental or social risk issues	Lk[5]	Mg[6]	Significance [7]	Control or mitigation measures (some measures are recurrent and therefore numbered (e.g. M1) to avoid repetition)
O1.1: Diversified agroforestry packages scaled-up					
1.1.1 Identify 100 sub-areas of intervention (400 ha each) for agroforestry dissemination over the Eastern Province	Risk of unjustified preferential treatment when selecting sites and beneficiaries of project services	1	1	Very low	The selection of sites for interventions including for agroforestry dissemination is a done in form of a transparent process, which is described in chapter 6.1. Site selection.
1.1.2 Train 160 farmers groups on agroforestry techniques and establish 160 MoUs with local authorities	Risk of discrimination or unjustified preferential treatment when choosing farmer as promoters/ facilitators and when selecting farmers to participate in training	1	1	Very low	The project uses the FFS approach where farmers are being selected and trained to act as future promoter and trainer for other farmers. Through this multiplication approach, the project will be able to transfer knowledge and information to a large number of farmers. Farmers will be organized in 160 innovative platform to facilitate effective transfer of information and knowledge and each farmer promoter/facilitators will supervise between 20-30 sub-unit's farmer leaders, which will supervise each 10-20 farmers.
	Risk of excluding gender groups through design of training measures (e.g. timing of training, composition of groups etc.)	1	1	Very low	The FFS approach will use a gender-sensitive training approach taking needs and conditions of people from different gender into consideration.
1.1.3 Establish and sustain one agroforestry/ fruit trees nursery in each of the 100 sub-areas of intervention	Adverse social impacts risks related to the acquisition of land for the nurseries	1	1	Very low	Nurseries will be either established on public land or on private land. The first evidently does not require acquisition. For the latter it is common practice in Rwanda that for infrastructure that will provide benefits for land owners, a local agreement is signed with the land owner on a voluntary basis and with transparent condition (e.g. including preferential access to services). The project will follow this practice. Also, as the siting of nurseries is not dependent on specific locations, there is no need for compulsive action. Nurseries will only be placed in sites where such a voluntary agreement has been obtained.
	Impacts on biodiversity from non-native species with risk of developing invasive characteristics	1	2	Low	Table 20 in the FS[8] lists the species that have been pre-selected for the agroforestry systems and in Annex 1 the FS provides a list of pre-selected tree and shrub species per intervention. This work will be further refined under Output 3.3 which enhances the seed and seedling supply systems to provide diverse climate adapted species and varieties and includes the production of instructive materials on tree selection to control risks related to invasive species. A description of the risk management measures is provided in chapter 5.5.4. This is a recurrent mitigating measure referred to in the following as **M1.**
	Environmental risks due to water use for irrigation of nurseries /abstraction from local sources incl. ground water sources potentially affecting water table. Social risks in case water use crowding out other users.	2	1	Low	Nurseries will not require extensive irrigation, as the species are drought tolerant. The siting of the nurseries will ensure that no areas of high biodiversity value (including wetlands/Ramsar sites) will be affected through water abstraction. It will be ensured that nurseries will not use community water points.
1.1.4 Provide technical assistance to farmers in planting agroforestry/fruit trees and in implementation of agroforestry technologies in their owned parcels	n/a				
1.1.5 Establish and sustain 1 demonstration plot of 1-2 ha in each of the 100 sub-areas	Risk of unjustified preferential treatment in case owner of the plots will receive benefits and as such would benefit from privileged treatment.	2	1	Low	The risk is considered possible but not likely as people selected for demonstration plots are expected to make commitments.

[5] Likelihood: unlikely (1), possible (2), likely (3), almost certain (4)
[6] Magnitude: minor (1), medium (2), major (3)
[7] Significance is a result of magnitude and likelihood as indicated in the risk matrix
[8] FS stands for Feasibility Study

Outputs and activities	Potential environmental or social risk issues	Lk[5]	Mg[6]	Significance[7]	Control or mitigation measures (some measures are recurrent and therefore numbered (e.g. M1) to avoid repetition)
1.1.5 Monitoring, control and evaluation of supported agroforestry areas	n/a				
O.1.2 Woodlots and tree plantations are rehabilitated and sustainably managed for productive and ecological services					
1.2.1 Restore 700 ha of degraded District owned tree plantations and provide technical assistance for their sustainable management	Impacts on biodiversity from non-native species with risk of developing invasive characteristics	1	2	Low	Degraded forests are mostly composed of eucalyptus trees which is an exotic species but very common in Rwanda. To improve productivity and biodiversity of the sites the project will introduce indigenous tree species. The selection of the species is guided by the list of species provided in the FS (**see M1**).
	Risk of impacting vulnerable groups whose livelihood depend on forest resources	3	2	Moderate	District owned forests do not allow individuals to harvest wood or other natural resources. However, as these forests are often poorly managed due to lack of staff and funding, encroachment is common leading to overuse and degradation; addressing this threat is an explicit objective of the project. The project recognizes local peoples' need for resource, in particular fuel wood and therefor its intention is to improve productivity of forest through mixed forest in order to balance demand and supply biomass in a sustainable way. This is further mitigated through the provisions delineated in the Process Framework (see chapter 5.5.1. and Annex 5). This is a recurrent mitigating measure referred to as **M2.**
	Workers engaged in restoration works (workers hired by contractors / forest operators and/or smallholder farmers) exposed to occupational health and safety (OHS) risks including risks related to vehicles or equipment; risk of forest operator not complying with national /international labour laws/standards	1	2	Low	Overall the risk is considered of low magnitude as the works will not involve heavy machinery; notwithstanding, all sub-projects will be screened on OHS risks and general guidance in form of an Health & Safety Plan will be available prior to contracting. The plan needs to include provisions for preventive and protective measures, training of workers, documentation and reporting of occupational accidents, emergency prevention and development of emergency preparedness plan with appropriate response arrangements to emergencies. All agreements with the contractor will require compliance with national labour laws. A comprehensive description of the risk management measures is provided in chapter 5.5.2. This is a recurrent mitigating measure referred to as **M3.**
1.2.2 Restore, in collaboration with RFA and Districts, an area of very degraded State-owned tree plantations and in long-term concession of 10,000 ha of State Forest Management Units and connect them to private market investors	Impacts on biodiversity from non-native species with risk of developing invasive characteristics	1	1	Low	Under this activity the project will not alter the existing species composition (e.g. continue with plant eucalyptus or pine species as these are already there), but instead focus is on effective management of existing poorly managed forests including establishing new markets and long-term buyer relations. While it is recognized that existing species composition includes exotic with impacts on local soil moisture, light availability, fire patterns, nitrogen mineralization rates and soil chemistry, it is not intended to introduce new species but instead the focus will be in improving management practices to restore degraded forests. Where appropriate, restocking by adding new plants will be done. This will not introduce any new species in the forests.
	Risk of impacting vulnerable groups whose livelihood depend on forest resources	2	1	Low	The Forest Management Units (FMUs) are mostly organized as cooperatives composed of smallholders who individually own only very small plots; joining forces as a cooperative allows them to better access the market and to handle larger purchasing orders, including from government (e.g. electrical poll etc.). While this activity is designed to strengthen smallholders and as such create social benefits, social risks for other groups such as vulnerable groups who depend on forest resources for fuel wood or other livelihood needs might be possible. This is mitigated by **M2** (see above)
	Potential conflict between communities who are claiming ownership on the state land	1	2	Low	The risk is considered low risk because the project will carry out spatial mapping of the state forest land in an open and transparent way through community meetings; this will involve recording any existing land title of all adjacent land owners and achieve common agreement on boundaries. Such community land consultation meetings are common practice in Rwanda; they have proven effective for preventing or solving potential disputes over land ownership.

Outputs and activities	Potential environmental or social risk issues	Lk[5]	Mg[6]	Significance [7]	Control or mitigation measures (some measures are recurrent and therefore numbered (e.g. M1) to avoid repetition)
	Workers engaged in restoration works (permanent staff and workers hired by contractors) exposed to occupational health and safety (OHS) risks including risks related to vehicles or equipment; risk of forest operator not complying with national /international labour laws/standards	1	2	Low	see **M3**
1.2.3 Restoration, in collaboration with smallholders, the area of 6,545 ha of very degraded private tree plantations and their sustainable management under private FMUs according to approved SFMPs	Potential risk of discrimination or preferential treatment when selecting the FMUs that will benefits from project services and resources.	2	1	Low	The risk is considered possible but not likely as people participating in these restoration measures need to make a commitment for land restoration. Also, the selection of sites is organized as a fair process guided by transparent criteria (see prioritization process described in chapter 6.1)
	Impacts on biodiversity from non-native species with risk of developing invasive characteristics	1	2	Low	See **M1**
	Workers engaged in restoration works (workers hired by contractors / forest operators and/or smallholder farmers) exposed to occupational health and safety (OHS) risks including risks related to vehicles or equipment; risk of forest operator not complying with national /international labour laws/standards	1	2	Low	See **M3**
O.1.3. Scale-up climate resilient silvopastoral packages to restore degraded rangelands					
1.3.1 Characterize the climate resilience features of the existing pasture lands	n/a				
1.3.2 Select fodder trees, shrubs, grasses, and herbaceous legumes with high drought resilience potential to increase the climate adaptive capacity of the pasture lands	Impacts on biodiversity from non-native species with risk of developing invasive characteristics	1	2	Low	Because of the difficulty of finding native species that can serve as fodder while displaying strong climate resilience features, it is quite likely that non-native species will need to be introduced. The introduction will be guided by ICRAF who, based on comprehensive research and tests in the Eastern Province of Rwanda, suggest the use of drought resistant fodder trees such as leuceana diversifolia, Leuceana tricandra, Leuceana palida, Calliandra calothyrsus and Vernonia amydhalina. None of them have known invasive characteristics.
1.3.3 Purchase and disseminate agroforestry fodder trees, improved grasses and herbaceous legumes to improve grazing land and build resilience of degraded lands	Potential risk of discrimination or preferential treatment when distributing tree seedlings	1	1	Very low	Risk considered very low as the dissemination of tree seedlings will take the Ubudehe social categorization into consideration, established by the Ministry of Local Government and the National Institute of Statistics of Rwanda (NISR). Communities periodically rank the households in their area on a scale of 1 to 6 according to their perceived poverty and vulnerability status, with a score of 1 being the most vulnerable and 6 the least. This will ensure that the social status of the target group is appropriately taken into consideration.
1.3.4 Organize Training of Trainers (ToT) sessions per year for lead farmers on management grazing lands for climate resilient pasture productivity	Potential risk of discriminating gender groups	1	1	Very Low	The risk is considered very low as the training materials are per design gender-sensitive and tailored on management of trees, manure composting and enhanced rangeland productivity
1.3.5 Assess water availability and rainwater potential harvesting in 60 pastures and purchase 60 water tanks of 5000 m3 and construction of 60 water trough to reduce drought stress for the livestock	Potential risk of discrimination or preferential treatment when distributing water tanks and constructing troughs.	2	1	Low	The risk is considered possible but not very likely as there are only very small and demarcated pasture areas with a relatively small number of pastoralists. As with 1.3.3 any provision of services or goods will be guided by the Ubudehe social categorization system to ensure that the social status of the target group is appropriately taken into consideration.

Outputs and activities	Potential environmental or social risk issues	Lk[5]	Mg[6]	Significance [7]	Control or mitigation measures (some measures are recurrent and therefore numbered (e.g. M1) to avoid repetition)
	Potential community health and safety risks related to works in relation to the construction of water infrastructure (water troughs, installation of water tanks, construction of 5000 m3 dams)	2	2	Low	The risk is considered possible but not very likely because water infrastructure to be built by the project will be of small size. Nevertheless control measures are provided in chapter 5.5.3
	Potential occupational health and safety (OHS) risks related to works in relation to the construction of water infrastructure	2	2	Low	The risk is considered possible but not very likely because water infrastructure to be built by the project will be of small size. Nevertheless control measures are provided in chapter 5.5.2
1.3.6 Conduct capacity building workshops for 30 leaders farmers, 7 government extension staff, 7 church leaders and 7 local authorities in charge of development in 7 districts	n/a				
O.1.4. Protective restoration measures are scaled up to climate-proof fragile, ecologically sensitive and erosion prone lands					
1.4.1 Restore 700 ha of lake/river shorelines and 700 km roadside through tree/shrub planting and participatory management	Impacts on biodiversity from non-native species with risk of developing invasive characteristics	1	2	Low	See **M1**
1.4.2 Restore and protect 400 ha of Akagera Buffer zone through tree/shrub planting and implementation of participatory silvopastoral plan	Risk of affecting vulnerable groups whose livelihood depend on biomass resources from the buffer zones	2-3	2	Moderate	The risk is considered possible to likely, this will vary between the specific sites. The buffer zone is severely degraded because of some illegal harvesting of forest products and due to a lack of law enforcement. Human wildlife conflicts were prevalent in the past as the buffer zone was used for cattle grazing. This has stopped largely with the installation of electric fences. The project already **integrates strategies for risk mitigation** under activity 1.4.2 by facilitating the participatory design and implementation of 20 silvopastoral plans for buffer zone and neighbouring ranches. The intention is that these plans will designate areas in the buffer zone for wood/fodder production and beekeeping and as can mitigate impacts from resource restrictions. The development of the plans involves all relevant actors, including community members and local leaders, and the plans are validated in community meetings. In addition, the project will provide employment opportunities through contracting forest operators to produce tree seedling and ensure their planting in the buffer zone. Gender attention will be given for the labour employment (at least 50% of manpower should be women. The risk is further mitigated through the provisions delineated in the Process Framework (see chapter 5.5.1. and Annex 5).
	Security risks for local communities from inappropriate law enforcement practice in the park and buffer zone	2	2	Low	Akagera National Park is jointly managed by African Parks Network, a non-profit conservation organization, and the Department of Tourism and Conservation under the Rwanda Development Board (RDB). The park has an effective system for law enforcement in place. While poaching was common in the past, including for sustaining family alimentation, in particular after resettlement of repatriated refugees returning from Uganda and Tanzania, this has changed drastically through effective community involvement and due to the many benefits communities are realizing from the park (e.g. employment, revenues, investments in community infrastructure). Regulations and law enforcement are now well accepted by the communities and communities even support law enforcement through an informal community-led process of reporting potential poachers coming from outside. While the project itself does not involve law enforcement (and this is further established as exclusion principle for the sub-projects, see chapter 5,3), for precautionary reasons, the potential of conflicts related to law enforcement should still be monitored.

Outputs and activities	Potential environmental or social risk issues	Lk[5]	Mg[6]	Significance [7]	Control or mitigation measures (some measures are recurrent and therefore numbered (e.g. M1) to avoid repetition)
	Impacts on biodiversity from non-native species with risk of developing invasive characteristics	1	2	Low	See **M1**
	Workers engaged in restoration works (workers hired by contractors / forest operators and/or smallholder farmers) exposed to occupational health and safety (OHS) risks including risks related to vehicles or equipment; risk of forest operator not complying with national /international labour laws/standards	1	2	Low	See M3
1.4.3 Provide technical support to 3 local nurseries in production of selected climate resilient multipurpose trees/shrub seedlings	n/a				
1.4.4. Provide technical assistance to Districts to perform monitoring and evaluation of restored areas under protection integrating climate resilience	n/a				
O.1.5. Clean and efficient cooking energy technologies promoted through support to private sector and communities to transition/reduce Biomass fuel consumption					
1.5.1 Conduct a large scale and intensive awareness campaign across the Eastern Province on ICS and cooking fuel solutions and opportunities	n/a				
1.5.2 Support access to ICSs for over 100.000 rural Households of EP	Risk of unjustified preferential treatment and elite capture in the distribution of the ICSs (e.g. per credit or subsidy).	1	1	Very low	The risk is considered low as like 1.3.3 any provision of services or goods will be guided by the Ubudehe social categorization system – meaning that the distribution of the ICS(e.g. subsidy or microcredit) will take the social status of the households into consideration. This will ensure achieving minimum concessionality and maximum fairness and transparency.
1.5.3 Establish "Cooking fuel and technology" hubs in 14 main local markets of TREPA intervention areas	n/a				
1.5.4 Provide feedback into enabling environment activities supporting the shift from traditional cooking to clean ICS and fuels	n/a				
O.2.1. Farmers' groups strengthened to adopt climate resilient land use practices with access to market and finances	The screening did not identify any impacts for the activities under this output. Individual activities are therefore not listed.				
O.2.2 Enhanced climate resilience of value chains and commodities					
2.2.1.Tree crop value chain development (community-managed tree seed enterprises established to secure the continued supply of quality seeds).	Impacts on biodiversity from non-native species with risk of developing invasive characteristics	1	2	Low	See **M1**
2.2.2 Bee product value chain development	n/a				
2.2.3 Fodder value chain development (development of sustainable business models and establishing livestock feed and	Risk of economic displacement through crowding out use of agricultural land for subsistence purpose (crops for food)	1	1	Very low	There is no economic displacement induced by this activity, as it will be implemented in existing small holder private farms.

Outputs and activities	Potential environmental or social risk issues	Lk[5]	Mg[6]	Significance[7]	Control or mitigation measures (some measures are recurrent and therefore numbered (e.g. M1) to avoid repetition)
fodder landscape restoration enterprises with an emphasis on involving youth and women)					
2.2.4 Building local capacity and knowledge for climate resilience in value chains	n/a				
2.2.5 Establish/rehabilitate seven Rural Resource centers and market infrastructures for value chains for climate resilient agricultural and tree products	no risks identified as it does not entail construction of centre, only technical support and equipment				
2.2.6 Trade fairs and business roundtables connecting farmers with other value chains actors for marketing products based on climate-resilient land use	n/a				
2.2.7 ICT supported climate risk, market information and knowledge products for value chains	n/a				
O.2.3 Enhanced financial inclusion and investments in climate resilient value chains	The screening did not identify any impacts for the activities under this output. Individual activities are therefore not listed.				
O.3.1. Strengthened gender-responsive climate resilience for coordination cross-sectoral planning & community landscape restoration plans developed	The screening did not identify any impacts for the activities under this output. Individual activities are therefore not listed.				
O.3.2. Enhanced and coordinated knowledge and information systems for decision and negotiation support	The screening did not identify any impacts for the activities under this output. Individual activities are therefore not listed.				
O.3.3. Seed and seedling supply systems enhanced to provide diverse climate adapted species and varieties.	The screening did not identify any impacts for the activities under this output. Individual activities are therefore not listed.				
3.3.1 Integrate climate change aspects in policies and strategies for the seed sector and develop business models to promote climate resilient varieties	n/a				
3.3.2 Prepare climate informed maps and information portal for habitat suitability for up to 100 climate resilient tree and crop species in Rwanda	n/a				
3.3.3 Design and establish a national-level breeding programme for up to 25 climate resilient priority species of fruit, food, fodder and timber species	Risks of non-native species developing invasive character	1	2	Low	A description of the risk management measures is provided in chapter 5.5.4. This is a recurrent mitigating measure referred to in the following as **M1.**
3.3.4 Conduct 12 trainings for six multi-agency working groups on seed-seedlings and climate adaptation	n/a				

Outputs and activities	Potential environmental or social risk issues	Lk[5]	Mg[6]	Significance[7]	Control or mitigation measures (some measures are recurrent and therefore numbered (e.g. M1) to avoid repetition)
O.3.4. Evidence from best practices generated and disseminated	The screening did not identify any impacts for the activities under this output. Individual activities are therefore not listed.				

5. Procedures for addressing environmental and social risks of sub-projects

The project aims to achieve a paradigm shift in land management practices in Rwanda's Eastern Province from landscapes that are degraded, fragile and unable to sustain livelihoods in the face of climate change to restored ecosystems and landscapes through building community resilience to enhance livelihoods, food and water security of the most vulnerable rural population. Actions to support livelihood improvements proposed by the project have been designed to target the poorest and most vulnerable people in the Eastern Province. A mutually dependent set of soft and hard measures has been proposed to ensure that resilience at the various levels - household, community, Farmer Forester Producer Organizations (FFPO), and other institutions - is strengthened sustainably. "Soft" measures, which are formulated under outcome 2 and 3, focus on increasing the capacities of communities and FFPOs as well as of officials and institutional systems at the sub-national level. These capacity building activities are designed to support, enhance and sustain the 'hard' investments foreseen under component 1, the small-scale ecosystem restoration and protection measures and basic water infrastructure (rainwater harvesting, water tanks and troughs). As the decisions on these "hard" investments (including selection of sites) are determined only during the project through a comprehensive and participative analytical process, these interventions will be considered as sub-projects and the purpose of this chapter is to establish that procedure for addressing environmental and social risks of these sub-projects. This chapter will therefore focus mainly on the following outputs and their respective activities:

O.1.1 Agroforestry packages are scaled-up on rain-fed farmlands for improved soil and water management
O.1.2 Woodlots and tree plantations are rehabilitated and sustainably managed for productive and ecological services
O.1.3. Scale-up climate resilient silvopastoral packages to restore degraded rangelands
O.1.4. Protective restoration measures are scaled up to climate-proof fragile, ecologically sensitive and erosion prone lands

As demonstrated in Table 4 the outputs and activities implemented under component 2 and 3 have no or only minimal potential negative environmental and/or social impacts. For those that do trigger minor risks, mitigation measures are already provided in the table. The outputs and activities under outcome 2 and 3 therefore do not require any further screening process and are not covered by the procedures described below.

5.1 Sub-project site selection

The project aims at building resilience to the impacts of climate change while advancing equitable social welfare and income generating opportunities, as well as safeguarding the environment. It focuses its actions on vulnerable settlements in seven Districts of the Eastern Province. All areas are a priority area for adaptation as they are highly exposed to climate-induced drought and landslides, as defined by the Ministry of Environment. Underlying vulnerability to those hazards, in the form of poverty, inadequate infrastructure, ecosystem degradation and mismanagement of natural resources exacerbate their impacts and make the population and target area highly vulnerable to climate change.

TREPA project will engage farmers from the livelihood zones:

- RW08 – Bugasera Cassava Zone
- RW09 - Eastern Plateu Mixed Agricultural Zone
- RW10 - Southeastern Plateu Banana Zone
- RW11 - Eastern Agropastoral Zone
- RW12 - Eastern Semi-arid Agropastoral Zone

The determination of the target pilot sites for the actual restoration intervention will be based on the climate vulnerability of the sites based on exposure, sensitivity, and adaptive capacities, state of ecosystem degradation as well as respective physical and socio-economic drivers for degradation. This analysis is guided by the spatial assessment of landscape restoration opportunities following the ROAM approach[9] conducted under Output 3.1. This spatial assessment uses a multi-criteria analysis method of identifying the spatial concurrence of different criteria related to vulnerability, drivers of degradation, opportunities, etc. The draft criteria for selecting the (14-28) landscapes are the following:

- located on critical part of sub-catchments most exposed to drought

[9] IUCN, 2014, A guide to the Restoration Opportunities Assessment Methodology (ROAM), available at https://portals.iucn.org/library/node/44852

- having a high rate of degraded crop/forest lands;
- more exposed to drought and/or to soil erosion due to soil quality /slope;
- having a low tree density (less than 20 tree/ha)
- being in crop/forestry category in the District Land Use Plan.

The final set of priority criteria for selecting the target intervention areas will be defined and agreed by the stakeholder groups that will be engaged in the ROAM process.

The selection of intervention areas at a finer scale is further delineated in table 5 through Area selection criteria. The areas selected for intervention will then be clustered geographically to form the actual sub-projects to be screened on environmental and social risks following the procedure outlined in chapter 5.4. The approach for forming sub-projects is explained in table 5.

While the selection of beneficiaries strongly correlates with the approach for area selection, additional criteria for beneficiary selection will apply. In the first instance the selection of beneficiaries is guided by the mitigation strategy defined in the Access Restriction Mitigation Process Framework which establishes that people whose livelihoods are affected by impacts from access restrictions triggered by the project will be prioritized in accessing project benefits. The Process Framework provides detailed guidance for the identification of project affected peoples (PAPs), for assessing the impacts from restrictions and for the design of mitigation measures (see chapter 5.5.1 and annex 5). In addition to prioritizing PAPs, further beneficiaries selection criteria are described in table 5.

Table 5: Selection of Beneficiaries, Areas and Sub-project Formation

Output	**Activity**	**Beneficiaries selection criteria**	**Area selection criteria**	**How sub-projects are formed** (note: screening is done per sub-project)
1.1. Agroforestry packages are scaled-up on rain-fed farmlands for improved soil and water management	1.1.1: Identify 100 sub-areas of intervention (400 ha each) for agroforestry dissemination over *Eastern Province*.	Guided by the Process Framework as agroforestry packages can mitigate impacts from access restrictions caused by restoration carried out in output 1.2, 1.3, 1.4. Additional criteria: - Live in poverty conditions and their production is below subsistence, which limits their access to financial resources for implementing climate change adaptation measures. - Have less than 1 ha of available land for farming activities (own or rented; they can prove it); - Have limited alternative strategies to cope with agriculture loss due to drought; - Practice family agriculture - Children under 7 with some degree of malnutrition, availability and interest of all household members, - Female headed households will be prioritized.	- Being part of identified priority landscape selected by the ROAM process - Areas of high exposure to drought and water stress;	These activities will largely be clustered around the restoration interventions carried out under output 1.2, 1.3 and 1.4 and as such will be part of the respective restoration sub-projects. There might be interventions that are not geographically linked to restoration sub-projects. However, as these activities are considered low risk (see Table 5 - preliminary ESMP), an explicit screening procedure is not required and hence no need to group them as sub-projects. Although, the mitigation measures established in the preliminary ESMP need to be followed.
	1.1.2: Train 160 farmers groups on agroforestry techniques and establish 160 MoUs with local authorities			
	1.1.3: Establish and sustain one agroforestry/fruit trees nursery in each of the 100 sub-areas of intervention	Being an existing nursery financially viable, or being a strong and well organize local farmer group/cooperative (champion) demonstrating financial capacity and whiling to sustainably manage a nursery	Nursery land with good soil quality located near a water source and near main road of the District (easy access)	
	1.1.4: Provide technical assistance to farmers in planting agroforestry/fruit trees and in implementation of	See 1.1.1 and 1.1.2	See 1.1.1 and 1.1.2	

	agroforestry technologies in their owned parcels			
	1.1.5: Establish and sustain 1 demonstration plot of 1-2 ha in each of the 100 sub-areas	- Being part of the beneficiaries targeted under 1.1 - Being farmer leaders (champion) playing a role of Farmer Field School promotor/facilitator identified and recognize by the community; - Demonstrating the whiling and availability to adopt the good practices and support neighbouring	Land located around the centre of the sub-areas, near the main road (easy access and visibility)	
	1.1.6: Monitoring, control and evaluation of supported agroforestry areas	See 1.1.1 and 1.1.2	See 1.1.1 and 1.1.2	
1.2. Woodlots and tree plantations are rehabilitated and sustainably managed for productive and ecological services	1.2.1: Restore 700 ha of degraded District owned tree plantations and provide technical assistance for their sustainable management	For the concession agreement, the local concessionnaire has to be: - Local forest grower (individual) or cooperative, with experience in woodlot management,; - Where females are well represented (>50%)%); and - Linked to more professionalized wood product value chains.	- Forest owned by District - Forest very degraded with exhausted stump, mark as priority to be restored in DFMP - When possible, being part of the identified priority landscapes selected by the ROAM process	The interventions sites are clustered geographically as sub-projects; sub-projects will not be larger than max 2 sectors as administrative unit.
	1.2.2: Restore, in collaboration with RFA and Districts, an area of 700 ha of very degraded State-owned tree plantations and in long-term concession of 10,000 ha of State FMUs to private investors	For the State FMU concession agreement, the contracted concessionnaire has to be: - A company experienced in sustainable forest management; - Engaged in the wood transformation (saw mill, furniture, etc) and using residues for the production of clean cooking fuel (pellet, etc) - With solid financial viability;	- Forest owned by State - When possible being part of the identified priority landscapes - for the 700 ha to be restored: Forest very degraded with exhausted stump, mark as priority to be restored in DFMP	The interventions sites are clustered geographically as sub-projects; sub-projects will not be larger than max 2 sectors as administrative unit.
	1.2.3: Restoration, in collaboration with smallholders, the area of 6,545 ha of very degraded private tree plantations and their sustainable management	- Small landowners in the project area who have land of less than five (5) hectares each,	- being part of the identified priority landscapes;	The decision about restoration measures are taken by the respective land holder and as such do not trigger the standard

	under private FMUs according to approved SFMPs	- Female landholders and landowners will be prioritized; - Availability and confirmed commitment of land holders	- more exposed to drought and/or to soil erosion due to soil quality /slope; - Forest very degraded with exhausted stumps - Being in forestry category in the District Land Use Plan	on access restrictions. However, it cannot be excluded (though not likely) that the land is used by vulnerable groups living in the vicinity. The interventions sites are clustered geographically as sub-projects; sub-projects will not be larger than max 2 sectors as administrative unit.
1.3. Scale-up climate resilient silvopastoral packages to restore degraded rangelands	1.3.1: Characterize the climate resilience features of the existing pasture lands	no individual beneficiaries	Site selection guided by the ROAM process and by biophysical criteria based on the degradation classification (highest, higher and medium degradation status)	The interventions sites are clustered geographically as sub-projects. The sub-projects will be formed at a landscape level based on the ROAM assessment; it is expected that these will comprise between 1-2 sectors.
	1.3.2: Select fodder trees, shrubs, grasses, and herbaceous legumes with high drought resilience potential to increase the climate adaptive capacity of the pasture lands	no individual beneficiaries	n/a	
	1.3.3: Purchase and disseminate agroforestry fodder trees, improved grasses and herbaceous legumes to improve grazing land and build resilience of degraded lands	- Beneficiaries will be owners of grazing land - Youth and women with grazing land will be given priority - Have to express interests to restore the land	being part of the identified priority landscapes	
	1.3.4: Organize two Training of Trainers (ToT) sessions per year for 30 lead farmers on management grazing lands for climate resilient pasture productivity	- Be an active farmer - Be nominated by other farmers - Preferably literate (can read and write) or otherwise have skills enabling him/her to give back the training to others. - 60% of total number should be female	n/a	
	1.3.5: Assess water availability and rainwater potential harvesting in 60 pastures and purchase 60 water tanks of 5000 m^3 and construction of 60 water trough to reduce drought stress for the livestock	n/a. Pasture will be selected based on periodization of water demands and existing condition of poor access to water	within the identified priority landscapes	

	1.3.6: Conduct twice per year capacity building workshops for 30 leaders farmers, 7 government extension staff, 7 church leaders and 7 local authorities in charge of development in 7 districts	no individual beneficiaries	within the identified priority landscapes	
1.4. Protective restoration measures are scaled up to climate-proof fragile, ecologically sensitive and erosion prone lands	1.4.1: Restore 700 ha of lake/river shorelines and 700 km of roadside through tree/shrub planting and participatory management	Public land, no individual beneficiaries	Site selection guided by ROAM at a higher scale and then by the following criteria: a) riverbanks and lake shorelines: (i.) erosion prone shorelines due to steep gradient that are exposed or have insufficient vegetation cover for soil stabilization; (ii.) shorelines that are subject to illegal activities resulting in high-risk for erosion and shorelines failing; and (iii.) shorelines included in the priority watershed according to the ROAM mapping (conducted under Output 3.1) and having an ecological inter-relation with upstream restoration areas targeted by other Output (such as 1.1, 1.2, 1.3). b) roadside areas: (i.) exposed roadside areas; (ii.) roadside areas with steep gradient; and (iii.) along the roads in priority watershed identified by the ROAM mapping (conducted under Output 3.1) and having ecological inter-relation with restoration areas targeted by others Output (such as 1.1, 1.2, 1.3).	The sub-projects are formed at the landscape level based on the ROAM assessment. It is expected that these will comprise between 1-2 sectors.

	1.4.2: Restore and protect 400 ha of Akagera Buffer zone through tree/shrub planting and implementation of participatory silvopastoral plan	no individual beneficiaries	Site selection guided by ROAM at a higher scale and then by the following criteria: (i.) for silvopastoral activities, within 100 meter buffer on the western border fence, four (4) sites will be selected based on a need analysis; and (ii.) for vegetation planting activities, steep gradient areas that are most degraded within the buffer zone will be selected.	The 4 sites selected for restoration interventions will be considered as one sub-project each. The size of the sites will not go beyond a sector as administrative entity.
	1.4.3: Provide technical support to 3 local nurseries in production of selected climate resilient multipurpose trees/shrub seedlings	Beneficiary selection guided by the Process Framework to allow that the nurseries with their income opportunities can function as mitigation measures	Site selection is guided by the Process Framework	No sub-project formation as screening is not applicable
	1.4.4: Provide technical assistance to the seven Districts to perform monitoring and evaluation of restored areas under protection integrating climate resilience	no individual beneficiaries	Informed by site selection of restoration areas	No sub-project formation as screening is not applicable
1.5. Clean and efficient cooking energy technologies promoted through support to private sector and communities to transition/reduce Biomass fuel consumption	1.5.1: Conduct a large scale and intensive awareness campaign across the Eastern Province on ICS and cooking fuel solutions and opportunities.	no individual beneficiaries	Regional/national scale	No sub-project formation as screening is not applicable
	1.5.2: Support access to ICSs for over 100,000 rural Households of EP.	Guided by Process Framework as access to an ICS can mitigate impacts from access restrictions caused by restoration activities carried out in output 1.2, 1.3, 1.4. Additional criteria for 50% or 100% ICS subsidy: - Being part of farmer's beneficiary's groups targeted by one of action under 1.1 to 1.4;		Screening n/a

		- Being in incomes category group 1 or 2 for 100%, or category 3-4 for 50% - Having paid its 50% contribution for 50% subsidy		
	1.5.3 Establish “Cooking fuel and technology” hubs in 14 main local markets of TREPA intervention areas.	n/a since this will be hubs in local markets	14 local markets within the approved districts markets locations.	No sub-project formation as screening is not applicable
	1.5.4: Provide feedback into enabling environment activities supporting the shift from traditional cooking to clean ICS and fuels.	n/a	Regional/national scale	No sub-project formation as screening is not applicable

5.2 Rapid social analysis

Once the sites for field interventions have been selected, a rapid social analysis will be carried out in each site to establish the social baseline of the communities. This will provide an overview of social groups by describing main social and demographic features such as forms of social differentiation (status, class, wealth or others), language, population density and trends; describe main economic activities, sources of income (including remittances) and livelihood pattern of different social groups; and allow identification of vulnerable groups, in particular those groups who are dependent on forest resources for essential livelihood needs (e.g. fuel wood, NTFP etc.). Data from the Ministry of Local Government and the National Institute of Statistics of Rwanda (NISR) and the vulnerability ranking of households established by communities in their area (Ubudehe social categorization system) will be essential inputs for the analysis.

The rapid social analysis is included in the toolbox that will be applied by the project in the context of the Restoration Opportunity Assessment Methodology (ROAM) (see output 3.1). As such, it will establish the social baseline for each site selected for field intervention, but will also be instrumental for the ESMS screening and provides a starting point for the impact assessment carried out as part of the Process Framework (chapter 5.5.1).

5.3 Exclusion list

The project will not support sub-projects that are categorised by the screening (see chapter 5.4) as high-risk sub-projects. The following list describes activities that are considered high-risk and as such **would be excluded** from being funded:

- Introduction of non-native species where the risk assessment has not ruled out a risk of developing invasive character unless there is a mitigation plan to avoid this from happening;
- Practices that may decrease biodiversity, affect the quality of soils and water, alter the ecosystem functionality or result in significant degradation (biological or physical) or conversion of natural habitats of any type (forests, wetlands, grasslands);
- Unsustainable harvesting of natural resources - animals, plants, timber and/or non-timber forest products (NTFPs) - in critical natural habitats;
- Establishment of forest plantations in critical natural habitats;
- Use of genetically modified organisms (GMOs);
- Activities that may significantly increase GHG emissions, lead to pollution of soil or water bodies or generate significant hazardous waste;
- Activities that involve the use and/or procurement of materials deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international phase-outs or bans, such as ozone depleting substances, polychlorinated biphenyls (PCBs) and other specific, hazardous pharmaceuticals, pesticides/herbicides or chemicals;
- Activities that would result in physical displacement (relocation, loss of residential land or loss of shelter);
- Activities that would lead to increased law enforcement of existing use restrictions to natural resources with a risk of triggering violations of human rights~~;~~
- Physical works including earth works situated in an area where cultural resources (in particular hidden resources) are expected.

5.4 Screening for environmental and social impacts

The purpose of the screening is to understand whether a sub-project might give rise to negative social and environmental impacts and - if risks have been identified - to determine the need for conducting further assessments for better understanding of the risks. Screening also determines whether sub-projects trigger any of IUCN's ESMS Standards and what tools should be used in response.

The screening results in a classification of the sub-project as low, moderate or high risk. A classification as high risk is considered extremely unlikely for the types of activities envisioned under this project and would need to be re-designed to lower the risks because **high risk sub-projects cannot be funded**. The procedure described in the following will therefore not make reference to this category. A sub-project is classified as **moderate risk** if

it includes activities with potential adverse social and environmental risks and impacts, that can be determined with a reasonable degree of certainty, are limited in scale, few if any of them are irreversible, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during project implementation.

The category **low risk** is used for sub-project that are expected to have minimal or no adverse social and environmental risks and impacts, and/or mitigation already devised as part of the implementation strategy (e.g. in form of outputs or activities) and this is expected to appropriately address risks.

The IUCN Project M&E/Safeguards Officer who is trained on safeguard procedures will undertake the screening. The IUCN regional ESMS officer will support him. The ESMS Questionnaire guides the screening, which is included in the ESMS Screening & Clearance Template provided in Annex 2. In its first section, the questionnaire analyses the sub-project on potential environmental or social impacts. By default, it focuses in particular on following risk areas:

- Gender equality and risks including the risk of exclusion of women from consultation processes and the risk of unintended impacts, such as gender based violence (GBV)
- Risks of affecting vulnerable groups
- Community health, safety and security risks
- Labour and working conditions
- Risk of violating human rights
- Resource efficiency, pollution, wastes, chemicals and GHG emissions

The second section of the questionnaire focusses on impact issues related to the four ESMS standards and respective requirements:

- Standard on Involuntary Resettlement and Access Restrictions;
- Standard on Indigenous Peoples;
- Standard on Cultural Heritage;
- Standard on Biodiversity Conservation and Sustainable Use of Natural Resources.

This screening step is concluded by completing the screening rational and risk categorization decision into the respective cells of the Screening & Clearance Template. The document is then considered the Screening Report. **Low risk** sub-projects do not require further assessment or mitigation action. The procedure for **moderate risk** sub-projects is described in chapter 5.5 to 5.7.

5.5 Impact assessment and mitigation measures

If environmental or social risks have been identified by the Screening and the sub-project has been classified as moderate risk project, significance of the identified risks will be analysed by judging the probability and severity/magnitude of the risks and a strategy for risk avoidance or mitigation will be developed. These steps will require consultations with the affected groups and other concerned stakeholders. Depending on the significance of the issues, a targeted risk assessment might be required. Given the size and the nature of the activities, it is not expected that any of the sub-projects will require a comprehensive Environmental and Social Impact Assessment (ESIA) process. The terms of reference of the targeted risk assessment will be established by the IUCN Project M&E/Safeguards officer. He will also establish whether the assessment and the respective report can be undertaken by members of the project team (PMU) or whether external expertise is required. This decision should reflect the level of risks and required technical expertise as well as whether sensitivity of issues might require an impartial and independent view. Complex social issues might require an external social expert.

The consultant / team will first look at measures for avoiding impacts, e.g. through changing the design or siting of the sub-project. For impacts that cannot be avoided, mitigation measures need to be developed. Table 4 in chapter 5 provides already a first guidance on avoidance and mitigation measures. The individual who had been assigned for carrying out the targeted risk assessment (e.g. members of the project team/PMU or external expert) will also be responsible specifying concrete measures for the identified impacts. The measures will be documented in an appropriately-scaled and adequately budgeted Environmental and Social Management Plan (ESMP). The development of the ESMP is supported by the IUCN Project M&E and safeguards officer. A guidance note for ESMP development is available on the IUCN ESMS website[10] and attached as Annex 3.

[10] www.iucn.org/esms

5.5.1 Risk mitigation for impacts from temporary access restrictions (Standard on Involuntary Resettlement and Access Restrictions)

The project is designed to bring about a number of economic and social benefits derived with the introduction of restoration and sustainable land-use practices with positive effects on peoples' livelihoods, including:

- Enhanced agricultural production through increased in crop diversity, climate resilience and productivity leading to reduce exposure to risks of climate change-related crop failure, to improved income and to nutritional and health benefits;
- Improved grazing management in the selected landscapes will contribute to increased livestock health, productivity, survival rates and post-drought recovery;
- Increased ground- and rainwater availability with positive impacts, among other, on livestock productivity and health;
- Resilient production systems through climate-adaptive practices for production, processing and marketing of livestock and agricultural goods;
- Increased forest productivity through sustainable forest management practices raising incomes of landowners while increasing the supply capacity of woody biomass;
- Introduction of Improved Cooking Stove together with increased biomass supply at lower costs reducing households' monthly expenditure for cooking fuel and effort for wood collection;
- Direct and indirect employment opportunities.

The forest management practices are expected to increase the productivity of woodlots and tree plantations and through increased supply capacities bring down costs for woody biomass and as such household expenditures (in particular for cooking fuel). However, for restoration measures to be effective, often temporary restrictions on the use of forest land and resources are required which might affect the livelihood of vulnerable people who are highly dependent on these forest resources and display a low adaptive capacity.

The areas to be restored are (i) degraded District owned tree plantations and (ii) very degraded State-owned tree plantations and in long-term concession of State Forest Management Units (FMU) and (iii) ecologically sensitive ecosystems and erosion prone areas which are under different special protective measures (road side planation, river side plantation, buffer zone of Akagera National Park). Individuals and communities do not have legally recognized rights to use forest products from state-owned areas as determined by the Environment and Water Laws of 2018. And the use rights for the Akagera National Park and surrounding buffer zone are established by Law N°33/2010 and the respective management plans which are developed under the authority of the Rwanda Development Board. However, the Standard is still triggered as it also protects the rights of individuals with customary claims to land, including those that are not legally recognized. As the sites to be restored will only be identified during project implementation, an Access Restriction Mitigation Process Framework (PF) has been developed which is attached as Annex 5. The Process Framework establishes the process by which potentially affected groups/ individuals participate in the identification of potential negative impacts from proposed access restrictions and in the identification of alternative project design to avoid access restrictions and associated negative impacts; it further establishes the need for mitigation measures if avoidance is not feasible, describes criteria for eligibility/ entitlement, and arrangements for implementation and monitoring. It further documents key elements of an Access Restrictions Action Plan.

In this context, it is important to highlight the comprehensive land reform and registration process carried out by the Government of Rwanda over the past 11 years which is internationally recognized as good practice (e.g Ngoga, Thierry Hoza, Rwanda's land tenure reform: non-existent to best practice, 2018). The reform was based on the Organic Land Law No 08/2005 which not only recognizes the rights of persons who own land through written law but also customary rights; and the land registration process also provided for systematic registration of all occupied land (incl. under customary arrangements) and issuance of new land title. Concerted efforts to achieve effective stakeholder consultation as well as the dispute management system, among many other reasons, were considered key success factors. This reform process has significantly increased tenure security in rural areas and it is expected that by having secure access to land it has also contributed to reducing peoples' dependency on natural resources from forest areas. However, the extent of which dependency still prevails depends on a range of factors, including the size of the secured land holdings, additional resource needs of households (e.g. fuel wood, wood for construction purpose, medicinal plants for own consumption or commercialization etc.). This will be analysed as part of the Process Framework.

The Process Framework gives due recognition to the livelihood measures that are already included in the project design such as the dissemination of improved cook stoves, access to training, employment in reforestation activities, providing access to alternative resources (e.g. through designating areas in the buffer zone for wood/fodder production, development of pasture resources, improved access to affordable fuel wood) or

alternative income opportunities (beekeeping, ecotourism), providing infrastructure for enhancing water availability to increase agricultural productivity etc. However, it will need to be ensured that all individuals/groups affected by restrictions have access to these resources / benefits according to their needs, that the measures are considered adequate by them and that they are effective in mitigating impacts from restrictions and avoiding livelihood losses.

5.5.2 Risk mitigation for Occupational Health and Safety impacts from small scale construction activities

The dams being constructed as part of the TREPA project will be small, agricultural, earth dams. As such they do not present the same magnitude of OHS-related risks for project workers as a typical large/masonry dam. However, despite the low magnitude of risk, OHS risks do still exist with relation to the excavation/construction works. Dam height, reservoir capacity and the magnitude of incoming floods are critical factors in deciding on the level of technical expertise required for design, construction, operation, maintenance and decommissioning of dams. Obviously, the greater the dam height, reservoir capacity and incoming flood, the more sophisticated the engineering design skills need to be.

OHS risks during the construction of the proposed dams could include: (i) injury from heavy machinery use, (ii) injury relating to a lack of adequate training on equipment, (iii) respiratory problems from dust/particulate matter.

A Contractor will be procured who will oversee the construction of the dams (as outlined in output 1.3). Following best international practice11 for the safety of small dam construction and operation, responsibility for design and construction supervision may be assigned to a (at a minimum) a junior engineer or technician, preferably one who has had the benefit of at least a short course in dam construction and who will be under the supervision of a senior civil engineer.

The increase in construction workers at the respective sites could be associated with a wide range of social or environmental risks, community tensions or gender-related issues, particularly when the required workforce is significant compared to the total project area population. These may include increased pressure on existing resources and services, inflation, competition for employment, health impacts, workers' accommodation management, and an influx of opportunistic service providers. Given the small size of the dams, the project is unlikely to require a large influx of workers and thus the likelihood of this risk occurring is very low.

For the purposes of the TREPA project, to be qualified for bidding, contractors will be required to adhere to national OHS standards, and to have in place an occupational health and safety management system. The Contractor shall ensure that all workers on the site have PPE of an appropriate standard including: (i) safety eyewear; (ii) safety footwear with steel toe; (iii) high visibility clothing; (iv) long sleeves and long pants suitable for operating environment; (v) safety helmet with provision of sun protection as necessary; (vi) gloves (carried and worn when manual handling); (vii) hearing protection when working in close proximity to noisy equipment. The Contractor shall at all times take all reasonable precautions to maintain the health and safety of the Contractor's personnel. In collaboration with local health authorities, the Contractor shall ensure that first aid facilities are available at all times at the project site, including having a site vehicle available at all times that can be used to transport Contractor personnel to medical facilities.

In addition to the above, a number of methods can be used to collaborate and consult with project workers regarding OHS, and to facilitate an awareness and understanding of, and support for, OHS requirements. These include, for example, inviting project workers to appoint safety officers or representatives, or forming health and safety committees to support collaboration in achieving safety and effective communication of information.

5.5.3 Risk mitigation for Community Health and Safety impacts from small scale construction activities

Vector-borne disease

Vectors are living organisms that can transmit infectious diseases between humans or from animals to humans. Every year there are more than 1 billion cases and over 1 million deaths globally from vector-borne diseases[12], such as malaria, dengue, schistosomiasis, human African trypanosomiasis, leishmaniasis, Chagas disease, yellow fever, Japanese encephalitis and onchocerciasis. Many of these vectors are bloodsucking insects, which ingest disease-producing micro-organisms during a blood meal from an infected host (human or animal) and later inject it into a new host during their subsequent blood meal. Mosquitoes are the best-known disease vector. Others include ticks, flies, sandflies, fleas, triatomine bugs, and some freshwater aquatic snails. The risks of vector-borne diseases can be increased by creating suitable habitats for vector growth and reproduction, and where an existing disease burden already exists.

Stagnant/still water bodies represent a key habitat for vectors such as the above listed insects. As such, the creation of small 5,000m3 dams and water tanks that will hold stagnant water pose the risk of creating habitats

[11] FAO. 2010. *Manual on Small Earth Dams: A Guide to Siting, Design and Construction*. FAO Irrigation and Drainage Paper No. 64. Rome. Available at: www.fao.org/docrep/012/i1531e/i1531e00.pdf.

[12] WHO, 2020, *Vector-borne disease factsheet*. Available at https://www.who.int/news-room/fact-sheets/detail/vector-borne-diseases

and breeding grounds for such vectors, and in doing so, could lead to the spread of vector-borne diseases to the surrounding communities.

An overview of potential vectors (prevalent within the project area), and the associated vector-borne diseases that could result of the construction of small stagnant irrigation ponds/dams, are presented in Table 6 below.

Table 6: Disease Vectors, Diseases and Environmental Drivers

Primary vector	Disease	Environmental driver / Habitat
Mosquitoes: *Aedes* spp.[13]	• Chikungunya • Dengue fever • Rift Valley fever • Yellow fever	Standing, stagnant water in pools, puddles and containers provide suitable breeding habitats for mosquitoes; dams and irrigation scheme
Mosquitoes: *Anopheles* spp.[14]	• Malaria	Standing, stagnant water in pools, puddles, containers, dams and rivers; dams and irrigation schemes
Sandflies [15]	• Leishmaniasis • Sandfly fever (phelebotomus fever)	Deforestation, construction of dams and irrigation schemes
Aquatic snails [16] *Schistosoma* spp.	• Schistosomiasis (bilharziasis)	Pools and slow-moving rivers and streams; dams and irrigation schemes

In order to limit community exposure to vectors, the siting of reservoirs, water tanks, and troughs should ideally be located far away from human habitation/settlements. Local communities and end-beneficiaries of the dams/water tanks should be provided with adequate education and awareness raising as to the risks of vector borne disease. Water tanks/troughs should also be covered when not in use.

If insect (particularly mosquito) populations start to use the reservoirs/dams, water tanks or troughs as a habitat/breeding ground, the community/users of said facilities could look to implement larval control strategies[17]. In addition, the project could provide mosquito nets to households situated close to the proposed water collection areas.

Water-borne disease

As the capture, storage and use of water for irrigation/silvopastoral practices is an element of the TREPA project (under output 1.3), there is a risk of water borne disease being spread through contaminated water (via the proposed dams, water tanks and troughs).

One of the most common pathways for pathogens to enter the human body is from ingestion of, or contact with contaminated water. The main pathways for waterborne diseases in low- to middle-income countries are via the use of partially treated or untreated sewage effluent: (i) where sewage effluent is deliberately used for irrigation in an attempt to conserve freshwater resources, while at the same time adding “cheap” nutrient and organic matter to the soil or growth medium; and (ii) where untreated sewage effluent and excreta wash into reservoirs, dams, rivers or canals and the contaminated water is unintentionally used for irrigation, drinking or washing. The exposure pathways for humans from both these paradigms are via: (i) direct consumption and handling of polluted

[13] Demenou M. WHO. Risk Assessment of Yellow fever Virus circulation in Rwanda. WHO (2014). Available at: https://rbc.gov.rw/IMG/pdf/rwanda_yellow_fever_assessment_report.pdf
[14] Hakizimana E, Karema C, Munyakanage D, Githure J, Mazarati J, Tongren J,Takken W, Binagwaho A, Koenraadt C, Spatio-temporal distribution of mosquitoes and risk of malaria infection in Rwanda, (2018). Available at: https://www.sciencedirect.com/science/article/pii/S0001706X17311026
[15] Sunyoto T, Verdonck K, el Safi S, Potet J, Picado A, Boelaert M (2018) Uncharted territory of the epidemiological burden of cutaneous leishmaniasis in sub-Saharan Africa—A systematic review.
[16] Isabwe A, Ruberanziza E, Mupfasoni D, Ruxin j, Clerinx J, White PT. *POTENTIAL FOR TRANSMISSION OF SCHISTOSOMIASIS IN KAYONZA DISTRICT.* Rwanda Medical Journal (2012). Available at: *http://www.bioline.org.br/pdf?rw120020*
[17] The mosquito larvae are not flying insects. It is easy to find the water collections where they are developing to become the adult mosquitoes that may transmit malaria. Many of the larval control measures are inexpensive; they can be implemented by educating, mobilising and coordinating community members to clean their environment.

water; and (ii) indirect consumption through food irrigated or washed with polluted water and contaminated animal products[18].

Four main types of pathogens are considered to cause harm to humans related to water-borne sources[19]. These include:

- Bacteria: Diarrhoea is the most prevalent type of infection, with cholera the worst form. Typhoid, paratyphoid and other salmonella-type diseases are also caused by bacterial pathogens
- Viruses: The five most important groups of pathogenic-excreted viruses are: adenoviruses, enteroviruses, hepatitis A virus, reoviruses and diarrhoea-causing viruses such as rotavirus.
- Protozoa. Many species of protozoa can infect humans and cause diarrhoea and dysentery. The three most common pathogenic species are: Giardia lamblia, Balantidium coli and Entamoeba histolytica.
- Helminths or parasitic worms: Many of these species have humans as the host, but most do not multiply within the human host. These species often have complex life cycles with different developmental stages occurring in different intermediate hosts, which could be soil, water, plant life or animals

All of the above pathogens have the potential to reach fields and crops, but their survival time outside of the human body is highly dependent on water temperature. At temperatures between 20° and 30° C, the average survival time for viruses can be up to two months.

Intermittent water quality monitoring should occur as part of the general monitoring/maintenance of the proposed small dams. Education and awareness raising should be conducted with the local end-users of the small dams/water tanks and troughs. While the reservoir/dam may seem to be a convenient point for drawing livestock and domestic water supplies, this should be discouraged on health grounds.

Physical safety and risk of drowning

The creation of small dams/reservoirs also poses physical safety risks to the surrounding community, especially to young children. The proposed dams might be up to be 5m deep. As such, there is a risk that children (and to a certain extent other members of the community) could face the risk of drowning if they were to fall into the reservoir.

The dam wall should be fenced, and signs should be provided to warn the public of the particular depth of water in the reservoir. While the reservoir may seem to be a convenient point for drawing livestock and domestic water supplies, this should be discouraged on health grounds. Instead, if supplies are required, the project should include separate drinking troughs for livestock. These measures should remain the responsibility of the dam "owner".

Risk of Dam Failure

While the significance of dam failure, given the small size/capacity of the dams proposed for TREPA, could be considered minor, dam failure does still present a risk with small agricultural earth dams[20], and as such the TREPA project shall ensure that adequate measures/protocols are in place. The main causes of embankment dam failure are:

- overtopping during floods because of an undersized or obstructed spillway;
- inadequate provision for energy dissipation at the downstream end of a spillway;
- "piping" [21] of the embankment or foundations;
- and slope instability as a result of inadequate internal drainage.

Piping has caused a larger number of catastrophic failures of embankment dams than any other cause, apart from overtopping.[22] Many small earth embankment dams have failed on first filling through piping as a result of the use of dispersive soils and/or poor compaction.

[18] IFAD, *Guidance Statement on Community Health and Safety, Agricultural practices*. SECAP (2017). Available at: https://www.ifad.org/documents/38711624/39563079/Social%2C+Environmental+and+Climate+Assessment+Procedures+%28SECAP%29_e.pdf/c3636b68-2f12-404e-b10b-3fc3cb18bc6e

[19] Magana-Arachchi DN, Wanigatunge RP. Ubiquitous waterborne pathogens. *Waterborne Pathogens*. 2020;15-42. Available at: https://www.ncbi.nlm.nih.gov/pmc/articles/PMC7173459/ .

[20] During the twentieth century, there were about 200 notable dam failures resulting in the loss of over 8,000 lives. Of these 200 failures, less than 40 were concrete or masonry dams and the remainder earth and/or rockfill dams

[21] "Piping" is the progressive erosion of concentrated leaks.

[22] Sherard, J.L. et al., 1963. *Earth and Earth-Rock Dams.* Wiley. New York

The project proponent/ ”owner” of the Dam shall produce a maintenance checklist/schedule to ensure protective measures are in place. Measures that could be undertaken include the following:

- Generally minimizing erosion by: (a) establishing and maintaining grass cover on the embankment and spillway; and (b) fencing the embankment, spillway and other sensitive areas to keep livestock and people from establishing paths;
- Preventing the growth of bushes and trees on the embankment; and
- Making ongoing minor repairs of erosion damage.

A periodic inspection plan should also be developed. The inspection plan should assess the integrity of the embankments and appurtenant structures of the small dams on an ongoing basis throughout their operating life to ensure protection of human life and property. These periodic inspections are intended to detect conditions that might disrupt the use/operation or threaten dam safety in time for them to be corrected.

5.5.4 Risk mitigation for impacts on biodiversity (Standard on Biodiversity Conservation and Sustainable Use of Natural Resources)

Impacts on biodiversity are expected to be positive, given the inclusion of a broad array of native and a few non-native tree species of high commercial value in local production systems which will increase biodiversity in terms of both composition and structure. The project will ensure that non-native commercial tree species common in Rwanda are combined with native tree species producing fruits, fodder for livestock, wood and timber to increase on-farm diversity and avoid any undue risks. Local nurseries will produce tree seedlings of up to 50 native and non-native timber and fodder species and grafted common fruit tree species for selection by farmers to plant on their land (0.6-0.8 ha on average). Most of the plant species to be used in the agroforestry systems are commercial species prioritized by farmers which have long been in wide use in Eastern Province and elsewhere in Rwanda. These are mainly native tree species, along with a few non-native species such as Grevillea robusta, Eucalyptus spp., mango, and avocado. Table 20 in the Feasibility Study lists species that have been pre-selected for the agroforestry systems. Annex 1 of the same document provides a detailed list of pre-selected tree and shrub species per intervention.

Notwithstanding the consultations held with farmers during project preparation, each sub-project will be screened on risks related to the use of non-native species. If a risk of the species developing invasive characteristics has been identified, the project will carry out an in-depth risk assessment prior to their use in line with national and international regulations as well as IUCN's ESMS.

The promotion of diversified agroforestry systems will be further refined under Output 3.3 to enhance the supply systems for seeds and seedlings of diverse, climate adapted species and varieties, coupled with the production of instructive materials on tree selection to control risks related to invasive species. It is important to note that the project will not include the use of any genetically modified organisms (GMOs).

5.6 ESMS clearance of sub-projects

Sub-projects that are considered low risk will have already been cleared through the Screening Report already. For moderate risk projects, the IUCN Project M&E / Safeguards Officer carries out a dedicated Clearance step in order to check whether required risks assessments have been completed and reports are adequate and that results have been appropriately incorporated in the design of the sub-project, including through the development of an Environmental and Social Management Plan (ESMP). The ESMS Clearance decision is documented by entering the screening decision and potential conditions into the respective cells of the Screening & Clearance Template. The document will be filed as Screening and Clearance Report.

5.7 Monitoring and supervision of ESMP implementation

All **moderate risk** sub-project will require the implementation of mitigation measures as specified in the sub-project’s Environmental and Social Management Plan (ESMP). The executing entity, which is responsible for the implementation of the respective sub-project, is also in charge of implementing these mitigation measures.

The ESMP Guidance Note mentioned earlier provides a template for reporting progress of implementing the mitigation measures – to be completed by the executing entity according to the frequency established in the ESMP, at least on an annual basis. The executing entities’ ESMP progress reports will be reviewed as part of the supervision mission by the IUCN Project M&E / Safeguards officer. Aside from reviewing implementation progress this step will also involve checking the effectiveness of measures in mitigating risks and screening for additional risks that may have emerged since the sub-project start and whether it is responded with adaptive

management. Depending on the risk issues and their significance, the supervision mission might also include consultation with stakeholders and affected groups to gather feed-back on the effectiveness of measures.

Based on the executing entity's ESMP progress reports and the findings of the supervision mission, the IUCN Project M&E officer will prepare the submission of the Annual Performance Report (APR) on the environmental and social performance of the project to GCF

Sub-projects that are considered **low risk** do not require specific action except regular monitoring of emerging risks.

6. Provisions for stakeholder consultation, disclosure and grievance mechanism

6.1 Stakeholder engagement

Provisions for Stakeholder Engagement and disclosure are described in the project's Stakeholder Engagement Plan. The selection of the sites for actual restoration intervention is determined by the climate vulnerability of the sites based on exposure, sensitivity, and adaptive capacities, state of ecosystem degradation as well as respective physical and socio-economic drivers for degradation. This analysis is guided by the spatial assessment of landscape restoration opportunities following the ROAM approach[23] conducted under Output 3.1. This spatial assessment uses a multi-criteria analysis method of identifying the spatial concurrence of different criteria related to vulnerability, drivers of degradation, opportunities, etc. The final set of priority criteria for selecting the target intervention areas will be defined and agreed by the stakeholder groups that will be engaged in the ROAM process.

Table 5 above further explains how sub-projects will be formed. Depending on the activities to be implemented in each sub-project the project will engage with the beneficiary groups targeted for the respective intervention in order to ensure that the needs and priorities of the different beneficiary communities are addressed. The main beneficiary stakeholders for output 1.1. are smallholder farmers, and the project will engage them through community participatory mapping and geo-referencing to identify intervention sites. Farmers will also be involved when developing the agroforestry interventions options in order to reflect their needs and preferences at the farm, village and landscape level.

For output 1.2 the main beneficiaries are the stakeholders who already own or manage the respective woodlots and tree plantations or who might be interested in a concession. The engagement strategies are the following:

- District forest (activity 1.2.1): As explained in the FP, the project will carry out awareness campaign to encourage local stakeholders to take over district forest concession.
- State-owned forest plantation (activity 1.2.2): The project will support RFA and Districts providing guidance on processes for engaging private stakeholders and companies in long-term concession of 10,000 ha, including cooperatives composed of smallholders who individually own only very small plots;
- Small-holder restoration (activity 1.2.3): Under this activity the project aims to develop a participatory land mapping with the communities to identify blocks of small-holder private lands (on average 40 ha per block, so around 160 groups) which are degraded and/or located in slope-shaped areas most exposed to soil degradation for which restoration is highly required. The mapping will be guided by Forest Sector Extensionists (trained and supervised by TREPA forestry experts) assisted by DFMP software tools and related GPS/tablets, which will provide automatic statistics, maps and register owners. When the list of owners and map of parcels is completed, groups will then be trained and supported (on the job training) in administrative process to establish cooperatives, including election of committee members and elaboration of their internal rules integrating all required elements referring to the respect of SFMPs and to investment/benefit sharing mechanisms (this will be done under output 2.1).

Under output 1.3 the main beneficiaries are the livestock farmer communities. As explained in the FP, the communities will be engaged in characterizing their grazing lands according to the degradation status, identifying tree and grass species that exist on their grazing land, grouping them according to the level of their resilience to climate change and estimating pasture productivity Land will be mapped in categories of high degraded and vulnerable lands to decide which areas need the strongest intervention. Together with the communities sites for

[23] IUCN, 2014, A guide to the Restoration Opportunities Assessment Methodology (ROAM), available at and sign participatory management MoU https://portals.iucn.org/library/node/44852

tree nursery establishment will be identified to be managed by the communities, as well as preferred agroforestry trees and grasses according to livestock farmers' needs.

The engagement approach chosen for the activities under output 1.4. is centred around the establishment of Community Vigilance Committee (CVC), both for the river/lake shorelines and roadsides as well as for the Akagera buffer zone. Communities will be engaged in the participatory scoping and identification, mapping and classification of potential priority river/lake shorelines and roadside requiring restoration. In the buffer zone the project will facilitate the participatory design and implementation of 20 silvopastoral plans for buffer zone and neighbouring ranches. The project will sign management MoUs with the communities. The approach of forming CVCs which has been successfully implemented by RFA/FMBE project in Rwamagana in 2018, will ensure that needs and priorities of the communities are addressed.

A Process Framework has been established to provide guidance for mitigating risks from access restrictions. It includes a dedicated chapter on stakeholder engagement as meaningful stakeholder engagement is considered central in the management of social impacts caused by the restriction of access to resources and land use. Detailed guidance for involving local stakeholders is provided, including in the process of screening the sub-projects, in the assessment of social impacts from access restrictions and the development of mitigation measures, among others. See the Process Framework attached in annex 6 for more details.

6.2 Disclosure

Provisions for disclosure are explained in the project's Stakeholder Engagement Plan. Additional disclosure of documents might be needed and will be decided for each sub-project by the Screening in accordance with the IUCN ESMS disclosure policy and with the requirements of the GCF Environmental and Social Policy and Information Disclosure Policy. Detailed guidance on stakeholder engagement is provided in the IUCN Guidance Note on Stakeholder Engagement.[24] Aside from establishing the IUCN ESMS disclosure policy and guiding principles for stakeholder engagement, the Guidance Note also determines the mandatory procedures for stakeholder engagement along the project cycle and provides respective tools and templates.

Sub-projects that trigger the Standard on Involuntary Resettlement and Access Restrictions require comprehensive engagement with stakeholders and in particular with the peoples affected by restrictions. These procedures and principles of engagement are described in the Access Restrictions Mitigation Framework (Annex 5).

In the case of moderate risk sub-projects (Category B), the ESIA and an Environmental and Social Management Plan (ESMP) will be disclosed at least 30 days in advance of the approving authority's decision. The safeguard reports will be available in both English and the local language (if not English). The reports will be submitted to GCF and made available to GCF via electronic links in both the AE and the GCF's website as well as in locations convenient to affected peoples in consonance with requirements of GCF Information Disclosure Policy and Section 7.1 of (Information Disclosure) of GCF Environmental and Social Policy.

6.3 Grievance mechanism

IUCN has an institution-wide ESMS grievance and redress mechanism in place to address stakeholders' complaints related to issues where IUCN projects have failed to respect ESMS principles, standards, and procedures. The aim of the grievance mechanism is to provide people or communities fearing or suffering adverse impacts from a project with the assurance that they will be heard and assisted in a timely manner. The IUCN Grievance Mechanism Guidance Note[25] describes the system's overall principles, roles and responsibilities, and the processes for lodging grievances, recording or logging grievances, resolving and escalation, providing feedback, and monitoring any agreed corrective actions.

Any community, organisation, project stakeholder or affected group (consisting of two or more individuals) who believes that it may be negatively affected by the executing entity's failure to respect IUCN ESMS principles, standards, or procedures may submit a complaint. Representatives (a person or a local organisation) can submit a complaint on behalf of a community, project stakeholder or affected group. Anonymous complaints will not be considered, however, complainants' identities will be kept confidential upon their written request.

The following requests are **not eligible**:

[24] Available at www.iucn.org/esms
[25] Available at www.iucn.org/esms

- complaints with respect to actions or omissions that are the responsibility of parties other than IUCN and the relevant executing entity under its authority in the context of the project;
- complaints filed:
    - after the date of official closure of the project; or
    - 18 months after the date of the official closure of the project in cases where the complaint addresses an impact resulting from project activities that was not, and reasonably could not have been, known prior to the date of official closure;
- complaints that relate to the laws, policies, and regulations of the country, unless this directly relates to the entity's obligation to comply with IUCN's ESMS principles, standards and procedures;
- complaints that relate to IUCN's non-project-related housekeeping matters, such as finance, human resources and administration because they fall under different mechanisms;

Three-stage process for resolving a grievance

To be practical and cost-effective, resolution of complaints should be sought at the lowest possible level. The IUCN grievance mechanism is conceptualized as a three-stage escalating process as shown in Figure 2. It starts with the executing entity and the affected party reviewing the conflict and deciding together on a way forward that advances their mutual interests (stage 1). 'Deciding together' approaches are often the most accessible, immediate and cost-effective ways to resolve differences.

Figure 2: Three-stage process for resolving a grievance

While recognizing that many complaints may be resolved immediately between the executing entity and complainant, the concern can be escalated to a next higher level (stage 2) if no solution to the complaint is found by contacting the Project Management Unit (PMU) hosted in the IUCN Rwanda Country Office.

If these two stages have not been successful, the complaint can be forward to the centralized IUCN Project Complaints Management System (PCMS) – stage 3. Complainants should explain that good-faith efforts have been made to first address the problem directly with the respective executing entity and then with the PMU office. If the concern is sensitive, the complainant fears retaliation or any other justified reason, the first two stages can be skipped and the complaint can be escalated by the complainant directly to the PCMS. A complaint to the Project Complaints Management System can be submitted by:

- post to IUCN Head of Oversight, Rue Mauverney 28, CH-1196 Gland, Switzerland;
- email to projectcomplaints@iucn.org;
- fax to +41 22 999 00 02 (indicating IUCN Head of Oversight as addressee); or
- telephone to + 41 22 999 02 59.

As this project is funded by the GCF, there is also the possibility of filing a complaint directly with the GCF independent redress mechanism. Further details are provided at https://irm.greenclimate.fund/case-register/file-complaint.

With regards to stage 1 and 2, complaints can be received either orally (to the field staff), by phone or in writing placed in complaints box provided at the project sites or submitted by mail to the PMU or IUCN. A key part of the grievance redress mechanism is the requirement for the executing entity (stage 1), the PMU (stage 2) or IUCN (stage 3) to maintain a register of complaints received. The register also documents the response actions and status (solved/not solved). The executing entities are mandated to submit a copy of the complaint register to the PMU every six months.

All complainants shall be treated respectfully, politely and with sensitivity. Every possible effort should be made by the executing entity to resolve the issues referred to in the complaint within their purview. However, there may be certain problems that are more complex and cannot be solved at the local level. Such grievances will be escalated within ten working days to stage 2 (PMU). The PMU can be assisted by the IUCN Country Office in resolving the complaint. Where also the PMU does not succeed in solving the issue, it will need to be submitted (within 20 working days) to the PCMS where a dedicated complaint review and response mechanism will be triggered. The mechanism including timeline for responses and responsibilities is described in the IUCN Grievance Mechanism Guidance Note.

A template for the complaint is available on the IUCN website and will be translated into the local dialects in the project site and made available it appropriate channels. All complaints received through the PCMS trigger a formal review and response process following the action steps outlined in the IUCN Grievance Mechanism Guidance Note quoted above. In cases where the situation is complex or contentious or the relationship between the executing agency and the complainant is conflictual, the Director PPG will request the investigator to carry out a formal compliance review (including site-visit) to allow for an in-depth investigation of the issues of non-compliance and their root causes and develop a plan for corrective actions.

Local adaptation

In order to ensure that any grievance that may arise is resolved in a manner that will accrue maximum benefits to both the project and affected parties, the following aspects will be taken into consideration in fine-tuning and communicating the grievance redress mechanism to all relevant stakeholder during the project's inception phase:

1. **Publication** – The project will publish the detailed information about the project, the grievance mechanism and ways to submit complaints; in different forms of publication targeting to different concerned parties and widely disseminated through different social media, print, and IUCN and executing entities' websites.
2. **Orientation to the Local Communities** – Different orientation programs will be organised at local level, with an aim to orient local communities about the nature and size of the project and the grievance mechanism.
3. **Stakeholder involvement in ESMP monitoring** – Involving stakeholders and affected groups regularly in ESMP monitoring will serve as an accessible mechanism for the community to articulate concerns before issues are even building up.
4. **Traditional dispute resolution mechanisms (Gacaca, Abunzi etc) –** Where grievances are related to disputes that might arise between local groups or stakeholders (e.g. in relation to competing land rights) or also triggered by the project, the use of traditional resolution mechanism might be effective in solving differences.
5. **Appeal provision** – explaining the form the complainant can appeal against the grievance resolution process if not satisfied with solution provided.
6. **Grievance Box/ Complain Box** – Grievance boxes will be installed at all project sites.

7. Implementation arrangements and budget

The overall supervision of the ESMF implementation is with IUCN's Regional ESMS Officer in accordance with IUCN's role as implementing and supervising agency. The IUCN Rwanda Country Office and more specifically the Project M&E / Safeguards officer who is part of the PMU and in charge of implementing the environmental and social safeguards activities of the project. He does this in close coordination with the lead executing entities for the respective activities (e.g RFA, Enabel and IUCN Rwanda Country Office) – these lead entities are specified in Table 5 (Summary of project activities and institutions which will execute them) of the Full Proposal. The responsibilities of the Project M&E / Safeguards officer in relation to the procedures for identifying, assessing and managing risks of sub-projects have been described in chapter 5. Roles and responsibilities are summarized in the below table 7.

Executing entities RFA, Enabel and IUCN Rwanda Country Office and the identified service providers (ICRAF, ICCO, World Vision) are well equipped with environmental and social professionals who are conversant with environmental and social matters. In the context of the Forest Investment program (FIP) staff of RFA have also received training on environmental and social risk management. IUCN Rwanda Country Office staff is well versed in safeguards and trained in the IUCN ESMS. In order to further enhance capacity on environmental and in particular on social risks a dedicated safeguards training for executing entity staff will be given at inception stage. The training will target PMU staff, service providers /contractors, members of the integrated landscape delivery teams (ILDT) and will enable them to implement and monitor safeguards instruments during program implementation.

Table 7: Roles and responsibilities for risk procedure applied to sub projects

ESMS steps	Applicable for	Responsible entity	Involved entity	Guidance or Template
Safeguards training for projects staff of executing entities (RFA, Enabel IUCN Rwanda Country Office), service providers (ICRAF, ICCO, World Vision) and members of the integrated landscape delivery teams (ILDT)	All sub-projects	International Consultant	IUCN Project M&E/ Safeguards Officer, IUCN global ESMS Coordinator, IUCN Regional ESMS Officer	
Continuous Stakeholder Engagement, management of grievances	All sub-projects	IUCN Project M&E/ Safeguards Officer	Project team / PMU	Project SH Engage-ment Plan and GN SH Engagement[26]
Process Framework implementation	All sub-projects	detailed in Process Framework	detailed in Process Framework	Process Framework
Complete ESMS Questionnaire	All sub-projects	Lead Executing Entity for the respective sub-project	Service provider involved in the respective sub-project, where relevant	ESMS Screening & Clearance
ESMS screening and report	All sub-projects	IUCN Project M&E/Safeguards Officer	IUCN Regional ESMS Officer	ESMS Screening& Clearance
Risk assessment and development ESMP	Moderate risk sub-projects	IUCN Project M&E / Safeguards Officer or consultant (as specified by the screening report)	IUCN Regional ESMS Officer (to provide guidance), Lead Executing Entity for the respective sub-project, service provider (where relevant)	ESMP– Guidance Note & Template
Development of Safeguard tools (action plan access restrictions, pest management plan etc.)	As per screening	Lead Executing Entity for the respective sub-project or consultant (as specified by the screening report)	IUCN Project M&E / Safeguards Officer (to provide guidance), service provider (where relevant)	
ESMS clearance of sub-project	Moderate risk sub-projects	IUCN Project M&E/ Safeguards Officer	IUCN Regional ESMS Officer	ESMS Screening& Clearance
ESMP implementation & report progress	Moderate risk sub-projects	Lead Executing Entity for the respective sub-project	Service provider involved in the respective sub-project (where relevant)	ESMP– Guidance Note & Template
Monitoring & Supervision ESMP implementation	Moderate risk sub-projects	IUCN Regional ESMS Officer	IUCN global ESMS Coordinator	
Effectiveness ESMP (part of project evaluation)	Moderate risk sub-projects	Consultant	IUCN Regional ESMS Officer	

The budget for implementing the ESMF is described in table 8 below.

[26] Available at www.iucn.org/esms

Table 8: Indicative budget for ESMF

ESMS steps	USD	Description
Safeguards training for projects staff and stakeholders	18,000	Fee and travel/DSA international safeguard consultant, travel/DSA for IUCN global ESMS coordinator and IUCN regional ESMS officer
Translation of documents	7,000	Fees translator
Stakeholder Engagement according to SH Engagement Plan (during 6 year) incl. management of grievances	11,000	travel/DSA for IUCN M&E/Safeguards Officer, project team/PMU (as part of their PM role, staff time already considered in project budget), meeting costs (facilities, catering, facilitation, financial support for participants, where needed), reports/publications
Process Framework implementation	35,000	Fee and travel/DSA Consultant(s), meeting costs
Complete ESMS Questionnaire	n/a	Staff time project team / PMU (staff time already considered in project budget)
ESMS screening of sub-projects and report	16,000	Staff time and travel/DSA for IUCN project M&E/ safeguards officer to the site, staff time for IUCN regional ESMS officer (distant support)
Risk assessment and development ESMP	15,000	Fee and travel/DSA Consultant (if required by screening) or travel/DSA IUCN project M&E/ safeguards Officer
Development of safeguard tools, as per Screening	17,000	Fee and travel/DSA Consultant, only when required by screening, travel/DSA for Project team / PMU
ESMS clearance of sub-project	5,000	Travel/DSA IUCN project M&E officer and for regional ESMS officer (distant), for mod. risk sub-projects only
ESMP implementation & report progress	n/a	Project team / PMU, for mod. risk sub-projects only (already considered in project budget)
Monitoring & Supervision ESMP implementation (annual)	25,000	Travel /DSA for IUCN project M&E/ safgeuards officer, regional ESMS officer and global ESMS coordinator
Effectiveness ESMP (part of project evaluation)	n/a	Evaluation is budgeted separately
Total	**149,000**	

Annex

Annex 1: ESMS Screening Report TREPA (included in the submission as Annex 6)
Annex 2: Template for sub-project Screening & Clearance
Annex 3: Guidance Note for ESMP Development
Annex 4: Rapid Social Analysis - Sample Outline
Annex 5: Access Restrictions Mitigate Process Framework

Annex 1 ESMS Screening Report TREPA

(included in the submission as Annex 6)

Annex 2 Template for sub-project Screening & Clearance

ESMS Screening & Clearance Report

The fields below are completed by the project proponent

Sub-Project Title:	
Name and function of staff project lead:	
Expected start date:	
Location:	
Documents submitted at Screening stage:	

The below Screening Report is completed by the IUCN ESMS reviewer(s) after having gone through the ESMS Questionnaire. It summarizes the main findings of the ESMS Screening and represents a consensus between ESMS reviewers.

ESMS Screening Report		**Required assessment topics or management measures/plans**	**Rating of environmental and social risks**[27]		
Environmental and Social Risks (potential negative impacts) *(see section B of the questionnaire for details)*			Likelihood (1-5)	Impact (1-5)	Significance (L, M, H)
Adverse gender-related impacts (including gender-based violence)					
Risks of affecting vulnerable groups					
Risk of undermining human rights					
Community health, safety and security risks					
Labour and working conditions					
Resource efficiency, pollution, wastes, chemicals and GHG emissions					
Risk of project design failing to take climate change into account					
Other environmental or social risks *(add new rows below for each risk)*:					
ESMS Standards	**Trigger**[28]	**Required management measures/plans**	Likelihood (1-5)	Impact (1-5)	Significance (L, M, H)

[27] 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.

[28] The decision of triggering a standard does not mean that safeguard instruments or plans have to be prepared right away. The ESMS Reviewer will specify the consequences of triggering the standard in the respective ESMS reviewer section of the questionnaire in C1-C4. Often plans might be required immediately (prior to project approval), in other cases only at a certain point in time (e.g. plans might need to be complete and accepted before the relevant activity can begin). In cases where the risk issues are less substantive, a plan might not be needed at all and mitigation measures are incorporated into the ESMP.

Involuntary Resettlement & Access Restrictions *(see section C1 of the questionnaire for details)*	☐ yes ☐ no ☐ TBD	☐ Resettlement Action Plan ☐ Resettlement Policy Framework ☐ Action Plan to Mitigate Impacts Access Restriction ☐ Access Restrictions Mitigation Process Framework ☐ Other:			
Indigenous Peoples *(see section C2 of the questionnaire for details)*	☐ yes ☐ no ☐ TBD	☐ Indigenous Peoples Plan ☐ Indigenous Peoples Planning Framework ☐ Other:			
Cultural Heritage *(see section C3 of the questionnaire for details)*	☐ yes ☐ no ☐ TBD	☐ Chance Find Procedures ☐ Other:			
Biodiversity & Sustainable Use Natural Resources *(see section C4 of the questionnaire for details)*	☐ yes ☐ no ☐ TBD	☐ Pest Management Plan ☐ Other:			
Quality of stakeholder consultation during project design so far *(see section D4 for details)*	☐ good ☐ adequate ☐ not sufficient	Required action:			
Project Risk Category:	*The project risk category rates the overall project; it is based on the significance rating established for each E&S risk area and for the ESMS Standards. The overall rating is usually that of the highest risk.*		☐ **low risk**	☐ **moderate risk**	☐ **high risk**
Required assessments and management measures/plans:	☐ Full Environmental and Social Impact Assessment (Full ESIA) ☐ Partial ESIA ☐ Targeted assessment (social assessment, targeted environmental studies etc.)	☐ Environmental and Social Management Plan (ESMP) ☐ Environmental and Social Management Framework (ESMF) ☐ Abbreviated ESMF ☐ Environmental and Social Management System (ESMS) ☐ 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 area

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[29]; 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 a risk area 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 area 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				
		Very unlikely to occur (1)	*Not expected to occur (2)*	*Likely – could occur (3)*	*Known to occur - almost certain (4)*	*Common occurrence (5)*
Impact	*Severe (5)*	Moderate	Moderate	High	High	High
	Major (4)	Low	Moderate	Moderate	Moderate	High
	Medium (3)	Low	Low	Moderate	Moderate	Moderate
	Minor (2)	Low	Low	Low	Moderate	Moderate
	Negligible (1)	Low	Low	Low	Low	Low

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

Step 3: ESMS Clearance of Project Proposal

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

	Name	Date
I ESMS Reviewer Clearance Stage:		
	Title	Date
Documents submitted at Clearance Stage:		

Have findings from the risk assessment or other final steps of project development 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 (assessments or management measures/plans)? 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 project design been adequate? Have results of the consultations been documented (disaggregated by gender, where relevant)? Does this demonstrate how the consultations were used to inform project design?	
Has a **Stakeholder Engagement Plan** (SEP) been developed that describes how the identified stakeholder will be further engaged during project implementation?	
Is the SEP inclusive and provides for active participation of a wide range of stakeholders – particularly women, civil society organizations, indigenous peoples, representatives of the local communities and local groups?	
Are provisions made for monitoring the SEP during project implementation?	
Has a **project-level grievance redress mechanism** (GRM) been established that explains the processes for submitting, resolving and escalating grievances? Is the GRM culturally appropriate, readily accessible for local stakeholders and provide appropriate confidentiality protection?	

Have stakeholders been informed about the GRM?	

CLEARANCE DECISION	
☐ **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.
☐ **Conditionally cleared**	The conclusions above call for improving one or more ESMS action (e.g. assessments) and/or for important re-formulation of management measures/plans. This will lead to the proposal being conditionally cleared; the reviewer will provide guidance on the way forward.
☐ **Clearance rejected**	Essential ESMS provisions have not been complied with, ESMS actions (assessments or management measures/plans) have not been completed, critical management measures have not been incorporated into the project and/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 clearance rejected):	
Clearance conditions (when conditionally cleared) - Explain tasks to be completed during the project:	

Approval ESMS Clearance		
Name	Date	Signature

Annex 1: ESMS Questionnaire

A. Sub-Project summary

To be completed by project proponent *Please summarise the project briefly using no more than one page. The summary can be in form of bullet points. Include goal/objectives, expected results/outcomes, outputs (project deliverables) and in particular the project's main* ***activities****. Please also describe the* ***project sites*** *and the* ***project area of influence***[30]*.*

[30] The project area of influence is the area likely to be affected 1) by direct impacts from project activities, 2) by project partner's activities and facilities that are directly owned, operated or managed by the partner and that are a component of the project, 3) by indirect project impacts (unplanned but predictable activities enabled by the project) or 4) cumulative impacts (incremental impacts added to impacts from other developments).

Guidance on completing the questionnaire

- Answer the questions in the 'Project proponent' column by selecting 'Yes, no, potentially (maybe) or not applicable (n/a)'; 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 indirect impacts such as induced[31], cumulative[32] impacts as well as impacts of associated facilities[33]

	Project proponent		**IUCN ESMS Reviewer**
	Yes,no, maybe, n/a	*Answer question and describe how the project will **assess, avoid or manage the identified risks***	*Comments, additional considerations*
B1: Adverse gender-related impacts (including gender-based violence)[34]			
1. 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? *Note that equality in the process of designing the project is discussed in section D*.			
2. Is there a risk that project activities inadvertently **create, exacerbate or perpetuate gender-related inequalities** or have **adverse impacts** on the situation of women and girls?			
3. Is there a risk that project activities have **adverse impacts** on the situation of women and girls (e.g., livelihood or rights), including **restrictions** on 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?			
4. Is there a risk that the project might aggravate risks of **gender-based violence** (including sexual harassment, sexual exploitation or sexual abuse)? Is there a risk that persons employed or engaged by the project executing agency or through third parties to perform work			

[31] **Induced impacts** refer to impacts on areas and communities from unplanned but predictable activities or developments induced/enabled by the project (incl. impacts that might occur later or in different locations). Example: Equipment intended for species monitoring (camera traps) could be used for law enforcement actions.
[32] **Cumulative impact** means the collective impact of a project's 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.
[33] **Associated facility or activities** means a facility or activity not funded as part of the project but which 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.
[34] IUCN defines Gender-Based Violence (GBV) as any harm or potential of harm perpetrated against an individual or group on the basis of gender. GBV has many expressions, including physical, sexual, psychological and economic, which can be underpinned by legal, social and institutional norms and systems. Examples include but are not limited to: physical assault; sexual violence including sexual exploitation / abuse, forced prostitution and rape; domestic violence; trafficking; early/ forced marriage; female genital mutilation; honour killings; property grabbing; and widow disinheritance.

related to core functions of the project might engage gender-based violence? Have any such incidents been reported in the past?			
Conclusion of ESMS Reviewer on[35]		Estimated likelihood of risks (1-5):	Estimated impact (1-5):
B2: Risk of affecting vulnerable groups[36]			
5. Has the project site been assessed on the **presence** of vulnerable or disadvantaged groups or individuals (including persons with disabilities)? Are their livelihood conditions and needs are sufficiently understood? Please name the groups; ensure that those referred to in the footnote were considered in the analysis.			
6. 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.			
7. Is there a risk that the project might **discriminate** against vulnerable groups with regards to access to resources, services, or benefits provided by the project? *Note that inclusiveness and non-discrimination in the process of designing the project is discussed only in section D*.			
Conclusion of ESMS Reviewer on		Estimated likelihood of risks (1-5):	Estimated impact (1-5):
B3: Risks of undermining human rights			
8. Could the project lead to **adverse impacts on the enjoyment of human rights** (civil, political, economic, social or cultural) of individuals or groups including through measures that reduce the level or effectiveness of the protection of rights by governments and agencies or that weaken the respect of the rights by other stakeholders (e.g replacement of customary authorities and institutions by protected area officials, affecting the traditional systems of political representation, authority and decision-making and therefore the political rights of communities etc.)?		.	
9. Is there a risk that project activities affect individuals or groups in their ability to **fulfill economic and social rights**, i.e. the rights that guarantee the ability of people to meet their basic needs (e.g. health or education, drinking water, productive resources, sources of income, subsistence); consider restrictions in availability, quality of and/or access to services or resources essential to meet the basic needs, in particular for vulnerable groups or individuals, including persons with disabilities?			

[35] Please see guidance given above for estimating the **likelihood** 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 at this stage of project preparation.

[36] Depending on the context **vulnerable groups** could be landless or elderly people, children, ethnic minorities, displaced people, people living in poverty, marginalised or discriminated individuals or groups, among others. Particular emphasis should be given to risks for persons with disabilities which are often overlooked.

10. Is there a risk that project activities lead to a deterioration of **procedural rights**; consider project activities that lead to exclusion of individuals or groups from **participating in decisions** that may affect them (e.g. on natural resource management, land use etc.) or that affect their ability to **access information** that is important for their informed participation?			
11. Is there a risk that activities lead to **unjustified preferential treatment** of individuals or groups in terms of access to resources or services provided by the project; also consider elite capture that might lead to discrimination of vulnerable people, or formal or de facto restriction or exclusion of groups from access to such resources or services[37]?			
12. Is there a risks that project activities contribute to the **discrimination** on the grounds of ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographic origin, property, birth or other status including as an indigenous person or as a member of a minority?			
13. Is there any history of **human rights conflict or injustice** in the project area/s, including evictions and failure to compensate people for their land and/or assets when the protected area was established[38] and is there a risk that the project might perpetuate or aggravate such situations?			
Conclusion of ESMS Reviewer on		Estimated likelihood of risks (1-5):	Estimated impact (1-5):
B4: Community health, safety and security			
14. Is there a risk of increasing exposure of communities to security and safety risks, in particular for vulnerable groups, through direct and indirect impacts when operating in **areas of conflict or post-conflict** (civil war, inter-ethnic conflict etc.) or areas affected by organized poaching, drug cultivation or trafficking, organized crime or trafficking in persons or illegal migration?			
15. Is there a potential risk that the project could inadvertently exacerbate **existing conflicts** or **generate conflicts** within or between communities including through weakening community institutions, disrupting social interactions or the risk of inadvertently escalating personal or communal conflicts and violence?			
16. Will the project support PA management and/or provide support for **law enforcement activities**? If yes, please briefly describe relevant project activities and answer questions a-d. Otherwise, skip to question 17			
a. Which agencies are responsible for law enforcement in the project area? Do they include any community organizations or private companies?			

[37] 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.

[38] In cases of past resettlement processes in the project area/s, the proponent should seek evidence that demonstrate that international good practice was adhered to and appropriate compensation provided.

b. Do park rangers or other law enforcement personnel carry firearms in the course of their duty?			
c. Has there been any conflict between the management of the protected area/s and local people in the last 5 years? If so, what were the causes of the conflict (e.g. poaching, logging, disputes over access rights, artisanal mining)?			
d. Have there been any formal complaints, investigations or press reports relating to law enforcement activities in the project area? in addition to own knowledge of the site, please also conduct a web search and check sites of the OHCHR regional or national office.			
17. Is there a risk of injury or loss of life among people triggered by an increase of **human wildlife conflicts** that may be elicited directly or indirectly from project activities, with particular attention to vulnerable and/or forest-dependent groups? Also consider loss of assets (e.g. crops, livestock) which might escalate conflicts (e.g. retaliatory killing)?			
18. Is there a risk that activities inadvertently affect provisioning and regulating **ecosystem services** including risks of increasing communities' **exposure to natural hazards or disasters** (e.g. by exacerbating floods due to cleared vegetation for project construction or by changing flows into water infrastructure etc.) giving particular attention to current or projected impacts from climate change?			
19. Is there a likelihood that project activities lead to **accidents** and exposure of communities to **hazardous substances**, including accidents involving vehicles and equipment and risks related to infrastructure built by the project, in particular in areas subject to natural hazards (floods, hurricanes, earthquakes, etc.).			
20. Could the project cause or exacerbate community exposure to **health and safety** risks including by triggering **water-**born or -based **diseases** (e.g. through creation of stagnant water bodies, livestock affecting quality of portable water), increasing the spread of other vector-borne diseases or **communicable infections** (e.g. by failure to provide precautionary measures during epidemics or seasonal diseases) or 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):
B5: Labor and working conditions affecting project workers – please see definition for project workers in footnote[39]			
21. Is there a risk that the project would potentially involve or lead to working conditions that do **not meet national labor laws** and regulations and/or are not consistent with International Labor Organization's (ILO) Declaration on the Fundamental Principles and			

[39] 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) individuals engaged by the project in public or **community work programs or as volunteers**.

Rights at Work (e.g. discriminatory working conditions, lack of equal opportunity, lack of clear employment terms, failure to prevent harassment or exploitation, failure to ensure freedom of association etc.)?			
22. Will the project work with local **volunteer** (community patrols etc.) or engage individuals in public or **community work programs**? If so, for what kind of activities?			
23. Are project workers (including **rangers** and community patrols) exposed to the **risk of violence** in the course of their duties (e.g. exposure to armed poachers or to criminal groups involved in drug trafficking)?			
24. Is there a risk that project workers might be exposed to **occupational health and safety** (OHS) risks including risks related to vehicles, equipment or heavy machinery, chemical or biological hazards, exposure to infectious and vector borne diseases? Including rangers or community patrols being exposed to human wildlife conflict or at higher risk to malaria due to long period of exposure. Also consider specific threats to women.			
25. Are there any circumstances in which the project may be involved or implicated in **forced labor** (e.g. any work or service which someone has not volunteered for and is forced to do) or **harmful child labor**[40]? 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. Please consider direct and indirect work relationships established by the project as well as work relationships of project stakeholders, including farmers 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):
B6: Resource efficiency, pollution, wastes, chemicals and GHG emissions			
26. Is there a risk that project activities might lead to releasing **pollutants** (chemicals and other hazardous materials) to the environment due to **routine** or **non-routine circumstances** (e.g. accidental releases) with the potential for adverse local, regional, and/or transboundary impacts?			
27. Is there a probability that project activities cause significant amounts of **waste or waste water** or generate **hazardous waste**? Is there a risk of inappropriate disposal of waste?			
28. Might the project involve the use of **chemicals or other hazardous materials**? If yes, explain how risks are managed. Is there any probability that among them are substances, chemicals or hazardous materials subject to international bans, restrictions or phase-outs due to high toxicity to living organisms, environmental persistence,			

[40] 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.

potential for bioaccumulation, or potential depletion of the ozone layer?[41] Please note that the use of pesticides are covered in the Biodiversity Standard (Section C4).			
29. Will project activities involve or lead to a significant consumption of **energy, water or other resources**? If yes, explain how it will be ensured that resources are used efficiently.			
30. 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):
B7: Climate Change (risks of project design failing to take climate change into account)			
31. Have the historical, current, and future trends in climate variability and change including **climate sensitivity**[42] been analysed in the project area?			
32. Are changes in biophysical conditions in the project area triggered by climate change expected to impact people's livelihoods? Are some groups more **vulnerable** than others (e.g., women or marginalized/ vulnerable groups)?			
33. 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.			
34. 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)?			
35. Explain whether the project seeks opportunities to enhance the adaptive capacity of communities and ecosystem to climate change?			
Conclusion of ESMS Reviewer on		Estimated likelihood of risks (1-5):	Estimated impact (1-5):
B8: Other environmental or social risks			
36. 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:			
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?			

[41] For instance, substances listed under the Stockholm Convention on Persistent Organic Pollutants.
[42] Sensitivity is the degree to which a system can be affected, negatively or positively, by climate-related stimuli. IPCC, 2001

C. Potential impacts related to ESMS standards

C1: Standard on Involuntary Resettlement and Access Restrictions[43]

	Project proponent		IUCN ESMS Reviewer
	Yes,no, maybe, n/a	*Answer question and describe how the project will **assess, avoid or manage the identified risks***	*Comments, additional considerations*
1. 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*
a. Describe the project activities that require resettlement.			
b. Have alternative project design options for avoiding resettlement been rigorously considered?			
2. Is there a risk that the project will involve forced eviction[44]?			
3. 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[45]; **if yes, answer a-h below, if no justify your answer in this row**			
Answer only if you answered yes to item 3			
a. 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,			

[43] 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)

[44] 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).

[45] 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).

medicinal plants, hunting and gathering grounds and grazing and cropping areas.			
b. Based on a thorough analysis of the legal framework regulating land tenure and access to natural resources, 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 who are highly dependent on the land/resource? **If both questions are answered with no, skip to question 4; otherwise continue answering c-h below**			
c. 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, c. Change of quality/quantity of resources a household can access, d. Change in seasonal access to a resource, e. Change in types of assets needed to access resources; 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**			
d. Have strategies been considered to **avoid restrictions** by making changes to project design? If yes, explain.			
e. 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.			
f. 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)?			
g. 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)?			
h. 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).			
4. 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			
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)?*			
Standard triggered? (Yes / No / TBD)		Estimated likelihood of risks (1-5):	Estimated impact (1-5):

C2: Standard on Indigenous Peoples [46]

	Project proponent		**IUCN ESMS Reviewer**
	Yes,no, maybe, n/a	*Answer question and describe how the project will* ***assess, avoid or manage the identified risks***	*Comments, additional considerations*
1. Does the project site[47] overlap with lands or territories claimed by indigenous peoples, tribal peoples or other traditional peoples? **If yes, answer questions a-i**			
2. 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 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			

46The 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

47 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.

moved from their traditional area to the project site to be in or near a protected area for economic reasons.[48]			
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			
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)?*			
Standard triggered? (Yes / No / TBD)		Estimated likelihood of risks (1-5):	Estimated impact (1-5):

48 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.

C3: Standard on Cultural Heritage[49]

	Project proponent		IUCN ESMS Reviewer
	Yes,no, maybe, n/a	*Answer question and describe how the project will **assess, avoid or manage the identified risks***	*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-c below**			
2. 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**			
3. 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?			
4. Will the project restrict local users' **access** to cultural resources or natural features/sites with cultural, spiritual or symbolic significance?			
5. Is there a risk that project activities might affect **in-tangible cultural resources** such as values, norms or practices of local communities?			
6. 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			

49 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.

What are the main gaps with regards to the provisions of the Standard? *What are the main risks and what are the main receptors (groups, resources) 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 are the safeguard tools to be prepared (e.g. Chance Find procedures)? When would these need to be available (complete and accepted)?*			
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**
	Yes,no, maybe, n/a	*Answer question and describe how the project will* ***assess, avoid or manage the identified risks***	*Comments, additional considerations*
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 • 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 value[50]			
2. If there are any project activities proposed within or adjacent to areas high of 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.			
3. Is there a risk of **significant adverse impacts** on biodiversity **outside areas of high biodiversity value**, 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.			

50 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.

4. Is there a risk that the project affects areas of high biodiversity value **outside the project area**, 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.			
5. 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?			
6. 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)?			
7. 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?			
8. Is there a risk that the project affects **water quality** of surface or groundwater (e.g., contamination, increase of salinity) through irrigation/ agricultural run-off, water extraction practices, influence of livestock or other activities?			
9. Will the project involve or promote the application of pesticides, fungicides or herbicides (**biocides**)? Also consider the use of integrated pest management.			
10. Will the project involve handling or utilization of **genetically modified organisms**/living modified organisms?			
11. Does the project promote the use of **genetic resources** from natural habitats (e.g. harvesting, market development)? If yes, explain how the project will avoid **unsustainable harvest rates**? Also explain what are the measures for **access and benefit-sharing** relating to these?			
12. 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?			
13. 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			

What are the main gaps with regards to the provisions of the Standard? *What are the main risks and what are the main receptors (areas, species etc.) 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 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)?*			
Standard triggered? (Yes / No / TBD)		Estimated likelihood of risks (1-5):	Estimated impact (1-5):

Annex 3 Developing and Monitoring an Environmental and Social Management Plan

Developing and Monitoring an Environmental and Social Management Plan (ESMP)

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).

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 colour 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) and reported on as part of annual monitoring.

The annual ESMP Progress Monitoring Table is reviewed by the Accredited Entity agency as part of the periodic project supervision missions.

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	☐ yes ☐ no ☐ TBD	
Indigenous Peoples	☐ yes ☐ no ☐ TBD	
Cultural Heritage	☐ yes ☐ no ☐ TBD	
Biodiversity Conservation and Sustainable Use Natural Resources	☐ yes ☐ no ☐ TBD	

Category	Activities to comply with ESMS policy and provisions	Resources	Implementation Responsibility	Schedule
Disclosure Requirements				
Stakeholder Engagement				
Grievance Mechanism				
Gender Mainstreaming				

Key Social and Environmental Impacts and related Mitigation Measures					
Social & Environmental Impacts[51]	**Mitigation measures[52]**	**Feasibility, effectiveness and sustainability[53]**	**Resources**	**Implementation Responsibility**	**Schedule**

[51] 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

[52] 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.

[53] 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.

New ESMS risks that have emerged					

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

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 Impacts[54]	**Mitigation measures**	**Color coding**	**Describe status of completion,** suggest solutions where problems are encountered	**Early judgement: Does this measure seem effective?**
New ESMS risks that have emerged				

Other ESMS provisions	**Describe status of completion and evidence**	**Outstanding action and timing**
Disclosure		
Grievance Mechanism		
Gender Mainstreaming		
Stakeholder Engagement		

TO BE COMPLETED BY IMPLEMENTING AGENCY (IUCN)	**Date/Name of reviewer:**
ESMP monitoring - main findings:	**Status ESMP** ☐ **on schedule** ☐ **slightly delayed** ☐ **major delays/issues**

[54] Column A and B are copied from the ESMP.

Template 3: Plan for Monitoring Effectiveness of ESMP *TO BE COMPLETED BY EXECUTING AGENCY*					
Mitigation measures	**Indicators** *proving effectiveness of avoidance or reducing impacts*[55]	**Baseline**	**Monitoring methodology**	**Target (mid-term)**	**Target (end of project)**
A	B	C	D	E	F
New ESMS risks that have emerged					

[55] 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).

Annex 4 Rapid Social Analysis – sample template outline

Rapid Social Analysis – sample template outline

Once the sites for field interventions have been selected, a rapid social analysis will be carried out in each site to establish the social baseline. The rapid social analysis should cover the following topics:

- Identification of the 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 vulnerable groups such as landless persons, widows, marginalized groups or displaced people;
- Qualitative description of key socio-economic and cultural features of these groups including:
    - livelihood activities and sources of income (formal and informal, subsistence and commercial),
    - vulnerabilities and causes of vulnerability;
    - risks and challenges faced by social groups, issues of discrimination and marginalization and existing or potential conflicts between or among groups;
- Customary institutions, rules and organizations (e.g. formal structures), including non-governmental organizations, associations and other forms of interest groups;
- Important cultural resources (e.g. burial sites, buildings or monuments of archaeological or spiritual value), natural features with cultural, or spiritual significance (e.g. sacred natural sites, ceremonial areas etc.) and non-tangible cultural heritage;
- Related/relevant projects or developments in the project area that might provide opportunities or trigger negative cumulative impacts;
- Gender-disaggregation of all of the above themes, in particular highlighting differences in roles, practices and knowledge, on rights and power (including influence on decision making) as well as access to and control over resources;

Annex 5 Access Restrictions Mitigation Process Framework

Access Restriction Mitigation Process Framework

Transforming Eastern Province through Adaptation

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1. Introduction

1.1. Purpose of the Access Restriction Mitigation Process Framework

1. This Access Restriction Mitigation Process Framework (PF) was prepared to provide a governing framework as well as guidance for the process of preparation and implementation of Action Plans to Mitigate Impacts from Access Restrictions (AR Action Plans) for subprojects causing adverse impacts on land users due to restrictions on access to resources and land use[56] under the Transforming Eastern Province through Adaptation (TREPA) Project (the Project) in Rwanda. The PF and AR Action Plans aim to ensure adequate, fair and timely mitigation of the impacts of access restrictions (AR) on the livelihoods of economically displaced persons. The Project may involve several subprojects with outputs and activities which may necessitate AR with moderate livelihood impacts, in order to help restore degraded landscapes.

2. The Project will select subprojects in various geographical locations and design their specific project interventions only during its implementation phase, and consequently at the project preparation stage it is not known under which subprojects and project activities access restrictions may be imposed. AR Action Plans for subprojects with AR will therefore need to be prepared once the selection of subprojects and screening for potential AR impacts have been accomplished.

3. Accordingly, the preparation of a Process Framework to guide the preparation of AR Action Plans is required by the Environmental and Social Policy of the Green Climate Fund (GCF), the project donor, and the Environmental and Social Management System of the International Union for Conservation of Nature (IUCN), the Accredited Entity (AE) of the Project.

4. The PF analyzes the applicable legal and policy framework and defines a Project Access Restriction Policy with eligibility criteria and entitlements for displaced project affected persons (PAPs). It sets out procedures for planning and implementation of AR Action Plans for subprojects, including subproject screening, social impact assessment, stakeholder engagement (consultation, participation, disclosure and grievance redress), provision of mitigation measures, monitoring and reporting, as well as the institutional and financial arrangements for access restrictions.

5. This PF was prepared by IUCN and is endorsed by the Ministry of Environment (MoE) through the Rwanda Forestry Authority (RFA). The Executing Entities (EE) of the project, RFA, ENABEL and IUCN-Rwanda, will be responsible for the preparation and implementation of AR Action Plans for subprojects involving AR.

6. This PF complies with the applicable laws of Rwanda, as well as the Environmental and Social Policy of GCF and the Environmental and Social Management System of IUCN. In accordance with the IUCN's ESMS Principle on the Precedence of the Most Stringent Standard, the most stringent standard is given precedence i.e., the safeguard requirements providing stronger protection to project affected persons will prevail.

7. The PF is an integral component of the Environmental and Social Management Framework (ESMF) for the TREPA Project, and the AR Action Plans for subprojects with AR impacts will form part of the Project's Environmental and Social Management Plan (ESMP).

1.2. Project Background

8. Rwanda and especially its Eastern Province are affected by

- vulnerability to climate change impacts on natural resource dependent sectors and communities due to increased frequency and intensity of droughts, floods, and landslides,
- increasing landscape degradation due to non-sustainable land use practices and climate change impacts, and
- a high incidence of poverty, especially among the rural population, which simultaneously is intensified by the impacts of climate change and land degradation, and further exacerbates

[56] "Restrictions on land use" refers to limitations or prohibitions on the use of agricultural, residential, commercial or other land that are directly introduced and put into effect as part of the project. These may include restrictions on access to legally designated parks and protected areas, restrictions on access to other common property resources, and restrictions on land use within utility easements or safety zones. (World Bank, EBRD and Inter-American Development Bank Environmental and Social Policies)

the degradation of landscapes, due to a lack of means and resources enabling sustainable land use practices and livelihoods.

9. In response to these climate change threats, the Project aims at the promotion and adoption of integrated adaptation measures by local land users and other stakeholders in order to enhance the resilience of the landscapes in the Eastern Province, which will sustain agricultural production and enable sustainable growth in the region in a manner that reduces poverty, increases resilience and achieves food security.

10. The **objective** of TREPA is to achieve a paradigm shift in land management practices in Rwanda's Eastern Province from landscapes that are degraded, fragile and unable to sustain livelihoods in the face of climate change to restored ecosystems and landscapes through building community resilience to enhance livelihoods, food and water security of the most vulnerable rural population.

11. This objective will be achieved through the accomplishment of the **outcomes** and **outputs** indicated under Table 1.

Table 1: Project Outcomes and Outputs

Project Outcomes	***Project Outputs***
Outcome 1: Restored landscapes that support climate resilient agro-ecological systems and livelihoods in Eastern Province	*Output 1.1. Diversified agroforestry packages scaled-up (EE: RFA)*
	Output 1.2. Woodlots and tree plantations are rehabilitated and sustainably managed for productive and ecological services (EE: Enabel)
	Output 1.3 Scale-up climate resilient silvopastoral packages to restore degraded rangelands (EE: RFA)
	Output 1.4 Protective restoration measures are scaled up to climate-proof fragile, ecologically sensitive and erosion prone lands (EE: RFA)
	Output 1.5 Clean and efficient cooking energy technologies promoted through support to private sector and communities to transition/reduce biomass fuel consumption (EE: Enabel)
Outcome 2: Agricultural markets and value chains are climate resilient and reinforce climate resilient agro-ecological systems	*Output 2.1 Farmers' groups strengthened to adopt climate resilient land use practices with access to market and finances (EE: IUCN)*
	Output 2.2 Enhanced climate resilience of agricultural value chains and commodities (EE: IUCN)
	Output 2.3 Enhanced financial inclusion and investments in climate resilient value chains (EE: IUCN)
Outcome 3: Local and National institutions and governance mechanisms are with enhanced capacities to implement adaptation measures and manage climate change	*Output 3.1 Strengthened gender-responsive climate resilience for coordinated cross-sectoral planning & community landscape restoration plans developed (EE: IUCN)*
	Output 3.2 Enhanced and coordinated knowledge and information systems for decision and negotiation support (EE: IUCN)
	Output 3.3 Seed and seedling supply systems enhanced to provide diverse climate adapted species and varieties (EE: RFA)
	Output 3.4: Evidence from best practices generated and disseminated (EE: RFA)

12. The Project will focus on the Eastern Province (Figure 1)[57], which is the most vulnerable and drought exposed region of Rwanda.[58] The province covers seven districts namely: Bugesera, Rwamagana, Ngoma, Kirehe, Kayonza, Gatsibo and Nyagatare and an area of 9,813 km² (20% of country's territory). It is characterized by savannah, swamp, and montane ecosystems, as well as pastures and farmland. The Akagera National Park is located on the eastern boundary of the province, neighboring Tanzania. The Eastern Province is the most populated in Rwanda with an estimated population of 3,051,454 or 24% of the total population, which was estimated at 12,663,116 in 2020.[59]

[57] Selection of the Eastern Province is based on the following criteria: (1) contribution of the region to agricultural production and food security; (2) high social and ecological vulnerability to climate change; (3) very high exposure to climate risks such as droughts; (4) high poverty and malnutrition levels; and (5) high levels of land degradation.
[58] REMA, 2015. Baseline Climate Change Vulnerability Index for Rwanda. Rwanda Environment Management Authority, Kigali, 2015.
[59] Projection based on National Institute of Statistics for Rwanda, 2014.

One third or 37% of the population of the Eastern Province lives in poverty and 15% in extreme poverty. Table 2 provides an overview of the province's population and ecosystems.

Figure 1: Map of the Eastern Province of Rwanda

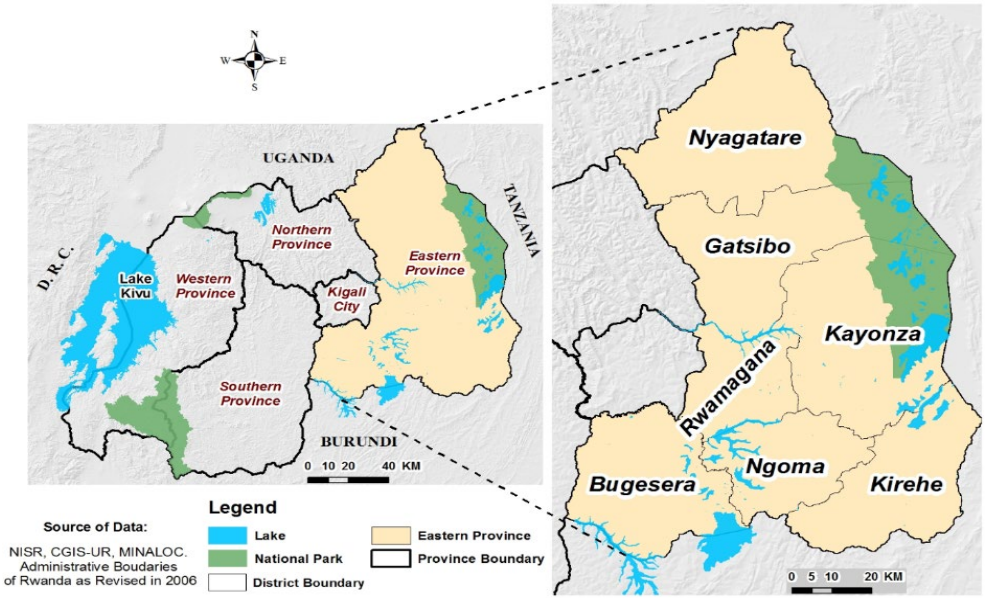

Table 2. Population and Ecosystems in the Eastern Province of Rwanda

District	Population	Ecosystems
Ngoma	396,086	The Eastern Plateau (1200-1500m altitude) largely comprises ecosystems where natural vegetation is rare and was gradually replaced by human activities. They include farmlands, some wetlands with a limited number of marshlands used for agriculture and few gallery forests and forest plantations. It rains between 950-1050 mm/year.
Gatsibo	509,049	
Rwamagana	368,498	
Nyagatare	547,649	Eastern Savannah (below 900m altitude) comprises farmlands, pasturelands, numerous wetlands and semi-arid ecosystems, where the prevalent natural plant species are thorny shrubs and trees, especially Acacia spp. and herbaceous plants characteristic of dry lands.
Kayonza	404,584	
Kirehe	400,130	
Bugesera	425,459	Bugesera (900-1200 m altitude) is an area whose colonization by humans is relatively recent and was largely covered by natural forests. It is characterized by arid and semi-arid areas, numerous lakes and swamps that cover an estimated 10,635 ha.

2. Scope of Impacts from Access Restrictions

13. As indicated above, the Project will select subprojects, design their specific project interventions and screen for potential AR impacts only during its implementation phase, once restoration plans for the seven districts of the Eastern Province have been developed and the respective subproject sites have been identified. Consequently, at the project preparation stage it is not yet known under which subprojects and project activities access restrictions may be imposed, how many persons may be affected and what type of impacts may occur. Therefore, only the more likely outcome, outputs, and activities which may cause potential AR impacts under a subproject can be tentatively indicated.

14. The planned restoration of (i) degraded District and State-owned tree plantations, and of (ii) protected sensitive ecosystems and erosion prone areas, including lake and river shoreline and roadside plantations and the buffer zone of the Akagera National Park, may require the restriction of

access to resources and land use or the strengthening of the enforcement of existing restrictions to allow for the regeneration of existing vegetation and the growth of planted seedlings.

15. However, it is likely that some of these sites are sought by **vulnerable people** to gather natural resources for livelihood purposes. As shown above, 37% of the population in the Eastern Province live in poverty and 15% in extreme poverty and it is considered likely that due to extreme poverty, resources gathered from forests and other sensitive ecosystems constitute an important part of vulnerable persons' livelihood assets. As the duration of restrictions may range between 2 to 3 years for forage, 3-5 years for fruits and up to 20 years for wood, impacts on vulnerable groups might be considerable, as these often display low adaptive capacity and lack alternative means and resources.

16. Among the resources and livelihood activities most likely to be affected by AR in protected areas are gathering and/or cutting of firewood, timber, rocks and sand for construction, medicinal plants, fruits, bamboo, honey, and food plants, as well as hunting and grazing. These can be used for home consumption and/or sale, as well as ritual practices including weddings, funerals and religious events.

17. Table 3 indicates potential access restriction impacts due to outputs and activities under **Outcome 1**. Impacts due to the imposition of AR under Outcomes 2 and 3 are not expected due to the nature of these activities, which do not involve material interventions on land and within ecosystems but constitute activities enabling the restoration of landscapes and transformation of land use practices under Outcome 1.

Table 3: Potential Access Restriction Impacts under Outcome 1 (*Restored landscapes that support climate resilient agro-ecological systems and livelihoods in Eastern Province)*

Outputs and activities	Potential risks and impacts	Significance of impact			Specification
		Likelihood[60]	Magnitude[61]	Significance[62]	
Output 1.2: *Woodlots and tree plantations are rehabilitated and sustainably managed for productive and ecological services*					
Activity 1.2.1: Restore 700 ha of degraded District owned tree plantations and provide technical assistance for their sustainable management	Economic displacement[63] of vulnerable groups whose livelihoods depend on timber and non-timber resources	3	2	Moderate	District owned forests do not allow unlicensed individual land users to harvest wood or other natural resources. However, as these forests are often poorly managed due to lack of staff and funding, non-titled land and resource uses, especially by poor and vulnerable households, are common and can lead to overuse and degradation.
Activity 1.2.2 Restore, in collaboration with RFA and Districts, an area of very degraded State-owned tree plantations and in long-term concession of 10,000 ha of State Forest Management Units and connect them to private market investors	Economic displacement of vulnerable groups whose livelihoods depend on timber and non-timber resources	2	1	Low	The Forest Management Units (FMUs) are either organized as cooperatives composed of smallholders who individually own very small plots or are private companies; joining forces as a cooperative allows them to better access markets and to handle larger purchasing orders, including from government (e.g., electricity poles, etc.). While this activity is designed to strengthen smallholders and as such creates social benefits, economic displacement of other groups, such as vulnerable land users who depend on forest resources for fuel wood or other livelihood needs, is possible.

[60] Likelihood: unlikely (1), possible (2), likely (3), almost certain (4)
[61] Magnitude: minor (1), medium (2), major (3)
[62] Significance of an impacts is a result of magnitude and likelihood as indicated in the risk matrix
[63] Loss of assets or access to assets that leads to loss of income sources or other means of livelihood

Outputs and activities	Potential risks and impacts	Significance of impact			Specification
		Likelihood[60]	Magnitude[61]	Significance[62]	
1.2.3 Restoration, in collaboration with smallholders, of an area of 6,545 ha of very degraded private tree plantations and their sustainable management under private FMUs according to approved SFMPs	Economic displacement of vulnerable groups whose livelihoods depend on timber and non-timber resources	2	1	Low	The risk is considered possible but not likely as people participating in these restoration measures need to make a commitment for land restoration. Also, the selection of sites is organized as a fair process guided by transparent criteria
Output 1.3. Scale-up climate resilient silvopastoral packages to restore degraded rangelands					
Activity 1.3.3 Purchase and disseminate agroforestry fodder trees, improved grasses and herbaceous legumes to improve grazing land and build resilience of degraded lands	Risk of economic displacement of vulnerable resource users other than pastoralists whose livelihoods depend on biomass resources from rangelands.	1	1	Low	Access of non-pastoralist resource users may be restricted temporarily, to protect regeneration and enhancement of rangelands.
Output 1.4: Protective restoration measures are scaled up to climate-proof fragile, ecologically sensitive and erosion prone lands					
Activity 1.4.1 Restore 700 ha of lake/river shorelines and 700 km roadside through tree/shrub planting and participatory management	Economic displacement of vulnerable groups whose livelihoods depend on biomass resources from roadside and lake/river plantations	2	1-2	Low	Harvesting of wood or other natural resources in roadside and lake and river plantations is not permitted. However, unlicensed land and water resource use, especially by poor and vulnerable households, may occur but requires restrictions to ensure the regeneration of respective landscapes.
1.4.2 Restore and protect 400 ha of Akagera Buffer zone through tree/shrub planting and implementation of participatory silvopastoral plan	Economic displacement of vulnerable groups whose livelihoods depend on biomass resources from buffer zones	2-3	2	Moderate	This potential risk will vary between specific sites. The buffer zone is severely degraded because of unlicensed non-titled land use, including the harvesting of forest products, and due to a lack of regulation and law enforcement.

18. While not all the outputs and activities listed under Table 3 entail the same likelihood or level of significance of AR impacts, it must be noted that all project interventions aiming at the restoration of landscapes and transformation of land use practices have the potential to cause access restrictions with adverse impacts on livelihoods of project affected persons. Accordingly, **all subprojects** involving restoration of landscapes under **Outcome 1** will need to be **screened** for potential access restrictions on current land users in these landscapes.

19. The project does not include activities that require involuntary land acquisition and resettlement. The project also expressly excludes any physical displacement[64] due to access restriction, including of non-titled settlers who have established residential dwellings in protected areas without recognized land use rights.

[64] Relocation or loss of shelter

20. This PF only focuses on access restrictions and associated impacts that are triggered by the project. This, however, includes not only new restrictions established under the project but also the strengthening of the enforcement of existing restrictions and regulations that were not effectively enforced prior to the project.

21. The PF also does not address impacts from restrictions related to the Akagera National Park which are put in place or enforced by authorities outside the scope of the project.

3. Legal and Policy Framework for Access Restrictions

22. This Process Framework aims to comply with the applicable laws of Rwanda, as well as the Environmental and Social Policy of GCF and the Environmental and Social Management System of IUCN. This section of the PF summarizes the key legal and policy provisions pertaining to land use and tenurial rights as well as restriction of access to resources and land use. In accordance with the IUCN's ESMS Principle on the Precedence of the Most Stringent Standard, the most stringent standards will be applied under the Project's access restriction policy.

3.1. Rwanda Legal and Regulatory Framework

23. With Rwanda's National Land Policy of 2004 and the Organic law N° 43/2013 of 16/06/2013 Governing Land in Rwanda (repealing Organic Land Law No 08/2005 of 14/7/2005) the country is transitioning its land tenure system from traditional customary laws to a system of land ownership by the state and private legal persons.

24. Traditional customary laws, although varying between regions and local social groups, were generally based on tribal lineage chiefs allocating land to their descendants, or on kings and warrior or hill chiefs maintaining patron-client relations with their subjects which involved the exchange of tribute for access to grazing and agricultural land. In principle, customary law recognized land use rights through three modes of acquisition: (i) inheritance in the male line, (ii) bestowal by a chief, in return for tribute, and (iii) by clearing new land to which no chief had laid claim; thus, recognizing both collective and individual ownership. The colonial era and post-independence period codified private property or possession rights of land occupied by individuals (under either customary or written law) and state property of unoccupied land. Nevertheless, the simultaneous and at time conflicting practices of traditional laws and codified law have persisted.[65]

25. Owing to land scarcity and related conflicts the modern state of Rwanda has endeavored to establish a system of private ownership under written law and of state ownership, based on the 2004 National Land Policy, the 2005/2013 Land Law and a widespread Land Tenure Regularization Program, seeking to replace subsistence farming based on customary land tenure by a fully monetized, commercial agricultural sector.[66] The Land Law thus provides for freehold ownership of land as well as long term leasehold of state land by individuals in order to establish security of tenure and incentivize investments in productive land use.

26. State ownership of land is divided into two categories, (i) state land in the public domain, including lakes and rivers and their shores, natural forests, national parks, protected swamps and national roads and their boundaries; and (ii) state land in the private domain, including vacant lands, lands returned to or confiscated by the state, lands acquired through purchase, donation or expropriation for a public purpose, as well as unprotected swamps and state-owned forests. For protected areas and national parks, the 2004 National Land Policy provides for special measures and regulations, including the encouragement of the involvement of neighboring communities in the conservation of protected areas through creation and strengthening of structures for community management. The Law N°33/2010 of 24/09/2010 provides for the establishment of the Akagera National Park and its boundaries, as well as of a buffer zone and an economic development zone in which regulated human activities may be permitted.

27. There are no specific provisions in the respective land and forest laws that grant local community members general use rights over land owned by the state and its resources, such as degraded District and State-owned tree plantations, and protected sensitive ecosystems and erosion prone areas, including lake and river shoreline and roadside plantations and the buffer zone of the

[65] M. Reintsma, 1981. Land Tenure in Rwanda. AID Rwanda. Brown, Michael and Ailey Kaiser Hughes, 2017. Is Land Tenure "Secure Enough" in Rural Rwanda? Chemonics International.
[66] Brown et al, 2017

Akagera National Park, which are targeted for restoration of their landscapes under the Project. Activities not explicitly permitted and regulated by state authorities are considered illegal and prohibited, as under Article 26 of the 2013 Law Determining the Management and Utilization of Forests in Rwanda. Regulated use of the lands concerned may be granted by state authorities under established management plans or on an ad hoc basis. For example, the 2013 Forest Law allows for the reservation of land for crops and livestock and planting of agroforestry trees under Article 17. Article 37 provides for the transfer of District Forests to individuals and its regulated use, and Articles 40 and 42 permit the transfer of management rights for State or District Forests to individuals, companies, cooperatives and NGOs, among others, based on formal agreements. Under Chapter VII licensing of specified forest use activities, including for the collection and sale of forest products, is permitted. However, under Article 23 harvesting of forests and collection of forest products may be suspended for regeneration and conservation purposes.

28. Thus, collection of fallen branches and dead wood for firewood, collection of fruits and other food plants, or the harvesting of specified amounts of timber for construction of local homes and other buildings, as well as for the commercial sale of timber and other forest products may be permitted by officials of the respective authorities, often on the initiative of local leaders.

29. However, provisions stipulating the payment of compensation for the loss of access rights are not stated under the respective laws, in particular not in the case of unauthorized land use.

30. The Law N° 32/2015 of 11/06/2015 Relating to Expropriation in the Public Interest governs involuntary land acquisition and resettlement but makes no provisions for involuntary restriction of access to resources and land use. The expropriation law is not applied under the Project, which does not entail involuntary land acquisition and resettlement.

3.2. IUCN and GCF Standards

31. Safeguard requirements for the management of restrictions on access to resources and land use are provided in the Environmental and Social Policy of the Green Climate Fund and the Environmental and Social Management System of IUCN. GCF has adopted the performance standards of the International Finance Corporation (IFC) as interim standards, which address AR under Performance Standard 5: Land Acquisition and Involuntary Resettlement (PS 5). IUCN has formulated the Standard on Involuntary Resettlement and Access Restrictions under its ESMS.

32. This section focuses primarily on the safeguard requirements for access restriction of both GCF and IUCN, as the Project does not entail involuntary land acquisition and resettlement. The requirements of the respective standards of GCF and IUCN are similar in their substance and will be presented concurrently. Relevant differences will be pointed out as appropriate.

33. Both standards cover **physical displacement** (relocation or loss of shelter) and **economic displacement** (loss of assets or **access to assets** that leads to **loss of income sources or other means of livelihood**) as a result of project-related land acquisition and/or **restrictions on land use**.

34. They apply the **mitigation hierarchy** requiring projects to avoid and minimize displacement to the maximum extent possible by exploring alternative project designs. The avoidance of forced evictions is mandated. Unavoidable AR impacts are to be minimized and **mitigated** by providing compensation of lost assets at replacement cost and by restoring and improving the livelihoods and standard of living of displaced persons. In case of physical displacement, the provision of adequate housing with security of tenure is required. AR activities need to be carried out with appropriate **disclosure of information**, **consultation**, and the **informed participation** of those affected. IUCN requires the free, prior and informed consent (**FPIC**) of persons or communities affected by restriction of access.

35. IFC PS 5 identifies within its scope of application (i) project situations where involuntary restrictions on land use and access to natural resources cause a community or groups within a community to lose access to resource usage where they have traditional or recognizable usage rights, as well as (ii) restriction on access to land or use of other resources including communal property and natural resources such as marine and aquatic resources, timber and non-timber forest products, freshwater, medicinal plants, hunting and gathering grounds and grazing and cropping areas.

36. While IFC PS 5 indicates its applicability to AR for communities with traditional or recognizable usage rights as well as for communal property, it also refers to a range of natural resources without

specifying the property status of their resource users. It moreover notes that affected persons frequently do not have formal ownership rights. Furthermore, PS 5 classifies persons who have no recognizable legal right or claim to the land or assets they occupy or use, i.e., non-titled PAPs, among project affected persons eligible for mitigation of impacts, in addition to persons with formal legal rights or legally recognizable claims to land or assets.

37. IUCN's standard indicates as within the scope of its application (i) the restriction of access to and/or use of natural resources and to areas of occupation or use, as well as (ii) changes in the use and management regimes of natural resources, without specifying limitations based on the property status of the affected land and resource users. It states nevertheless that all losses must be considered as legitimate for compensation, including those based on customary and non-legal tenure and resource use regimes, but excludes those that involve illegal activity.

38. The general requirements of the standards applicable to AR include the following:

- Establishment of the applicability of the performance standard through the environmental and social risks and impacts identification process (IFC/GCF) or ESMS screening (IUCN).
- Involvement of affected communities through **stakeholder engagement**, including information disclosure, consultation, participation and a grievance mechanism, during the assessment, planning, implementation and monitoring and evaluation of AR under a project.
- **Census and social impact assessment** to provide baseline information, assess AR impacts on displaced persons and to determine their eligibility for mitigation measures.
- Special attention to the needs of and issues affecting **poor** and **vulnerable** people and groups, including gender-differentiated vulnerabilities.
- Preparation of **action plans** for the mitigation of AR impacts, which indicate the eligibility and entitlements of PAPs to mitigation measures, identify development opportunities, and develop a resettlement budget and schedule.
- Responsibility of the project for the **cost** of implementation of action plans.
- Preparation of **process frameworks** for the mitigation of AR impacts, which guide the preparation and implementation of action plans in cases where the exact nature and magnitude of impacts is not known during the project development stage.
- Compensation of losses at **replacement cost** (value) i.e., the amount necessary to replace the lost assets or lost access to assets, based on market value plus transaction costs or an estimate of the value of goods and services generated by the lost assets.
- Land based compensation for displaced persons with **land-based livelihoods**.
- Provision of **mitigation** measures **before displacement**.
- Provision of appropriate **project benefits**.
- Establishment of procedures for **monitoring** and **evaluation** of the implementation of mitigation plans.
- **Disclosure** and **approval** of action plans and frameworks for the mitigation of AR impacts by GCF and IUCN.

39. In the case of **economic displacement** action plans establish the eligibility and entitlements displaced persons to ensure the restoration and improvement of their **livelihoods**, including

- Compensation at replacement cost or value of lost land and other assets of persons with formal legal rights or claims to land,
- Compensation at replacement cost or value of lost assets **other than land** of persons **without** formal legal **rights** or **claims** to land, and
- Provision of opportunities to **improve**, or at least **restore**, their means of **income-earning capacity**, production levels, and standards of living to economically displaced persons whose livelihoods or income levels are adversely affected.

40. For persons affected by project-related **restriction of access** mitigation measures are provided to either allow **continued access** to affected resources or access to **alternative resources** with equivalent livelihood-earning potential and accessibility. In cases where access to the same or alternative resources are not feasible, culturally appropriate **alternative income earning opportunities** may be provided, such as credit facilities, training, cash, or employment opportunities facilitating livelihood restoration with equivalent livelihood-earning potential.

41. In the case of **physical displacement** action plans establish the eligibility and entitlements of displaced persons to ensure compensation of lost assets through replacement housing of equal or higher value with security of tenure or cash compensation at full replacement cost, as well as adequate relocation assistance, excluding the compensation of land for persons without formal legal rights or claims to land. Displaced persons without titles or claims to land need to be provided with adequate housing with security of tenure so that they can resettle legally without having to face the risk of forced eviction.

42. To prevent opportunistic encroachment in the project area, the project or a relevant government authority establishes and makes public a **cut-off date** for eligibility.

3.3. Gap Analysis

43. The preceding analysis indicates the absence of a general legal and policy framework in Rwanda for the restriction of access to resources and land use and for the assessment and mitigation of related adverse social impacts. By contrast GCF/IFC and IUCN have established safeguard standards to protect the livelihoods of displaced persons and involve these in the establishment of restrictions, the mitigation of impacts, and the management of protected landscapes and resources. Although community participation in the management of resources in protected areas or other state lands is permitted under Rwandan law, there is no comparable system for the management of the impacts of AR on the livelihoods of especially vulnerable resources users. Accordingly, in the TREPA Project the imposition of AR will be carried out in accordance with the requirements of the GCF and IUCN environmental and social safeguard standards.

44. The above analysis also points out the weakness of traditional customary land rights systems and land use practices under Rwanda's contemporary legal and regulatory system. However, poor and vulnerable rural communities and households facing poverty and extreme poverty frequently depend on the continued but frequently unlicensed accessibility of open resources owned by the state, given their limited means of livelihood generation. Resources gathered or land used for grazing and crop cultivation in the sites targeted by the project (District and State-owned tree plantations, lake and river shoreline and roadside plantations and the buffer zone of the Akagera National Park) often represent critical natural resource assets for resource- and land-poor people and are a fundamental component of their livelihood strategies, both as basis for subsistence and for gaining income by small-scale commercialization.

45. The Project will therefore pay particular attention to the needs of vulnerable groups displaced by AR, especially those below the poverty line, the landless, the elderly, women and children, ethnic minorities, or other displaced persons whose land use practices may not be protected under national legislation. PAPs experiencing the loss of access to unlicensed resource uses will therefore be eligible for the mitigation of AR related impacts, in accordance with the IFC/GCF provision recognizing persons without formal legal rights or claims to land as eligible for compensation at replacement cost or value of lost assets other than land.

46. The project does not include activities that require involuntary land acquisition and resettlement. The project also expressly excludes any physical displacement due to access restriction, including of non-titled settlers who have established residential dwellings in protected areas without recognized land use rights.

47. Accordingly, to safeguard persons affected by AR and especially vulnerable communities, and to mitigate the impacts of AR on them, the project will implement the following access restriction policy.

4. Project Access Restriction Policy

48. In accordance with the IUCN's ESMS Principle on the Precedence of the Most Stringent Standard, the safeguard requirements providing the strongest protection to project affected persons will prevail, and therefore the Project adopts this Project Access Restriction Policy for the restriction of access to resource and land use.

49. This Project AR Policy will be implemented and complied with by each subproject under the TREPA Project which imposes restriction of access to resources and land use and/or strengthens the enforcement of existing restrictions. The AR Project Policy will be included in each AR Action Plan.

Screening

- Each prospective subproject under the Project will be screened to assess whether Access Restrictions will be required to manage its landscape restoration activities and thereby trigger the requirements for the preparation and implementation of an Action Plan to Mitigate Impacts from Access Restrictions.

AR Planning

- Each subproject which imposes AR will prepare a comprehensive Action Plan to Mitigate Impacts from Access Restrictions.
- Each Draft and Final AR Action Plan will be submitted to IUCN for review and approval, endorsed by the RFA, and disclosed on the IUCN and RFA websites.
- In the case of unanticipated AR impacts noted after AR Action Plan finalization and approval, Updated AR Action Plans will be prepared, reviewed, approved and disclosed as well.
- The Project and its subprojects will avoid, minimize or mitigate AR impacts causing economic and/or physical displacement as defined in the applicable safeguard standards of GCF/IFC and IUCN.

Stakeholder Engagement

- All PAPs affected by AR and the stakeholder engagement actives relevant to AR will be included in the Stakeholder Engagement Plan.
- Displaced persons and other stakeholders will be consulted and informed about the planned access restrictions as well as their mitigation and given an opportunity to participate in the planning of AR in an accessible, understandable and culturally appropriate form. AR and mitigation measures will be negotiated with the PAPs and their free, prior and informed consent will be obtained before the imposition of agreed measures.
- Draft AR Action Plans, including drafts of updated AR Action Plans, will be disclosed to PAPs for review and comments. The approved final AR Action Plans will be disclosed to the PAPs as well. All stakeholder engagement activities will be documented in the draft, final and updated AR Action Plans.
- A grievance redress mechanism with representation of relevant stakeholders will be established at the time of project inception, will be accessible to persons displaced by AR and will endeavor to resolve their grievances promptly and transparently.

Vulnerable Project Affected Persons

- Vulnerable households and the specific AR impacts on their livelihoods will be identified in the census and socio-economic survey for each subproject and indicated in each AR Action Plan. The inclusion of displaced vulnerable persons in consultations and the planning of measures for the rehabilitation and enhancement of their livelihoods will be ensured, to safeguard against impoverishment and to reduce their vulnerability.

Assessment of AR Impacts

- A comprehensive social impact assessment (SIA) of all persons displaced by AR, an inventory of their lost resources and assets, a limited socio-economic baseline survey, and an assessment of the economic value of lost assets and incomes will be carried out.
- On the basis of the assessment of actual AR impacts under a subproject, the SIA will be used to determine which specific provisions for eligibility and entitlements under the Project AR Policy will be triggered and are applicable.

Eligibility

- All persons displaced by access restrictions imposed and/or enforced under the project, including those with and without formally recognized land use or ownership rights, who use or occupy restricted land and its resources before the cut-off date, will be eligible for mitigation of adverse impacts, including compensation and rehabilitation measures, as applicable, regardless of whether the impacts are permanent or temporary, full or partial. Non-titled PAPs without legally recognizable claims to land will be eligible for all mitigation measures.
- An eligibility cut-off date will be declared and widely publicized on the date of commencement of the social impact assessment for each subproject which requires AR, to ensure the exclusion of opportunistic encroachment from eligibility for mitigation measures.

Entitlements

- Compensation of the loss of livelihoods due to the loss of access to resource assets will be done at replacement value, either through mutually agreed continued and regulated access to affected resources, or access to alternative resources with equivalent livelihood-earning potential and accessibility. In cases where access to the same or alternative resources are not feasible, culturally appropriate alternative income earning opportunities may be provided, including employment opportunities, training, credit facilities, or cash compensation to facilitate livelihood restoration with equivalent livelihood-earning potential.
- In case of the loss of land or structures due to AR, these will be replaced with assets of equivalent or higher value and quality or through cash compensation at replacement cost, calculated at fair market value plus transaction costs, including interest accrued, transitional and restoration costs and other applicable payments without depreciation. For replacement of land or structures all transaction costs will be paid by the project or included in compensation payments to the PAPs. The value of structures will not be depreciated for age. Non-titled PAPs without legally recognizable claims to land will be eligible for all mitigation measures, except for the compensation of the loss of land.
- Relocated displaced people, if any, will receive secure tenure to replacement land, better housing, transitional support and access to available civic infrastructure and services.
- For all persons displaced by AR full access to the development benefits under the Project will be ensured. The landscape restoration and land use improvement activities aiming at sustainable resource use and conservation under each subproject constitute a key mitigation mechanism for the impact of AR and all PAPs will therefore be included in the community resource management activities as well as measures for individual project beneficiaries.
- All agreed mitigation measures must be provided and/or in place[67] before access restrictions become effective.

Monitoring and Evaluation

- The effectiveness of the implementation of the AR Action Plan for each subproject and the impacts of its measures on the livelihoods of the displaced persons will be monitored during and evaluated after AR Action Plan implementation.

[67] Some mitigation measures will require longer implementation periods, such as regulated access to resources under restoration or project employment, training and small enterprise development supported by micro-credit. For these, all eligible PAPs need to be identified and registered and the commitment of the Project and the relevant authorities to provide access to agreed mitigation needs to be formally guaranteed. Cash compensation and assistance will be provided before the date of effectiveness of access restrictions.

Conditions for subproject approval

- For each subproject, a Draft AR Action Plan will be submitted to IUCN for review and comments. Upon revision and final review, the Final AR Action Plan will be approved and disclosed. The approval and disclosure of the implementation-ready Final AR Action Plan of a subproject is a precondition for the ESMS clearance of the subproject and for the commencement of the implementation of the AR Action Plan.
- The full implementation of the Final AR Action Plan in the meaning indicated above under entitlements (all agreed mitigation measures must be provided and/or in place) is a precondition for the declaration of the date of effectiveness of access restrictions and the commencement of restoration measures under subproject activities causing AR impacts.
- The project progress and evaluation reports will include the assessment of the implementation of all AR Action Plans throughout the project cycle.

5. Institutional Arrangements for the Management of Access Restrictions

50. The roles and responsibilities for the planning, implementation and supervision of AR under the Project are vested with a number of institutional actors as outlined below. Furthermore, the capacity building activities for AR related institutional actors are defined.

5.1. Institutional actors

51. The focal Ministry for the project will be the Ministry of Environment (MoE) through Rwanda Forestry Authority (RFA). The project will be implemented by the Rwanda Forestry Authority (RFA), IUCN Rwanda Country Office and Enabel (former Belgian Technical Cooperation) as the Executing Entities (EE). The project has also pre-identified service providers for various outputs, including the World Agroforestry Centre (ICFRAF), ICCO Cooperation and the World Vision Rwanda Office. All of these organizations will assume responsibilities for various project outcomes and outputs, including outputs under *Outcome 1: Restored landscapes that support climate resilient agro-ecological systems and livelihoods in Eastern Province*, which is the most likely to cause AR related impacts.

52. As an Accredited Entity, **IUCN** will oversee the project implementation and be accountable to GCF. IUCN will be responsible for ensuring that the relevant standards are adhered to, including for procurement, finance, reporting and monitoring, and environmental and social safeguards. The AE functions will be undertaken jointly by programmes hosted at IUCN Headquarters (GEF & GCF Coordination Unit, Global Finance Unit, Global Forest Programme) and the Regional Office for Eastern and Southern Africa (ESARO). *The* IUCN Global ESMS Coordinator will assume AR Action Plan review and approval, as well as monitoring and supervision functions and support training on social safeguards.

53. **RFA** will be responsible for the implementation of project activities undertaken in the country by different units in the Forestry Department of RFA at the central level, and by the Agricultural and Natural Resource Unit, Forestry and Natural Resources and Forestry Extension Offices at district level under ***Output 1.1****: Diversified agroforestry packages scaled-up (together with ICRAF and IUCN Rwanda);* ***Output 1.3****: Scale-up climate resilient silvopastoral packages to restore degraded rangeland (together with ICRAF); and* ***Output 1.4****: Protective restoration measures are scaled up to climate-proof fragile, ecologically sensitive and erosion prone lands. The Project Management Unit (****PMU****) will be established under the RFA.*

54. The **Enabel Rwanda** office contributes experience with the implementation of various forest restoration projects in the Eastern Province of Rwanda, including the implementation of a sustainable woodlot management plan. The organization will be responsible for ***Output 1.2****: Woodlots and tree plantations are rehabilitated and sustainably managed for productive and ecological services; and* ***Output 1.5****: Clean and efficient cooking energy technologies promoted through support to private sector and communities to transition/reduce biomass fuel consumption.*

55. *The key roles and responsibilities for the management of access restrictions are indicated in Table 4.*

Table 4: Roles and Responsibilities for the Management of Access Restrictions

Institutional Actors	Responsibilities
Lead Executing Entity *Social Safeguard Consultant*	*Preparation* and implementation *of* Action Plans to Mitigate Impacts from Access Restrictions • If the specific outputs the respective EE is responsible for cause AR impacts under a particular subproject. • If several outputs with different responsible EEs under a subproject cause AR impacts, their Lead EEs will collaborate as appropriate.
Social Safeguard Consultant *IUCN M&E/Safeguards Officer* IUCN Regional ESMS Officer	*Ensure the compliant implementation of the Process Framework* *Support the preparation* and implementation *of* Action Plans to Mitigate Impacts from Access Restrictions
IUCN M&E/Safeguards Officer	*Screening* to assess need for Access Restrictions *Review and revision of AR Action Plans*
IUCN Global ESMS Coordinator IUCN Regional ESMS Officer	*Review, revision, approval and disclosure of AR Action Plans*
IUCN M&E/Safeguards Officer and *Field staff of the responsible EEs*	Social Impact Assessment
Social Safeguard Consultant *IUCN M&E/Safeguards Officer* IUCN Regional ESMS Officer IUCN Global ESMS Coordinator	*Capacity building training of EE and Service Providers staff on the preparation* and implementation *of* AR Action Plans
Social Safeguard Consultant	*Evaluation of the effectiveness of the implementation of the AR Action Plans*

5.2. Capacity building

56. *The staff of the Executing Entities and of the Service Providers involved in the implementation of subprojects throughout the Project will participate in training workshops on social safeguards for the restriction of access to resource and land use. The training will consist of two modules.*

57. *The first module will provide all project staff working in both the field and the regional and national offices with a general overview of the policy and legal requirements for AR under the Project and of the provisions of the Process Framework.*

58. *The second module will provide designated project staff directly involved in the preparation* and implementation *of* Action Plans to Mitigate Impacts from Access Restrictions with detailed guidance through classroom and field-based training. The training will be carried out in the context of the first subproject identified to require the imposition of access restrictions in order to ensure hands-on and on the job instruction and experience. Instruments for the assessment of AR impacts, including *formats for the questionnaires of the participatory appraisal and census, as well as for the inventories of PAPs and lost assets, will be developed and refined in the context of the training.*

59. The training concept may require the use of an alternative mode of instruction if conditions due to the global COVID-19 health emergency prevent field-based training and international travel.

6. Stakeholder Engagement

60. Meaningful stakeholder engagement (SE) is a critical tool to facilitate the successful implementation of the Project and its subprojects and plays a central role in the management of social impacts caused by the restriction of access to resources and land use.

61. SE under each subproject will be commensurate with the level and magnitude of AE impacts. It is involved in

- Screening of subprojects for AR impacts,
- Assessment of all AR impacts and identification of PAPs,
- Establishment and implementation of appropriate mitigation measures, and
- Monitoring and evaluation of the implementation of the subproject AR Action Plans.

62. SE for the management of access restrictions involves

- **Consultation** of all PAPs under a subproject,
- **Disclosure** of all relevant information on AR and its mitigation, including draft and final AR Action Plans for subprojects imposing AR, as indicated in the Project AR Policy under SE in Section 4,
- **Participation** of PAPs in the negotiation of and decisions on all mitigation measures, as well as the provision of mitigation measures, and
- Establishment of a **Grievance Mechanism**

63. In compliance with the requirement for **FPIC**, the implementation of all project measures with access restrictions and their mitigation will be negotiated with the PAPs and their consent will be obtained in order to go ahead with the planned project measures.

64. The key methodologies for SE are consistent with standard participatory appraisal practices (see section 7).

- **Focus group discussions** and **key informant interviews** with various subsections of the persons displaced by AR (according to gender, socio-economic status, vulnerability, types of livelihood activities, etc.) and other relevant project stakeholders for in-depth discussions and the negotiation of AR and mitigation measures and during their implementation
- **Plenary meetings** with all persons displaced by AR, segregated by gender and other social variables if relevant, and other relevant project stakeholders to (i) provide relevant information and disclose the results of groups consultations and negotiations, as well as Draft and Final AR Action Plans; (ii) receive feedback and address PAPs concerns during planning and implementation of AR; and (iii) discuss, obtain and confirm FPIC with measures for AR and the mitigation of their impacts,
- **Participatory resource mapping** to identify resource use practices and their locations, and **field visits** with **transect walks** in the landscapes and ecosystems under restrictions to observe and discuss in-depth the PAPs' resource use practices, their locations, and adverse impacts of AR.

65. All SE communication will be undertaken in an accessible, understandable and culturally appropriate form.

66. All stakeholder engagement activities will be documented in the Draft, Final and Updated AR Action Plans, where documentary evidence, such as attendance records and photographs of SE events will be annexed.

67. The PAPs will be requested to form **PAP committees** under each subproject to facilitate internal discussion as well as representation and communication of the PAPs with project staff and local authorities. The PAP Committee of each subproject will designate a representative who will participate in the Project Grievance Mechanism at the local level, including the submission and resolution of complaints.

68. The Project-wide **Grievance Mechanism** (GM) will receive and document all complaints and concerns of project affected persons, including those concerning AR, and pursue their prompt and fair resolution. The project wide GM requires the participation of project staff and other relevant officials with adequate understanding of the management of access restriction and sufficient authority to resolve respective grievances. The resolution of grievances at the local level is most practical and cost-effective and therefore preferred, but complaints not resolved within a reasonable span of time can be elevated to the next level.

69. The **GM** will be organized as a **three-stages** process involving the project affected persons with the

1. the Local Executing Entity concerned,
2. the PMU within RFA, and
3. the Project Complaints Management System established at IUCN headquarters.

70. Any community, organisation, project stakeholder or affected group (consisting of two or more individuals) who believes that they may be negatively affected by an Executing Entity's failure to comply with the requirements of the AR Action Plans for their subproject, the Project AR Policy and Process Framework, or the GCF and IUCN Environmental and Social Policies and Standards, may submit a complaint.

71. The PAPs will be fully informed about the grievance mechanism and their right to seek resolution of complaints.[68]

7. Assessment of Impacts from Access Restrictions (SIA)

72. The ESMF requires that every subproject will be screened for potential adverse social and environmental impacts using the standard ESMS Questionnaire which, among others, queries potential impacts related to IUCN's ESMS Standards, including the standard on involuntary resettlement and access restrictions. Once screening confirms that a subproject causes access restriction, the preparation of an AR Action Plan, is required.

73. The Project and its subprojects will avoid and minimize AR impacts causing economic and/or physical displacement to the extent possible, without compromising its conservation objectives. Unavoidable AR impacts are required to be mitigated. Therefore, for each subproject the impacts of AR need to be fully identified, including a full inventory of affected resources and their uses and of the affected land users, to ensure that all of these are appropriately and fairly compensated in accordance with the Project AR Policy and the applicable GCF and IUCN safeguard policies.

74. This section discusses the requirements for the assessment of impacts from access restrictions on displaced project affected persons and outlines the key methodologies used. The social impact assessment (SIA) will be aligned with the general baseline surveys and appraisal in each of the subproject sites stipulated in the Environmental and Social Management Framework (ESMF) for TREPA.

75. The identification of impacts due to AR requires a considerate approach to the resource users whose livelihoods will be affected. Given the potentially sensitive nature of their resource uses in protected and restricted landscapes due to the absence of formal use rights, conventional quantitative survey methods may not be suitable, at least in the initial phase of the social impact assessment (SIA). Therefore, participatory appraisal methods will be used at first to establish rapport with the affected communities, and gain an in-depth understanding of PAPs' resource uses and the impact of AR.

76. As early as possible, the participatory appraisal will confirm whether the proposed access restrictions under the subproject would cause any impacts on land users in the subproject communities or not. In the case of a confirmed absence of impacts the assessment need not proceed to the census. Instead, the project staff will prepare a due diligence report documenting the participatory appraisal activities undertaken and confirming the absence of impacts due to access restrictions. The due diligence report will be submitted to IUCN and its findings reported in the next project progress report.

77. It must however be noted that AR impacts mitigated by the proposed project measures do constitute AR impacts in need of full assessment and mitigation as determined under an AR Action Plan. Thereby, the subproject can ensure that all impacted PAPs will be guaranteed the provision of project benefits as mitigation entitlements. In such cases the subproject will proceed with the impact assessment, including the census, and the preparation of the AR Action Plan.

[68] Further guidance on SE and GM is available in the respective IUCN Guidance Notes available at www.iucn.org/esms.

78. Once the project staff responsible for the SIA has confirmed impacts, established rapport and developed a thorough understanding of the ground situation, a census with a limited socio-economic survey can be undertaken with every household affected by AR.

79. In each subproject the responsible Executing Entity will **publicly notify** an **eligibility cut-off date** at the beginning of the SIA and notify the PAPs about the LAR impact of the project.

80. If a need for access restrictions has been noted through subproject screening the responsible project staff as indicated in section 5.1. will initiate activities for the preparation of an Action Plan to Mitigate Impacts from Access Restrictions.

7.1. Participatory appraisal

81. As stated above, the sensitive nature of non-titled resource use by mainly poor and vulnerable households and communities requires simultaneous rapport building and an in-depth assessment of AR impacts through participatory appraisal methods, to gain familiarity with the context and develop trust. Therefore, it needs to be ensured that the consultations are designed in a way that people feel safe and that they are assured that specific information obtained from and/or about individuals would not be disclosed, will not be used for any form of coercion and that analysis and documentation for public disclosure would only use anonymized data. The use of participatory appraisal methods for impact assessment is consistent with and overlaps with the stakeholder engagement approach indicated in section 6.

82. The assessment of AR impacts will focus on establishing the level and magnitude of impacts taking into account the following factors:

- Nature or type of the impact: What natural resource assets are affected and how?
- Purpose of resource use: Are the resources used for subsistence or commercial use?
- Persons affected: Who is affected? Are men and women, poor and vulnerable or well-off persons, or majority and minority groups affected differently?
- Duration of the impact: are access restriction short-term, medium-term, long-term, or permanent?
- Severity of the impact: do the resources losses constitute a large or small proportion of the livelihood assets used and incomes derived by the affected person, household and community (taking into account the duration of impacts)?

83. The participatory appraisal will combine several assessment methods. It is critical to allow for sufficient time to cover all selected activities, all affected person and groups, and all restricted locations or sites. The timing and pacing of activities will have to take into account people's obligations and schedules to pursue their livelihood activities and other commitments. Establishment of rapport and trust and gaining access to knowledge cannot be rushed and require patience and respectful communication with the PAPs. The exercise is very much about listening and learning from the PAPs about their lives, activities, problems and concerns by the persons carrying out the assessment, and not about telling the affected persons what to do and think. During the SIA, the project staff needs to suspend preconceived notions and assumptions and be open to new insights and understanding before suggesting and negotiating how to resolve problems and mitigate impacts.

84. The following approaches and methods to participatory appraisal can be used:

85. **Key informant interviews** are used to discuss a topic in-depth with identified key persons who have extensive knowledge about a community or particular sub-groups, or who have positions of authority, trust and influence. Examples include religious leaders, chiefs, successful farmers, and traditional leaders. Responses can be triangulated with other sources of information. Key persons are also often opinion leaders in their communities or even regions and may be able to help generate support by and the cooperation of the PAPs.

86. **Focus group discussions** (FGDs) provide opportunities for detailed discussion with a small group of selected participants. Groups can be formed with the participation of a heterogenous group or by focusing on a homogeneous group. The latter is in particular useful for situations where cultural norms do not allow certain groups to speak up (e.g., the poor and vulnerable PAPs, women or marginalized groups) or to focus on specific issues of a certain affected group (e.g., farmers,

fishermen/women, youth etc.). It is more likely that sensitive issues around resource use, the legality of access, livelihoods, well-being, health or issues of marginalization are raised in a smaller group. FGDs should have a clear format using an open-ended questionnaire, so that the facilitator of the discussion can keep the discussion on track and the participants can expand on topics and raise their own. Documenting the questions asked will also allow the team to repeat the FCGs over time to monitor how perspectives may be shifting. However, due to sensitivity of issues around unlicensed use of resources, formal recording of discussions may need to be avoided.

87. **Participatory mapping** exercises can be used to identify AR impacts and to develop AR Action Plans. The most common mapping exercises include resource mapping combined with seasonal calendars or poverty and vulnerability mapping combined with wealth ranking. Through these exercises the location of resources in restricted areas and the residences of different social groups are plotted with differently colored markers on large paper or with various differently colored materials, such as sand and wood, on the floor of a meeting venue. The preparation of the maps leads to detailed discussions on the matters of concern, such as resource use, the composition of ecosystems and livelihood systems, the AR impacts on these systems, differential impacts on the poor and vulnerable or alternative arrangements for resource use. Mapping should be accompanied by developing seasonal calendars for resource uses to understand the timing of respective livelihood activities.

88. **Field visits with transect walks** in the landscapes and ecosystems under planned restrictions help the project staff to observe and discuss resource use practices, their locations, and the potential adverse impacts of AR, and to gain an in-depth understanding in situ. It is important to undertake these walks with the various resource users as well as trusted key informants and to ensure that all affected areas and locations are covered. Seasonal changes may need to be considered and walks repeated over time. At minimum it needs to be inquired how the ecosystems and livelihood systems concerned are changing throughout the seasons and how they have changed over time, in particular considering the potential impacts of climate change. Repetition of specific walks will need to be used to assess possible mitigation measures in the same or alternative sections of the subproject landscapes. Photographic and videographic documentation of critical issues and sites should be undertaken during the walks, keeping in mind the possible concerns of resource users about their anonymity.

89. The **findings of the participatory appraisal** with affected local stakeholders and community members will be **documented** in the AR Action Plans for the subprojects for each site visited and discussed, including

- The number and types of PAPs,
- Locations visited and observed,
- Records of mapping exercises,
- Inventories of affected resources and assets and their uses and by affected persons,
- Records of issues discussed and proposed solutions including possible mitigation measures, and
- Evidence of participation, including signed minutes or records of participation and photographs or videos, with the appropriate caveat about anonymity if requested or required.

90. The project staff responsible for the SIA will provide a concise narrative description and analysis of the findings of the participatory appraisal for each site under the subproject planned to go under restrictions. The narrative analysis can be supported and illustrated by a descriptive table for the main variables assessed, including

- the types of resource accessed,
- the use of the resource,
- the types of resource users,
- its significance for the resource users' livelihoods,

- the impact on the resource users' livelihoods, including, the duration of the impact due to restrictions, and the severity of the impact in terms of its likelihood and magnitude.

91. The sample in Table 5 includes potential impacts that may be expected from AR in the subproject areas, based on the findings of the Project's feasibility study.

92. Geographic maps and satellite imagery of the restricted areas, overlaid with information on AR related impacts, will be included among the documentation of the SIA as well.

93. The types of resources users potentially affected by AR in the subproject areas would likely be predominantly PAPs without formally recognized land use or ownership rights. A smaller group of APs may be expected to have no formal legal rights to land but can make claims to land and use rights that are recognized or recognizable under the national laws, such as persons with licenses for resources uses issued by government agencies. It is not expected that access restrictions would affect person or legal entities owning private land or land leased from the government.

94. Among the potential PAPs the following groups may be expected.

- Returning refugees or people affected by competing claims from returnees: Rwanda has seen the return of multiple waves of refugees (typically small-scale farmers) in the past. For example, two thirds of the land area of the Akagera National Park was allotted to refugees and demobilized soldiers. Some returnees on the other hand found that their original land had been allocated to settlers under the Land Tenure Regularization Program resulting in competing claims for land and temporary or long-term landlessness.
- Pastoralist herders: The Eastern Province includes semi-arid land occupied by pastoralists. Restriction of access to grazing land might affect transhumant communities, and competition for water and pastures due to the increasing length of droughts may increase pressure on range lands.
- People owning very small plots: Even with land registration, registered land parcels might be too small to sustain a household and provide for sufficient resources.

95. Landless people: The Land Tenure Regularization Program provided an opportunity to all Rwandan citizen to register land acquired through customary or written law. While the process has been judged as an inclusive process, there may be vulnerable groups who were not able to file their land claims during the formal registration process. These may therefore be landless and highly dependent on open land and forest resources owned by the state.

7.2. Census of persons affected by access restrictions

96. The participatory appraisal methods permit an in-depth understanding of resource uses in locations under proposed restrictions and of the impact of these restrictions on livelihoods. However, by using participatory appraisal methods the data generated is based on the observation of the various individuals and groups available for meetings, discussions and walks and can therefore not provide a complete inventory of all resource users and their losses and livelihood impacts. These need to be obtained through a full census including a limited socio-economic survey (SES) of all PAPs affected by AR. The census enumerates all AR-affected households and, if applicable, displaced businesses, using a closed-ended questionnaire querying all relevant variables, including

- Number of displaced households and all their members,
- Types and quantities of all resource assets affected by AR, and their associated property status,
- All income sources (hunting and gathering, herding, agriculture, business, employment etc.) and total monetary and non-monetary income among all household members, and
- All other property of land, buildings and other structures not affected by AR and their associated property status.

Table 5: Resource Use and Impacts due to Access Restriction at Site XX under project activity 1.x.y.

Resource accessed and used	Purpose	Legal status of resource use	Resource users	Specification of resource loss	Duration of impact	Significance of impact		
						Likelihood	Likelihood	Likelihood
Fallen branches and dead wood	Fuelwood for energy supply	Unlicensed	20 residents of adjacent village, mainly poor women	40% subsistence 60% sale to local traders Loss of key fuelwood source and main cash income	Medium term until regeneration of remaining forest and maturation of fuelwood plantation	4	4	4
Mahogany trees, mature	Fuelwood for energy supply	Unlicensed	2 residents, male hardware traders from district town	Loss of lucrative additional income source Annual seasonal additional cash income source during dry season		4	4	4
Mahogany trees, mature	Commercial construction timber	Permit by district forest office	3 small scale timber traders in adjacent village	Loss of main cash income source	Long-term, regeneration planting up to 30 years	4	4	4
Medicinal plants	Subsistence use in household and sale at local market	Unlicensed	20 residents of adjacent village, mainly poor women					
Other non-timber forest products (fruits, bamboo, bees, food plants)	Subsistence use in household and sale at local market							
Hunting (meat)	Subsistence use in household and sale at local market							
Grazing of livestock	Subsistence use in household and sale at local market							
Non-timber forest products	Cultural/spiritual practices							
Collection of rock and sand	Construction							
Water resources (if restrictions apply)	Household supply and cultivation of home gardens							

97. In addition, a limited number of socio-economic characteristics of the displaced households, such as ethnicity, gender, age and education of its members, head of household, access to public services , as well as vulnerability in terms of poverty, age, disabilities and gender of household head, will be recorded.

98. The census will also inquire into the compensation preferences and expectations of each displaced household.

99. All data collection and presentation need to be disaggregated by gender and other relevant social characteristics, depending on the social groups of concern.

100. In the AR Action Plan, the findings of the census and SES will be tabulated in aggregate and disaggregated tables for analytical and reporting purposes.

101. Furthermore, for each household individual records with demographic and socio-economic data for the household and an inventory of all losses due to AR will be prepared. This household record will be used in the negotiation and agreement on mitigation measures, the establishment of individual entitlements, and as a baseline for monitoring and evaluation. The individual records will remain project internal and not disclosed in the AR Action Plans.

102. *The Social Safeguard Consultant and the IUCN M&E/Safeguards Officer will prepare appropriate formats for the questionnaires of the participatory appraisal and the census, as well as for the aggregate and disaggregated inventories and records of PAPs, their lost assets and mitigation entitlements. These will be developed during project inception and refined during the social safeguards training and its initial field* assessments in the first subproject under the Project (see Section 5.2).

8. Mitigation of Impacts from Access Restrictions

103. **Avoiding impacts** by seeking to exclude locations targeted for restoration which exhibit a high degree of dependency of especially poor and vulnerable resource users on their available resources **may be difficult**, as these sites tend to be overused and thus display a considerable degree of degradation. In order to meet both, the landscape restoration and livelihood support objectives of the project, its design aims to restrict damaging practices while providing ways and means for the improvement of land use practices.

104. **Avoiding impacts** by seeking to omit locations with high dependency of especially poor and vulnerable resource users on their available resources **may be difficult**, as these sites tend to be overused and thus display a considerable degree of degradation. In order to meet both, the landscape restoration and livelihood support objectives of the project, its design aims to restrict damaging practices while providing ways and means for the improvement of land use practices.

105. Therefore, the planned **project benefits** under Outcome 1 will **function as the primary mitigation measures** for the restriction of access and ecologically adverse land use practices. This implies that <u>all persons affected by access restrictions who are identified in the SIA would be eligible for project benefits</u> and be among their primary participants. The key project measures would entail a combination of (i) regulated access to and augmentation of existing resources and their sustainable use, (ii) sustainable use of alternative and economically viable resources or resource locations, and (iii) the reduction of demand on resources. Resource demands that cannot be met through regulated and/or alternative resources would require (iv) alternative means of livelihood generation or (v) subsidizing poor and vulnerable affected persons for the duration of necessary restrictions. Given that the regeneration of the various types of ecosystems and agro-ecosystems involved may take between 2-3 years for forage, 3-5 years for fruits and 10-20 years for wood, temporary restrictions of varying length can be expected.

106. Given these likely scenarios, the subprojects will require detailed planning of potentially complex land use and livelihood systems which involves the consideration of various time factors, both seasonal and over the short- to medium-term future, which can accomplish sustaining the livelihoods of PAPs and the landscape on which they depend.

107. The **community management of resources** is envisioned as a key mechanism for ensuring self-regulated access to and use of resources based on community ownership and an understanding of the positive implications of sustainable resource use. It is critical that **non-titled poor and**

vulnerable resource users are fully engaged and entitled to project benefits and mitigation measures, as these would otherwise undermine strategies that only focus on the titled owners or licensed users of targeted landscapes, because the poor and vulnerable lack alternative means of livelihood generation.

108. It will be of the greatest importance that the participatory stakeholder engagement process aims to collaboratively develop project benefits and mitigation measures that are suitable to the specific sites under each subproject. The PAPs and project staff need to be prepared to think out of the box and creatively "invent" new strategies which can meet the conservation and livelihood objectives and challenges of the Project over the lifetime of each subproject and beyond.

8.1. Mitigation measures under the TREPA Project

109. The following planned project activities provide examples of project benefits which may readily be applied as mitigation measures for access restrictions.

8.1.1. Reduction of fuel wood need through improved cook stoves

110. The project will promote the dissemination of improved cook stoves (ICS) under Output 1.5 with a target of facilitating access to ICSs for over 100,000 rural households. This will be achieved through testing ICS and support to local manufacturers, by developing and establishing a subsidy and microcredit scheme with local finance institutions and by establishing "cooking fuel and technology" hubs in 14 local main markets in the Eastern Province. By having access to ICS, the benefiting households will be able to significantly reduce their consumption of fuel wood. However, this does not lead to a complete avoidance of the demand for fuelwood as the stoves still require wood. The project will need to assess the remaining dependency on local fuelwood sources and also develop further strategies and measures for alternative and augmented sources of fuelwood. One option is the expected increase in biomass through improved efficiency and yields of existing woodlots managed by community groups, the planned Community Vigilance Committees (CVC) (see below). In addition, agreements with controlled access rights to areas with sufficient sources of dead fuelwood, such as fallen branches and dead trunks, can be negotiated between the respective authorities and CVC members. Again, it would be critical to ensure that poor and vulnerable resource users affected by AR are included in the membership of CVC and participate in training, negotiation and decision making on the new resource use strategies.

8.1.2. Restoration and community management of the Akagera National Park buffer zone

111. As part of Activity 1.4.2 the project will support the restoration and protection of 400 ha of the Akagera buffer zone. Silvopastoral plans will be developed for the buffer zone and neighboring ranches together with the communities and with support from the TREPA silvopastoral experts and in collaboration with district and sector extension services. These plans will not only establish restoration measures but will also ensure that communities will be able to use the buffer zone for wood and fodder production and for beekeeping. The plans will designate areas in the buffer zone for the production of wood and fodder, define management tasks and responsibilities, as well as modalities for sustainable harvesting of wood and non-wood products. A key element is to establish a fair and transparent benefit sharing mechanism. The process is institutionalized through the establishment of 20 Community Vigilance Committees (CVCs) in the buffer zone which sign MoUs with the forest authorities confirming their commitment to the restoration of these protective plantations and their sustainable management. The MoU-based management plans will be validated in community meetings. The approach of combining restoration with community management through the formation of CVCs has been successfully tested by ENABEL in the other projects in the Northern and Eastern Provinces.

112. The buffer zone is currently severely degraded because of illegal harvesting of forest products and due to a lack of law enforcement. Given the current state of degradation, it does not provide many resources to local communities and as such does not offer real incomes to the local population, except for the use of some areas for grazing livestock. Therefore, land use restrictions put in place by the project through agreements with the CVCs may not necessarily cause increased adversity for vulnerable groups in terms of their access to resource assets. On the contrary, by ensuring sustainable management of the buffer zone areas, their situation is expected to improve by replacing the current insufficiency of resources with controlled and sustainable access to resources in the medium and long term. The details of land use, timeframes and benefit sharing modalities will be defined in the respective silvopastoral plans and MoUs. It will be ensured that certain activities such

as harvesting of honey and (controlled) grazing can be allowed immediately, while other land uses will need to be put on hold to ensure restoration and regeneration (e.g. 2-3 years for forage, 3-5 years for fruit trees and 10-20 years for wood). At the same time the transition from resource use without formal rights to community management based on MoUs legalizes a participatory management approach which empowers the participating communities to manage these areas for their own benefit.

8.1.3. Direct and induced employment opportunities through reforestation works

113. The project will provide direct employment opportunities for restoration works on public lands (Akagera buffer zone, lake and river shoreline and roadside plantations and state and district-owned tree plantations) as well as on private lands. The modalities will vary between these land use types, but will include contracting forestry service providers, including local small contractors, who will hire labour from local communities for tree planting (in particular in the buffer zone). The feasibility study has estimated the following employment needs:

- Lake and river shoreline and roadside plantations (Activity 1.4.3.): 700 laborers
- Akagera buffer zone (Activity 1.4.2.): 700 laborers
- Scale-up climate resilient silvopastoral packages (Output 1.3): 1000 laborers
- Restoration of district owned tree plantations (Activity 1.2.1): 308 local small contractors plus 700 laborers (mostly from contractor's families)
- Restoration of State-owned district tree plantation (Activity 1.2.2): 500 permanent staff of 20 contractors plus 10,000 laborers

114. For the restoration of the Akagera buffer zone, as well as the lake and river shoreline and roadside plantations, Community Vigilance Committees (CVCs) will be established as described above. Forestry service providers will be engaged by the Project to ensure the proper seedling preparation and planting. The service providers will hire laborers from among the local communities according to modalities agreed between the communities and the local authorities. Priority will be given to vulnerable groups, including women and people affected by access restrictions. The latter will be determined based on the social impact assessment as discussed in section 7 above.

8.1.4. Improvement of private tree plantations

115. Activity 1.2.3 aims to support smallholders who individually own only very small plots to restore areas of very degraded private tree plantations and to ensure their sustainable management under private Forest Management Units (FMU) according to approved simplified forest management plans (SFMP) and through joined investment and benefit sharing mechanisms. The owners will be supported to establish groups and to develop necessary organizational and technical capacities. The project will assume the main part of the costs for restoration works (plantation) which will be tendered to the forest operators. The FMUs will provide their participants better access to markets and the ability to handle larger purchasing orders, including from government (e.g., electrical poles, etc.). This initiative is expected to lead to productivity enhancements and economic returns that will translate into improved incomes for the participating households and to a reduction of pressure on resources in surrounding areas which may come under land use restrictions.

8.1.5. Alternative income opportunities

116. The interventions under outputs 2.1, 2.2 and 2.3 aim to support small holders and households to transition from subsistence farming to surplus production, including improved access to financial services, such as savings, credit and financial literacy, and to increase beneficiaries' productive assets and market opportunities. The project aims to strengthen farmers' groups and cooperatives, and to promote the integration of farmers into existing Farmer Forest Producer Organizations (FFPO) or, where appropriate, form new ones. Markets and value chains, such as bee products, fodder production and tree cops, have been selected as these represent common livelihood activities also practiced by poorer households with limited access to land. In particular, the bee product value chain with activities, such as beekeeping operations and branded honey and wax production, will offer opportunities for landless households.

117. Alternative income opportunities are expected both through employment opportunities provided by the micro-enterprises acting within these value chains or through self-employment and business creation activities. Micro-enterprises can supplement seasonal agricultural incomes and/or

link smallholders to local markets through the sale and exchange of products. For local tree seed enterprises and seedling nurseries the project also provides additional stimulus through its procurement of seedlings.

118. It needs to be emphasized that the possibility of capture of these project benefits by better-off and well-connected sections of the communities in the subproject areas needs to be checked and that communities affected by restrictions on access to resources and land use are guaranteed access to respective project benefits.

8.1.6. Other mitigation measures

119. If affected poor and vulnerable communities lack appropriate assets, such as sufficient titled land or skills, to enable their participation in sustainable livelihood generation in the planned activities under the project benefits, alternative means are required to provide viable mitigation measures to these PAPs. The project may for example negotiate legal and guaranteed access to land for landless and near-landless PAPs to establish cultivation of vegetable crops interplanted with tree crops, or fuelwood plantations on state land adjacent to their villages, which are managed by community groups through MoUs defining land restoration and sustainable management practices. These groups would require both capacity building and access to inputs, credit and markets comparable to project provisions for small holders and plantation owners.

120. All mitigation plans will need to be based on the comprehensive analysis of the local ecosystems and livelihood systems in the subproject locations to achieve a viable mix of regulated access to existing resources, the provision of alternative resources and the facilitation of altogether different livelihood activities.

8.2. Viability of livelihood restoration measures

121. It will be important to assess the **viability** of the proposed mitigation measures to ensure that these are capable of sustaining livelihood in the long-term. This would entail an analysis of the accessibility and absorptive capacity of markets, of the availability and affordability of input supply chains and of the skills of the PAPs targeted to adopt these alternative income generation activities.

122. It must be considered that for example the overproduction of honey and bees wax after adoption by many project beneficiaries and affected persons may adversely affect market prices. The lack of sufficient bee stocks to establish new hives may undermine production and the absence of affordable transport may hinder the sale of products. The Project is therefore obligated to ensure that all proposed livelihood activities will be implemented with the required enabling conditions in place. Great care must be taken to fully understand the feasibility of proposed and adopted livelihood improvement measures and ensure adequate diversification of livelihood sources and thus their viability.

8.3. Eligibility and Entitlements

123. The participatory stakeholder engagement process with PAPs described above will need to assess, review and negotiate all the options for mitigation of AR impacts under consideration of the measures indicated and the concerns raised above.

124. Based on the inventory of losses and affected persons and the selection of preferred and feasible mitigation measures, the AR Action Plan for a subproject will prepare an entitlement matrix, which uses the data of Table 5 to match resource losses with types of eligible PAPs and their mitigation entitlements. The entries in the entitlement matrix will be further specified in the text of the AR Action Plan to clarify all relevant details and modalities of the agreed mitigation measures.

125. The applicable agreed entitlements will also be logged in each individual PAP record together with the inventory of losses of each household, which thereby constitutes a mutual commitment by the project and each PAP household to accept the restrictions of access and the provision of the specified mitigation measures.

Table 6: Sample Entitlement Matrix

Type of resource loss	Specification of resource loss	Eligibility	Entitlements
Fuelwood from forest	40% subsistence 60% market sale	20 non-titled fuelwood gatherers, predominantly poor women	Provision of 1 acre plot of state land under CVC MoU for firewood plantation Alternative location for regulated firewood collection in accessible forest lot Provision of improved cooking stoves 3 years of income assistance at applicable minimum wage
Medicinal plants from forest	Subsistence use in household and sale at local market	20 non-titled gatherers, predominantly poor women	Participation in beekeeping program with provision of requisite inputs and market access Interplanting of medicinal plants in firewood plantation Home garden program with provision of medicinal and other food plants
Construction wood from degraded river shoreline plantation	Commercial timber trade	3 licensed traders	Participation in CVC and restoration of river shoreline plantation Engagement as small contractors in planting and plantation maintenance program

8.4. Free, prior, and informed consent

126. Once individual agreements on all mitigation measures for each household of PAPs under a subproject have been established through the participatory negotiation process, a final plenary meeting among the PAPs, project staff and other relevant stakeholders, including management representatives of the Project EEs and the relevant local government authorities, will be held in which the free, prior, and informed consent of the PAPs with the restrictions of access and the provision of the specified mitigation measures is requested by the project and confirmed by the PAPs. Videographic and photographic documentary evidence of the event will be prepared. The FPIC of the PAPs will also be stated in a written document in both the local language and English and signed or thumb printed by the PAPs and management representatives of the Project EEs and the relevant local government authorities.

9. Budget for Assessment and Mitigation of Access Restrictions

127. The full cost of the preparation and implementation of the AR Action Plan for each relevant subproject, is an integral part of the Project cost. The cost of the preparation of the plan, including the SIA, as well as of administration, monitoring and evaluation, is covered under the budget of the ESMF. The cost of the implementation of the AR Action Plan, including compensation and livelihood rehabilitation will be covered under each subproject. The subproject AR Action Plan will present a budget for the cost of its implementation.

128. As the majority of mitigation measures for the impacts of access restriction may be expected to be planned project benefits provided to persons displaced by a subproject, the related AR Action Plan implementation costs are already accounted for under the general cost for project activities and included in the overall project budget. Furthermore, the cost of administration, monitoring and evaluation of AR Action Plan implementation will also be covered under the general project budget for these activities.

129. However, any AR Action Plan implementation costs due to additional measures not covered under project benefits will require additional budgeting. Each subproject will accordingly present a budget for the cost of all additional compensation and livelihood restoration. Each AR Action Plan budget will be presented in table form and itemize costs by types of losses and entitlements, following the structure and contents of the entitlement matrix. The budget aggregates for each type of loss the costs for all respective displaced persons, households or entities identified in the AR Action Plan impact assessment. The budget headings include the type of loss, type of mitigation entitlement, respective unit rates, number of units and total cost for each mitigation measure.

Table 7: Sample Budget for Mitigation of Access Restrictions

Type of resource loss	Type of mitigation entitlement	Unit	Unit rate	Number of units	Cost	
			Currency		Currency	USD
Fuelwood	Provision of two 1-acre plots of state land under 40-year lease for fuelwood plantation	Acre		2		
	Provision of improved cooking stoves	Item		20		
	3 years of income assistance at applicable minimum wage	Annual minimum wage		20		
Subtotal						
Medicinal plants	Participation in beekeeping program with provision of requisite inputs and market access	Inputs per household		20		
	Medicinal and food plant seedlings and other inputs	Inputs per household		20		
Subtotal						
Grand total						

10. Monitoring, Evaluation and Reporting Arrangements

130. Monitoring of the planning and implementation of access restrictions and their mitigation are part of the ESMF monitoring, which is integrated into the monitoring, evaluation, reporting and learning (MERL) system of the Project. This will integrate specific monitoring and reporting components for the implementation of all the activities and measures of all subproject AR Action Plans, following up on the requirements under the AR Action Plans. AR monitoring will involve (i) process monitoring of the progress of implementation of the required actions under an AR Action Plan; and (ii) output monitoring of the progress of implementation of the required mitigation measures, i.e. the provision of mitigation entitlements to the displaced persons affected by AR. These will be reported in the bi-annual progress reports of the PMU and the Lead EE(s) for the respective subproject and the IUCN M&E/Safeguards Officer for each subproject with AR impacts.

131. If monitoring identifies any non-compliance with the AR Action Plans or other critical issues during their implementation, a Corrective Action Plan will be prepared for each respective subproject by the EEs responsible with the support of the IUCN M&E/Safeguards Officer, to facilitate the compliant implementation of all requirements of the AR Action Plan, as well as necessary adaptations of the Action Plan to ensure the effective mitigation of all impacts in accordance with the requirement for adaptive learning. The implementation of the corrective actions will be monitored until the full resolution of all issues addressed by the Corrective Action Plan and assessed during the evaluation of AR implementation.

132. The final evaluation of the implementation of the AR Action Plans will assess its overall performance with respect to the required actions and delivery of mitigation entitlements and assess their impact on the livelihoods of the PAPs. The impacts will be assessed against the baseline data generated by the census and socio-economic survey of the PAPs. The evaluation findings will be reported for each subproject in the interim and final evaluation reports of the PMU.

133. If the evaluation identifies any compliance issues or adverse impacts on the livelihoods of the PAPs, the interim and final evaluation reports will contain a Corrective Action Plan to address these issues. The implementation of the Corrective Action Plan will be monitored and evaluated until the full resolution of all issues concerned.

134. All monitoring and evaluation activities concerning the implementation of the AR Plans will be undertaken with the engagement of the relevant stakeholders, especially the persons affected by AR, to receive their feedback and consider their concerns.

11. Schedule for the Preparation and Implementation of the Action Plan

135. A Schedule for the preparation and Implementation of AR mitigation will guide all AR related activities in each subproject. A sample indicative schedule is provided in Table 8. This represents a commitment to a time framework among all actors involved. Each subproject AR Action Plan will present an indicative schedule with adaptations and modifications according to specific subproject requirements and conditions.

Table 8: Sample Indicative Schedule for the Preparation and Implementation AR Action Plan

LAR Activity	Year 1												Year 2											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Mobilize Social Safeguard Consultant and IUCN M&E/Safeguards Officer	■																							
Social Safeguard Training for AR Planning and implementation	■	■																						
Screen AR impacts	■																							
Carry out monitoring of AR planning and implementation	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■				
Stakeholder Engagement activities with PAPs	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■				
Establish and operate local Grievance Mechanism	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
Assessment of AR Impacts: Participatory Appraisal		■	■	■	■																			
Assessment of AR Impacts: Census					■	■																		
Prepare Draft AR Action Plan						■																		
Negotiation and Agreement on Mitigation Measures						■	■																	
Prepare Final AR Action Plan							■																	
Confirmation of FPIC							■																	
Implementation of AR Mitigation Measures								■	■	■	■	■	■	■	■	■	■	■						
Evaluation of AR Action Plan Implementation																							■	■

12. Development of an Action Plan to Mitigate Impacts from Access Restrictions

136. For each subproject an Action Plan to Mitigate Impacts from Access Restrictions (AR Action Plan) will be prepared and structured according to the recommended outline shown below.

Recommended Outline for an Action Plan to Mitigate Impacts from Access Restrictions

1. Introduction
1.1. Purpose of the Action Plan to Mitigate Impacts from Access Restrictions
1.2. Project Background
2. Legal and Policy Framework for Access Restrictions
2.1. Rwanda Legal and Regulatory Framework
2.2 Project Access Restriction Policy
3. Institutional Arrangements for the Management of Access Restrictions
4. Stakeholder Engagement
5. Assessment of Impacts from Access Restrictions (SIA)
5.1. Participatory appraisal
5.2. Census of persons affected by access restrictions
6. Mitigation of Impacts from Access Restrictions
6.1. Mitigation measures under the Subproject
6.2. Viability of livelihood restoration measures
6.7. Eligibility and Entitlements
6.8. Free, prior, and informed consent
7. Budget for Assessment and Mitigation of Access Restrictions
8. Monitoring, Evaluation and Reporting Arrangements
9. Schedule for the Preparation and Implementation of the AR Action Plan

137. The guidance, provisions and requirements in each chapter of the Process Framework will be adhered to and utilized in the preparation of each of the sections of the AR Action Plan.

- Each AR Action Plan prepared for a subproject with AR impacts will start with the Introduction, which states the purpose of the AR Action Plan and clarifies the background of the Project and the specific subproject of concern, comparable to section 1 of this PF.
- Under section 2 on the Legal and Policy Framework for Access Restrictions each AR Action Plan will state that it will adhere to the applicable laws and regulatory framework of Rwanda, the applicable environmental and social policies and standards of GCF and IUCN, and the Project Access Restriction Policy.
- Section 2.1 of the AR Action Plan will include and refine the analysis of the legal and regulatory framework of Rwanda relevant to AR. In particular the local legal and regulatory context applicable to AR in the subproject area needs to be considered.
- The Project AR Policy as stated in the Process Framework will be included under Section 2.2 of each AR Action Plan. It will again be indicated that the subproject is required to comply with the provisions of the Project AR Policy.
- In section 3 the institutional arrangements for the management of access restrictions for the Project as a whole and for the specific subproject with all relevant roles and responsibilities will be clarified.
- Section 4 reports on all the stakeholder engagement activities carried out during the preparation of the AR Action Plan for which all documentary evidence will be referenced and annexed to the AR Action Plan. The role and functions of the Grievance Mechanism will be fully clarified.
- Section 5 reports the results of all AR related social impact assessment (SIA) activities including participatory appraisal and the census of the PAPs for which all documentary evidence will be referenced and annexed to the AR Action Plan.

- Section 6 indicates in detail all agreed mitigation measures for AR impacts and clarifies the process of negotiating and reaching agreements. It provides an assessment of the viability of all specific livelihood restoration measures. An entitlement matrix listing the entitlements for all eligible types of persons affected by AR under the subproject is prepared. The process of reaching and confirming the free, prior, and informed consent of the persons affected by AR under the subproject is described and documented. All documentary evidence for the agreed mitigation measures for AR impacts under the subproject will be referenced and annexed to the AR Action Plan.
- Section 7 provides the budget for mitigation measures under the subproject.
- Section 8 clarifies the specific monitoring, evaluation and reporting arrangements for the subproject.
- Section 9 provides an indicative schedule for the preparation and implementation of AR mitigation under the subproject.

Annex 6 Stakeholder Engagement Plan

GCF - TRANSFORMING EASTERN PROVINCE THROUGH ADAPTATION (TREPA) – STAKEHOLDER ENGAGEMENT PLAN (SEP)

BY IUCN Regional Office in Kigali, Rwanda (February 2020) updated on 19th April 2021

1 Introduction and objective of SEP

According to Environmental and Social Management Systems (ESMS) policy framework of the International Union for the Conservation of Nature and Natural Resources (IUCN), stakeholder engagement is a process involving stakeholder identification and analysis, planning the actual forms of engagement and implementing the actions. Engagement strategies include dissemination/disclosure of information, consultation and participation during all phases of the project cycle as well as for addressing grievances and on-going reporting to stakeholders. Thus, Stakeholder Engagement is one of the eight principles that govern ESMS[69].

The development of the Transforming Eastern Province through Adaptation (TREPA) Project is expected to have positive impacts on residents and other local stakeholders, but negative impacts cannot be fully excluded. Following the IUCN and Rwandese principles, standards and legislation, it therefore needs meaningful stakeholder participation to enhance the benefits of the project for local stakeholders and create a transparent process for all parties affected.

A meaningful engagement process supports an early and effective identification, assessment and management of any environmental social risks, impacts and opportunities. The views and interests and concerns of the project affected communities and other stakeholders are heard, understood, and taken into account throughout the project life cycle.

The objectives of this Stakeholder Engagement Plan (SEP) are to:

- Develop a Stakeholder analysis for the project
- Provide a summary of all stakeholders consultation that took place during the design phase of the project and
- Provide a stakeholder engagement plan during the project implementation phase

2. Project description

2.1. Project baseline

The local communities and institutions in the Eastern Province face many challenges such as poverty, low land productivity, food, fodder and water shortage, increasing gaps between demand for and supply of forest products, both timber and non-timber forest products. Two main drivers, i.e. climate-change and landscape degradation were identified several years ago. Local stakeholders alone cannot solve all issues encountered in their landscapes. It is even more alarming when stakeholders cannot address the first priorities in the numerous catchment areas, such as food security and adequate water supply. At present, local communities and institutions lack the means to adapt to consequences of climate change. They also lack the means to play a pivotal role in climate change mitigation.

Climate change and its weather vagaries, especially droughts and erratic rainfalls on the one hand, and landscape degradation characterized by erosion, bush fires, flooding, heavily disturbed habitats on the other hand are two faces of the same coin, alas, mutually reinforcing.

There is abundant evidence that the local communities are vulnerable to climate change in all districts of the Eastern Province. The rainfall pattern has become more erratic. A disturbed rainfall pattern has severe consequences in almost every semi-arid landscape of the Eastern Province. Indeed, the annual precipitation is around 800 mm. With this level of precipitation, an even pattern of rainfalls over the rainy season is actually crucial to the rural economy not only in the province but also in the country. Erratic rainfalls often damage crops and result in low productivity. Erratic rainfalls are often related to strong variation in rain intensity and rain intensity is strongly correlated to erosion and low land productivity. Farm land and grazing areas being less productive, shortage of food for the population and shortage of fodder for the cattle occur more and more often in this part of Rwanda.

From a socio-economic angle, poverty and the lack of food are two powerful barriers that prevent sustainable development because they leave the local population with no choice but engaging in short-term tactics, sometimes a survival mode. From an environmental angle, land erosion is one of the most serious threat, especially in a country heavily populated where 80 % of the population rely on land for their subsistence. Access to land is very limited. Therefore, sustaining the land productivity is of paramount importance.

These two powerful barriers and this serious threat make local populations and institutions increasingly vulnerable to the negative consequences of climate change. However, the transition from an insidious level of land degradation and an alarming sluggish rural development is technically feasible and financially affordable. In Rwanda – and this EP is no exception – the stakeholder engagement can be impressive.

2.2. Objective of TREPA

The main objective of the TREPA project is to lead to a paradigm shift from degraded and vulnerable land in the Eastern Province unable to sustain livelihoods to a climate resilient landscape providing development opportunities for smallholder farmers. The degraded and climate sensitive land will be transformed by adaptive water and soil management practices and technologies to build resilience in the landscape to sustain agro-ecological systems and

[69] IUCN 2019. IUCN Environmental and social management system (ESMS), Stakeholder Engagement in IUCN projects, Version 2.0-March 2019.

livelihoods. Investment opportunities coupled with improved land use planning and management will set the scene for transforming the landscape. The project approach is centered on landscape-scale restoration of degraded lands informed by improved climate risk evaluation. Local and national institutions will be strengthened to govern forest and pasture resources at all levels. The project aims at building resilience to the impacts of current and future climate change while advancing equitable social welfare and income generating opportunities. This will be achieved in the following ways:

- Building and strengthening the currently weak institutional capacity and government systems to support rural communities to adapt to and manage climate risks;
- supporting investment opportunities and empower the communities to transform their drought-dominated, heavily degraded lands through increased access to finance by means of new financial products and services for farmer adoption of restoration and climate-resilient forest and agroforestry practices ;
- enhance inclusivity and competitiveness of climate resilient commodities market systems and ensure long-term business sustainability through; strengthening business linkages for efficient value chain performance; increase the productivity and profitability of smallholder farmers with the aim of alleviating poverty and reducing the number of those experiencing food insecurity, while increasing the number of those readily accessing markets;
- strengthening rural communities' awareness and understanding of climate change, its impacts and adaptation, and enhancing communities' ownership of adaptation interventions and plans; and
- Facilitating community-based local adaptation planning to deploy resilience building measures and adaptation technologies to strengthen vulnerable food insecure households under conditions of increasing climate-induced droughts.

2.3. Project location

The project will be implemented in the Eastern Province, which was prioritized based on biophysical and social factors, which underpin the high climate vulnerability of Rwanda's economy, the ecosystems and people in the area. The criteria included: (1) contribution of the region to agricultural production and food security in the country; (2) high social and ecological vulnerability to climate change; (3) very high exposure to climate risks such as droughts; (4) high poverty and malnutrition levels; and (5) high levels of land degradation (see section 6 in Feasibility Study).

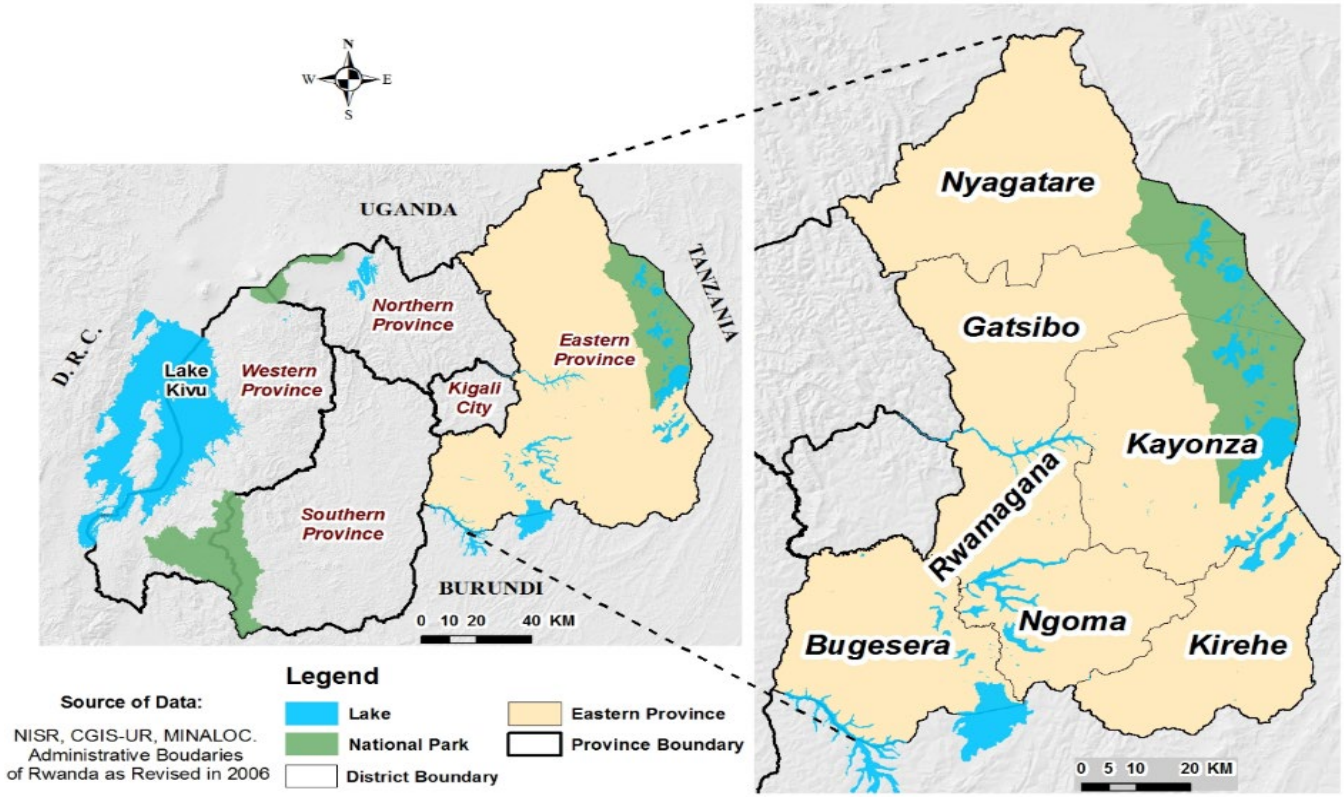

Figure 2. Map of the Eastern Province of Rwanda.

The Eastern Province covers an area of 9,813 km² (20% of country's territory) and includes seven districts: Bugesera, Ngoma, Kirehe, Rwamagana, Kayonza, Gatsibo and Nyagatare. The province is characterized by diverse ecosystems including savannah, swamps and montane, moreover the Akagera National Park is located there. The Province is the most populated in Rwanda with 2,595,703 people (25% of total population) for 2012. One third of this population lives in poverty (37%) and 15% live in extreme poverty (see Table 1).

Table 1: *Population distribution in seven districts of Eastern Province, ecosystem and status of land degradation*

District name	Population	Ecosystems	% of Land degradation (Area in ha)
Ngoma	336,928	Eastern Plateau (1200-1500m of altitude) largely comprises ecosystems where natural vegetation is rare and was gradually replaced by human activities. They include farmlands, some wetlands with a limited number of marshlands used for agriculture and few gallery forests (in Kirehe District) and forest plantations. It rains between 950-1050mm/year. *(Parts of Kayonza and Kirehe)*	24% (20,976)
Gatsibo	433,020		32% (50,218)
Rwamagana	313,461		22% (14,968)
Nyagatare	465,855	Eastern Savannah (below 900m of altitude) are comprised of farmlands, pasturelands, numerous wetlands and semi-arid ecosystems, where the prevalent natural plant species are thorny shrubs and trees, especially Acacia spp and herbaceous characteristic of dry lands. *(Parts of Kayonza and Kirehe)*	54% (103,850)
Kayonza	344,157		39% (75,477)
Kirehe	340,368		40% (47,324)
Bugesera	361,914	Bugesera (900-1200m of latitude) is an area whose colonization by humans is relatively recent and was largely covered by natural forests. It is characterized with arid and semi-arid areas, numerous lakes and swamps that cover an estimated 10,635 ha. It rains about 810mm/year with poorly distributed rains.	48% (61,317)
Total	2,595,703		331 ,130

The project will transform this tendency in the Eastern Province by incentivizing more sustainable and climate resilient practices on arable lands, while restoring and protecting more fragile lands.

3. Project components

The project will achieve its objectives through three integrated components to deliver a paradigm shift through cross-cutting outputs that bring adaptation results with mitigation co-benefits.
Component 1: Restored landscapes that support climate resilient agro-ecological systems and livelihoods in Eastern Province
This component is designed to scale up climate resilient landscape restoration and management good practices giving priority to most degraded areas and in collaborated with farmer groups – which are organised and strengthened in component 2. The main activities are related to agroforestry, silvopastoral systems, protective restoration and woodlot management, linked to clean cooking fuel and technology.

Data on successful interventions under component 1 will be systematically collected and synthesized through the TREPA-Rep mechanism established under component 3 which will be maintained after project closure to ensure replication of activities in the eastern province and throughout Rwanda.
Component 2. Farmers and communities have resources and capacity to restore, benefit from, and maintain climate resilient landscapes
Component 2 will focus on the improvement of the conditions in and around targeted value chains to facilitate the sustainability of the restoration actions in Component 1. Sustainability will be achieved by strengthening the Farm and Forest Producer Organisations (FFPOs) to benefit economically from both diversified production systems and enhanced ecosystem. Enhanced ecosystem functionality will support improved practices for, and quality of, land health, which will result in increased yields from reduced erosion, improved soil productivity, improved water flows, functions which have been lost and accelerated due to the degradation of the landscape acerbated due to changes in climate conditions. Based on the results from Component 1 (diversified production and increased productivity through practices improving soil health, water flows, and pest and disease management through antagonistic animal-plant interactions), outputs under Component 2 will further strengthen livelihoods by enabling FFPOs to increase the economic benefits from climate-resilient land use management through: i) enhanced organizational and management capacities in FFPOs, ii) value adding to products available through tree based restoration activities and more equitable business relationships with other value chain actors and iii) working with national financial services and credit providers to enable access to finance required for financial sustainability of restoration actions and increased resilience of markets to predicted climate impacts.
Component 3. Strengthening of national and local institutional capacity and cross sectoral coordination to mainstream climate resilience in land management and planning
This component aims to effectively mainstream climate adaptation in national and sectoral strategies and to create an enabling environment for long-term and sustainable adaptation project results. The project adopts a strategy for mainstreaming based on using a climate lens to screen current policies and strategies and integrate climate resilience metrics for improved monitoring and reporting. These policies will further provide the opportunity to build-in appropriate climate proofing measures and include projects and activities than can reduce climate vulnerability. This will lead to a

systematic consideration of climate change risks and adaptation in policy planning that will be sustained beyond the project duration.

4. Project execution entities

The project will be executed by four agencies, namely the Ministry of Environment (MoE), the Rwanda Water and Forestry Authority (RWFA), the International Union of Conservation of Nature and Natural Resources (IUCN) and the Belgian Development Agency (ENABEL). These organizations have jointly developed the Funding Proposal. They are briefly presented below:

- **Ministry of Environment (MoE)** is leading ministry for this project, it was created in 2017, by a Prime Minister's Order No.131/03 determining, mission and functions, organisational structure of the Ministry of Environment. MoE has the general mission of ensuring the conservation, protection and development of the environment. MoE has also a mission of ensuring the safeguard of green and climate resilience for growth economy. MoE also plays major roles in resources mobilisation, supervision of actions and rational utilisation of resources and funds.
- **International Union of Conservation of Nature and Natural Resources (IUCN):** IUCN is an Accredited Entity with GCF. IUCN will oversee the project implementation and be accountable to GCF. IUCN will be responsible for ensuring that appropriate standards are adhered to, including procurement, finance, reporting and monitoring, and environmental and social safeguards.
- **Belgian Development Agency ENABEL:** ENABEL is the Belgian Development Agency and its mission is to implement and coordinate the Belgian international development policy. ENABEL implements the Belgian governmental cooperation in its 14 partner countries but also provides expertise to other donors. The cooperation between Rwanda and Belgium dated from 1962 since the independence of the country. Belgian has been providing financing in many domains of development of the country including energy, health and decentralisation, capacity building, improving food security etc. Agriculture and food security have been the core of this bilateral cooperation and funds allocated to these sectors increased over the years.
- **Rwanda Water and Forestry Authority (RWFA):** RWFA was created by the Law No. 06/2017 of 3rd December 2017 and has the missions of (1) to implement policies, laws, strategies and Government decisions related to the management of forests and natural water resources; (2) to advise Government, monitor and coordinate the implementation of strategies related to the management of forests and natural water resources; (3) to assist public and private institutions in charge of management of forests and natural water resources in a bid to fight erosion; (4) to establish programmes and strategies for production of tree seeds; (5) to prepare programmes of reforestation, forest promotion and appropriate management and support districts in the management of forests and natural water resources; (6) To undertake research, studies and other relevant activities with regard to the importance of forests in the national economy and to the exploitation of trees and wood-based products and disseminate the findings; and (7) To assist in the establishment of standards and regulations relating to the management of forests and natural water resources.

With the adoption of the law No. 72/2019 and Law No 71/2019 of 29th January 2020, establishing the Rwanda Forestry Authority (RFA) and the Rwanda Water Resources Board (RWB), the property, liabilities, responsibilities and contracts of the RWFA have been transferred to the newly established institutions RWB and RFA. Some of the newly established responsibilities of RWB and RFA related to TREPA project interventions are summarized in Table 2.

Table 2: *Responsibilities of RWB and RFA created in January 2020*

Rwanda Water Resources Board (RWB)	Rwanda Forestry Authority (RFA)
- ° to implement national policies, laws and strategies related to water resources; - to advise the Government on matters related to water resources; - to establish strategies aimed at knowledge based on research on water resources knowledge, forecasting on water availability, quality and demand; - to establish strategies related to the protection of catchments and coordinate the implementation of erosion control plans; - to establish floods management strategies; - to establish water storage infrastructure; - to establish water resources allocation plans; - to establish water resources quality and quantity preservation strategies; - to control and enforce water resources use efficiency; - to examine the preparation of roads, bridges, dams and settlements designs in order to	- to implement policies, laws, strategies and Government decisions related to the management and utilisation of forest resources; - to advise the Government in matters relating to management and utilisation of forest resources; - to work with public and private institutions in charge of management of forests in a bid to increase their production and control of soil erosion; - ° to prepare the plan for increasing forest resources; - to establish strategies for multiplication and supply of tree seeds; - to develop strategies for sustainable forest management and establish the significance of forests in the national economy; - to support Districts and the City of Kigali in the management and sustainable utilisation of forest resources - to conduct research on forest issues and disseminate the findings;

ensure flood mitigation and water storage standards; - to monitor the implementation of flood mitigation measures and water storage during the implementation of roads, bridges and settlements' plans; - to cooperate and collaborate with other regional and international institutions with a similar mission	- to establish standards and regulations relating to the management and utilisation of forest resources; - to provide relevant organs with strategic guidance and participate in the rehabilitation of degraded landscapes through tree plantation - to set strategies related to processing of and value addition to production from forests and ensure their implementation; - to set and ensure the implementation of strategies related to non-timber forest products processing and value addition; - to monitor and coordinate the implementation of strategies related to management and utilisation of forest resources; - to cooperate with other international institutions and organisations sharing a similar mission.

5. Stakeholder Analysis

In addition to the four key stakeholders presented above that act as executing entities, there is a large range of other stakeholders that will be engaged by the project, by further consulting them, keeping them informed about the project, involving them in the execution of specific tasks, seeking their knowledge and research expertise or in other ways. In addition, there are stakeholders whose rights, interest, capacities or conditions might be influenced by the project, either positively or negatively. These include stakeholders such as local communities, village leaders, smallholder farmers located in the project's interventions sites, vulnerable groups, non-government organisations (NGOs) and communities based organizations (CBOs), and many other civil society organizations on the ground.
In order to better understand the interest of stakeholders, potential impacts of the project and as a preparation to design future engagement strategies, a stakeholder analysis has been undertaken which is depicted in table 3.

Table 3: List of stakeholders for TREPA project

Stakeholder Analysis				
Stakeholder	**SH's mandate and main capacity/ expertise in areas related to the project**	**Potential influence of the SH on the project** Is there an interest to contribute to the project's success? If yes, in what areas (e.g. knowledge, resources, influence). Or might the SH have different interests and potentially hinder the project or have no effect on the project's success at all?	**Potential impact of the project on the SH** Will the project enhance the SH's role, status, capacities or specific conditions? Or could the project potentially affect the SH negatively?	**How to engage in project (early ideas)**
Government agencies (national, provincial, local)				
Ministry of Environment (MoE)	Its mission is to ensure protection and conservation of environment and safeguard of green and climate resilience for growth of the economy	As the NDA for Rwanda will support the submission of the project to GCF; therefore has a strong stake in the project	The project will be contributing to the mission of MoE of protection and conservation of environment and safeguard of green and climate resilience for growth of the economy	Bilateral meeting
Rwanda Water and Forestry Authority (RWFA) now divided into RWB and RFA	Project falls within its mandate of supporting district in forest management, to fight erosion, production of tree seeds, reforestation, forest promotion, and forest landscape restoration	As executing entity will be instrumental for the success of the project ; Provide political support on the planning, preparation, implementation and evaluation of project processes to ensure its integration in the overarching strategies and programs of Rwanda	Project will contribute to the mission of RWFA related to reforestation, research and studies regarding the importance of forests in the national economy and to the exploitation of trees and wood based products and disseminate the findings;	Bilateral meeting and review of project documents, monitoring and evaluation
Belgian Development Agency (ENABEL)	Project falls within its mandate/mission of building a sustainable world where women and men live under the rule of law and are free to thrive, enhancing the impact of Belgium in international development, promotion and implement sustainable development sustainable development initiatives. Key relevant sector competencies include sustainable agriculture, natural resource management and food security	As executing entity will be instrumental for the success of the project; might take over management tasks of the project and provide technical inputs such as supporting the private sector and communities in the promotion of clean and efficient cooking energy technologies and manage relationships with and advise key partner institutions	The project falls in one of the domains of intervention of ENABEL in Rwanda of agriculture and sustainable management of forest resources by reducing the gap between supply and demand biomass	Steering committee, review of project documents, project management
Rwanda Environment Management Authority (REMA)	Project falls in its mission of promoting and ensuring the protection of the environment and sustainable management of natural resources through decentralized structures of governance and seek national position to emerging global	REMA will provide expertise in landscape restoration activities, park buffer zones protection, planting tree along the roadsides, lakes and rivers shores as it has significant experience in implementing similar projects in the country. REMA will also intervene in	The project will contribute to the protection of environment and natural resources, through plantation of trees on roadsides and on shorelines of the rivers and Lakes, activities that have been done by REMA	Involvement in M&E

Stakeholder Analysis				
Stakeholder	**SH's mandate and main capacity/ expertise in areas related to the project**	**Potential influence of the SH on the project** Is there an interest to contribute to the project's success? If yes, in what areas (e.g. knowledge, resources, influence). Or might the SH have different interests and potentially hinder the project or have no effect on the project's success at all?	**Potential impact of the project on the SH** Will the project enhance the SH's role, status, capacities or specific conditions? Or could the project potentially affect the SH negatively?	**How to engage in project (early ideas)**
	issues with a view to enhancing the well-being of the population of Rwanda	monitoring and evaluation of the successful implementation of the project activities		
Rwanda Meteo Agency (RMA)	Its mandate includes identification of climatic zones of the country and provision of advanced information on unusual weather conditions that may cause disasters, provide advice and educational information through the medias and provide meteorological information to any interested person	RMA a sole custodian of all meteorological data, it will provide to the project reliable weather and climate information, climate service for agriculture and hydrometeorology	Some components of the project may influence the microclimate of the area, but this outweigh the negative impacts of not having the project and they will contribute to the mandate of RMA of monitoring , analysing and advising on global climate change.	Involvement in M&E
Ministry of Infrastructure (MININFRA) – Energy department	MININFRA works on improving the biomass subsector which covers wood-based (charcoal and wood) energy sources and biogas. Objectives and targets are to halve the number of households using traditional cooking technologies and achieve a sustainable balance between supply and demand of biomass through promotion of most energy efficient technologies[70].	MININFRA has interest on the successful implementation of TREPA project as MININFRA as a national leading agency all activities regarding Improved cooking stoves (ICS), energy coming from wood, charcoal and biogas,	Positive as the project will contribute to the dissemination of ICS and other energy saving technologies and as such to the objective and operational targets of biomass energy subsector of MININFRA	In M&E of energy saving technologies (ICS)
Rwanda Cooperative Agency (RCA)	The project falls in the responsibility of RCA of assisting cooperative organizations in their capacity building through training and seminars of its members and managers	Most of activities of the project will need to be implemented by the cooperatives, for exampling establishment of tree nurseries, tree plantations. Even the payment of local labour is generally done via their accounts opened in Saving and Credit Co-operative Societies (SACCOs)	Positive - Increasing of income of households and more savings in Umurenge Savings and Credit Cooperatives (SACCOs)	In coordination of SACCOs involvement in the project
Rwanda Development Board (Akagera national park)	RDS as a public institution responsible for the management of the Akagera National Park and other parks in the country.	As the managing agency of Akagera Park and its buffer zone, its involvement in the project activities will contribute to its successful completion. RDB is already active in the project area and it can be	Positive - Landscape restoration, agroforestry and tree planting will reduce the pressure of the population to the National Park seeking for firewood, especially the protection of	In monitoring and evaluation of activities undertaken in the buffer zone of the park

[70] https://www.mininfra.gov.rw/fileadmin/user_upload/Biomass_Energy_Strategy_-Rwanda_-_October_2019.pdf

Stakeholder Analysis				
Stakeholder	**SH's mandate and main capacity/ expertise in areas related to the project**	**Potential influence of the SH on the project** Is there an interest to contribute to the project's success? If yes, in what areas (e.g. knowledge, resources, influence). Or might the SH have different interests and potentially hinder the project or have no effect on the project's success at all?	**Potential impact of the project on the SH** Will the project enhance the SH's role, status, capacities or specific conditions? Or could the project potentially affect the SH negatively?	**How to engage in project (early ideas)**
		very difficult to work in the buffer zone without its involvement	the buffer zones of the National Park, will reduce encroachment of the park	
Ministry of Agriculture (MINAGRI)	The project fall in the mission of MINAGRI of initiating, developing and managing suitable programs of transformation and modernization of agriculture and livestock to ensure food security and to contribute to the national economy, including restoration and tree planting.	Support in integrating agroforestry practices in farming systems and collaboration in strengthening agroforestry extension services including technical assistance in farmer trials, demonstration sites and farmer field schools (FFS) trainers and facilitators to develop, implement and transfer climate – smart agroforestry practices	Positive - Tree nurseries, landscape restoration, use of fertilizers and other agricultural inputs, and agriculture smart agricultures are expected to lead to increased crop yield, food security, soil conservation and wise use of water resources, and as such supporting objectives of MINAGRI	In national steering committees and review of project reports
7 districts of EP	Each district is decentralised entity linking the central government and local communities.	Political support in mobilizing the population for undertaking agroforestry-based landscape restoration research and development activities in sectors and dissemination of energy saving technologies (ICS)	High contribution to the performance contracts of the districts	In monitoring and evaluation of all interventions
District Joint Action Development Forum (JADF)	JADF is a multi-stakeholder platform that was put in place to facilitate and promote full participation of citizens in the decentralized and participatory governance and improve service provision processes with representatives from the public sector, private sector and civil society	As JADF is found at each district and comprises representatives of private and public sectors, local and international NGOs, faith-based organizations and other development partners working in the district, it will be a good channel for communication of TREPA project activities	TREPA project falls under the vision of JADF of active Rwandan communities participating in sustainable and inclusive development driven by mutual accountability	In implementation of project activities
Sectors and Cells in Eastern Province	Under each district there is a number of sectors reporting to the district (without financial autonomy).	Political support in mobilizing the population for undertaking agroforestry-based landscape restoration research and development activities in cells and villages	Overall positive as most of the project activities (ICS, rainwater harvesting systems, boreholes for livestock, agroforestry) will contribute to the improvement of livelihoods of the population within the respective administrative boundaries. There might be some competition though over the allocation and access of resources	in all activities of landscape restoration, agroforestry and silvopastoral

Stakeholder Analysis				
Stakeholder	**SH's mandate and main capacity/ expertise in areas related to the project**	**Potential influence of the SH on the project** Is there an interest to contribute to the project's success? If yes, in what areas (e.g. knowledge, resources, influence). Or might the SH have different interests and potentially hinder the project or have no effect on the project's success at all?	**Potential impact of the project on the SH** Will the project enhance the SH's role, status, capacities or specific conditions? Or could the project potentially affect the SH negatively?	**How to engage in project (early ideas)**
			provided by the project which could lead to tensions.	
Local communities				
Farmers' field schools groups[71] .	FFS groups are effective and efficient decentralised way to help and improve service delivery to farmers at grass roots level. Relatively new farmer affinity groups supported by MINAGRI, to train farmer champions in best practices, who train village trainers.	Agents of innovation and new practices, new species to plant and use of agroforestry in restoration and cropping.	Potentially positive as the project will provide training on new agriculture, agroforestry and water management and conservation technologies	in all activities of landscape restoration, agroforestry and silvopastoral actvities
Small famers and farmers' cooperatives	Direct beneficiaries of the project activities	Participation in on-farm experimentation (set-up and management of participatory trials), provision of land and plantation of tree	Potentially positive as livelihood conditions of local communities are expected to improve, the market value of their lands will increase and the productivity of the land will improve	in all activities of landscape restoration, agroforestry and forestation
Umurenge Savings and Credits cooperatives	Based at sector level, working with the smallholders farmers and local communities	Provision of small loans to its members, will accelerate their integration in the project activities	Potentially positive as participants of the cooperatives are expected to economically benefit from the project; hence the operations of the cooperatives will increase as more savings will be deposited and more loans will be requested during the project implementation period	Through regular meetings
Vulnerable peoples of Ubudehe categories 1 and 2	Ubudehe plays a central role in determining the flow of government resources aimed at social protection. Ubudehe categorisation ranges from 1 to 4, respectively from the very poor to the richest people, where by categories 1 and 2 which are considered as vulnerable[72]. Vulnerable peoples in category I and II of Ubudehe,	Their active involvement in the project activities as labourers or by providing the land for the project activities is expected to positively influence projectsuvvess. Their resistance to the project activities could result to its failure	Potentially positive as agriculture yield is expected to increase due to the project, hence stabilizing or increasing income of vulnerable households	To be given priority in selection of ICS beneficiaries and as labourers

[71] http://www.gov.rw/newsdetails2/?tx_ttnews%5Btt_news%5D=1306&cHash=ea5393771e3b62c24efad009a5a65464
[72] https://www.econstor.eu/bitstream/10419/186097/1/1010306332.pdf , http://www.minecofin.gov.rw/fileadmin/templates/documents/NDPR/Sector_Strategic_Plans/Social_protection.pdf

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	occupy a big portion of the population of EP.			
Association AVEGA Agahozo	This is an association of widows of genocides against Tutsi in 1994 and their dependants' orphans. They are present in all districts of EP. Some of them are suffering from AIDS during raping during Genocide and receive antiretroviral therapy of HIV[73].	The majority of them own unutilised lands, and for example in Kayonza District they have a cooperative making handcraft clay bricks and agricultural activities	Potentially positive – they might benefit from the project providing energy saving technologies; additional positive factors are reduction of respiratory diseases due to poor cooking technologies	Continuous collaboration and consultations
Villages loans and saving groups (VLSGs)	These are groups of local communities found in each village of the project area, where every week people meet and put together a weekly saving in form of shares for their social economic development activities	As influential people and resource persons at village level, they are among direct beneficiaries and participants to the project activities, having lands and who can financially contribute to the project	Potentially positive as a cooperation with the project activities could increase the weekly share contributions of these VLSGs. Trainings will also be provided to them	Continuous collaboration
National women council (NCW)	This commission is represented at each administrative level and at each level starting from village is composed of nine members. The project activities fall in NCW's mission of building women's capacity and ensuring of their participation in national development through advocacy and social mobilisation	The mobilisation of women is needed in the project activities as they are even the majority of beneficiaries of the project in EP, largely involved in agricultural activities than men, in cooking and seeking of firewood. Thus, their fully participation is compulsory	Potentially positive as a cooperation with the project could contribute to the mandate of NWC as it will improve the livelihood conditions integrate women in social economic development activities of the country	During starting and execution of the project activities through meeting
National Youth Council (NYC)	This project falls in the mission of NYC of facilitating and encourage youth to participate in socio-economic development and transformation of a sustainable society and they are represented at	Currently the youth is joining agricultural sector as way of income generation due to the lack of employment opportunities in other sectors, they play a major role as they occupy a high percentage of Rwandan population	Potentially positive as a cooperation with the project would contribute to the mandate and mission of NYC of integrating the youth in social economic activities of the society	Through consultation, meeting and trainings

[73] https://gruber.yale.edu/womens-rights/avega-agahozo

Stakeholder Analysis				
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	each administrative from the village to the national levels			
Civil Society Organizations and NGOs				
One Acre Fund (OAF)	A non-profit social enterprise that supplies financing and training to help smallholders grow their way out of hunger and build lasting pathways to prosperity	Support mobilization of the private sector community to engage in adaptive research activities. Support piloting of investment packages through its strategic priority of promoting high nutritious value chains Provide orientation to the implementation of adaptive research, provision of seeds and fertilizer on credit to famers, Delivery of inputs to every farmer in the project area. Training of Farmers on modern agricultural techniques. Market Facilitation farmers	Potentially positive: OAF is already working with small holder farmers in the area, hence a cooperation with the project could contribute to their business model of generating positive impacts to the lives of smallholder farmers, through provision of agriculture inputs and seeds	Continuous collaboration Though provision of training to farmers, agricultural inputs and seeds as he is used with working with them in Eastern Province.
World Vision	Faith-based international development NGO, active in microfinance and development activities in the Eastern Province	Will provide co-financing, and tech training and support for microfinance work in some villages. Support mobilization of the private sector community to engage in adaptive research activities. Support piloting of investment packages through its strategic priority of promoting high nutritious value chains and provide orientation to the implementation of adaptive research	Positive as the project will be supplementing what WV is already doing in the region	WV can be involved in trees plantation and during training
Private Sector				

Stakeholder Analysis				
Stakeholder	**SH's mandate and main capacity/ expertise in areas related to the project**	**Potential influence of the SH on the project** Is there an interest to contribute to the project's success? If yes, in what areas (e.g. knowledge, resources, influence). Or might the SH have different interests and potentially hinder the project or have no effect on the project's success at all?	**Potential impact of the project on the SH** Will the project enhance the SH's role, status, capacities or specific conditions? Or could the project potentially affect the SH negatively?	**How to engage in project (early ideas)**
Improved cooking stoves makers	These are private companies that have developed different types of improved cooking stoves	Already this stakeholder is used with appropriate energy saving cooking technologies. He knows the preference of the population in the project area Without involvement of these SH, outcome of this activity cannot be achieved	Potentially positive as the project might provide business opportunities for this SH, via the promotion, selling and trainings on ICS products and technologies, dissemination of improved cooking stoves, testing of user-friendly improved cooking stoves (ICS) and production of knowledge materials on best practices	Provision of training and construction of ICS
Charcoal makers	Individual, groups of people making charcoal from wood resource and selling them to the population	As part of the local communities, they know the good species of tree, growing in the area and which ones producing good quality of charcoal, it is import to bring them on board.	Negative, as the project will most likely establish/increase restrictions to use wood resources as raw materials for charcoal production	Provision of training on forest plantation and harvesting
Collectors of firewood	This is a group on local communities which collect firewood used for domestic cooking at households. They do not own their forests or they cannot afford to buy charcoal	If an alternative sources of firewood are not provided to these SH, they can compromise the project activities, by collecting non grown trees	The tree plantation activities will restrict them to access forests as they are used to.	They can be involved in the forest plantations as labour and can be encouraged to use ICS
Users of non-timber forests	There is a number of fruit tree species and other non-timber trees that grow in the project area, which are appreciated by the community	As these trees will be planted on their lands. Attention should be taken on which species are liked by them such as macadamia, palm oil, Moringa which would increase household income and reduce malnutrition in the project area	Once, the non-timber forests are accepted by the local communities, they will positively impact on their living conditions.	Training on non-timber trees are needed
International organizations				
World Agroforestry Centre (ICRAF)	An international centre providing significant on social economic and environment development of Rwanda, through the provision of high quality tree seeds, increasing	Research and training on agroforestry, soil and water management, selection of silvopastoral packages, climate resilient silvopastoral packages to restore degraded rangelands and implementation	Potentially positive - a cooperation with the project might allow ICRAF to improve their work and results in landscape restoration, agroforestry and forestry and PhD students training and supervision	In training smallholder farmers and communities cooperatives, in review of project reports

Stakeholder Analysis				
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	forestry and agroforestry cover in Rwanda and capacity building	of specific adaptive research and capacity building activities		
Research institutions & universities				
Rwanda Agriculture and Animal Resources Development Board (RAB)	National agency in charge implementation of all government policies related to agriculture development, using of technologies for forestry, soil and water management in food, fibre and fuel wood production and processing	Support in integrating agroforestry practices in farming systems and collaboration in strengthening agroforestry extension services including technical assistance in farmer trials, demonstration sites and farmer field schools (FFS) trainers and facilitators to develop, implement and transfer climate – smart agroforestry practices, selection of species of trees will be done together with RAB as well as nurseries and demonstration sites	Positive as project activities such as the provision of high quality seeds and seedlings, soil conservation and management, soil erosion control and increase of agroforestry and forestry cover lands of the country, will positively improve the agricultural yields, which is part of the mission of RAB	In research (supervision), review of project reports and M&E
University of Rwanda	A high learning institution based in Rwanda with undergraduate and post graduate (Master and PhD) programmes in agroforestry, soil management, water resources management	Co- supervision of PhD students and MSc internees across	Positive as the project intends to build the capacity of UR staff and students lead to increased publications and as such improve the reputation of the university	In research (supervision), review of project reports and M&E
University of Kibungo	As a private university located in the project sites, with agriculture and agribusiness teaching program	Provision of technical expertise in the field of wetlands irrigation and drainage	Positive as the project intends to build the capacity of university in field based and applied research	In research (supervision), review of project reports and M&E
Ghent University	High learning Institution based in Belgium with undergraduate and post graduate teaching programmes in agroforestry, soil conservation and water resources management	Teaching and supervision of PhD, MSc students undertaking research on agroforestry systems and components and agroforestry value chains.	Positive as four national PhD students will collect data on the project activities, and will publish results emanating from the project through a joint supervision with University of Rwanda and Ghent University	In data collection, survey and interviews with affected people

Stakeholder Analysis				
Stakeholder	**SH's mandate and main capacity/ expertise in areas related to the project**	**Potential influence of the SH on the project** Is there an interest to contribute to the project's success? If yes, in what areas (e.g. knowledge, resources, influence). Or might the SH have different interests and potentially hinder the project or have no effect on the project's success at all?	**Potential impact of the project on the SH** Will the project enhance the SH's role, status, capacities or specific conditions? Or could the project potentially affect the SH negatively?	**How to engage in project (early ideas)**
University of Leuven	An international institution for research and education based in Belgium	Teaching and supervision of PhD and MSc students undertaking research on agroforestry systems and improving cookstoves (ICS)	Four national PhD students will conduct research under the supervision of professors from University of Rwanda, interdisciplinary and interuniversity research platform,	Data collection, PhD proposal development and in review of technical reports

6. Summary of stakeholder engagement during project preparation

During the project preparation, several stakeholder engagement activities have been performed including informal and formal stakeholder mapping which was undertaken by IUCN staff, Rwanda Water and Forestry Authority (RWFA) and ENABEL in 2016-2017 that led to two early stakeholder workshops in Kigali and in Musanze, one in each year. Lists of stakeholder categories and then groups and individuals best able to represent them were developed, and invitations issued to the events. The SH consultations were conducted in four phases, which comprised individuals in the project zones of interventions, workshops with executing agencies, meetings in Kigali and focus group discussions with key stakeholders having interest in the project activities :

Phase 1: Meetings with key stakeholder representatives in the capital, Kigali and with Eastern Province stakeholders coming to Kigali. This two days' workshop was organized at Lemigo Hotel in Kigali and its objective was to enhance unique features the GCF "Scaling up Sustainable Forest Management, Landscape Restoration and Disaster Risks Reduction Programme for Rwanda (transformative impacts, adaptation relevance, bankability/sellability, and uniqueness) and develop an advanced version of the GCF concept note and a road map towards the full proposal for Rwanda. Issues and outcomes of the proposal preparatory phase are presented in Table 2.

Phase 2: involved individual meetings in all Eastern Province's 7 districts, with stakeholders contacted for this purpose, via a set of 6 team missions in May to July 5-6, 2018. More details on these consultations are provided in Table 4. TREPA consultant team members plus RWFA agency senior staff organized and made each mission, usually accompanied by one or more district staff. Missions started in the district government headquarters, meeting the mayor or vice mayor, district planners, forestry officers, agriculture support staff and trainers, water management specialists, etc. Joint Action Development Forum (JADF) staff were heavily consulted, since they have the mission of ensuring sustainable socioeconomic development and improved service delivery through the dialogue among stakeholders; active participation; accountability; information sharing and coordination of stakeholders' interventions in decentralized entities. JADF staff helped identify others to consult with in the district, usually including: women's groups, farmer cooperatives of men and women, tree nursery operators and workers, women managing households, farmers working private farms with agroforestry and other crops, cooperative agricultural and forest product supply chain trainers and workers.

Phase 3 of consultation continues the 3 previous broad stakeholder meetings held in Kigali in 2017, and the Inception Retreat in Musanze, May 2-3, 2018. A district validation workshop took place 2018 August 4th in Rwamagana District, the headquarters of Eastern Province, for representatives of the 7 districts. The elements of the draft proposal were shared at those meetings with stakeholders from districts and national governments and project partners. The outcomes of these stakeholder consultations are presented in Table 4.

Phase 4: Focus group discussions, during this phase a gender of expert working for TREPA project, met with various groups of stakeholder, in the project sites (all districts of Eastern Province); he also met representatives of public, private and non-government agencies, in Kigali and in EP. A summary on previous consultations in Phases 1, 2, 3 and 4 of TREPA project are also included in Table 4.

Table 4: Summary on stakeholder consultations during the preparation of TREPA project[74]

Documentation of Stakeholder Consultation (carried out during Project Design)				
Consultations (place and date)	**Organizations represented**	**Number of participants**[75]	**Form/methodology of consultation**	**Issues discussed and outcomes of discussion** (including how it influenced project design)
Lemigo Hotel, Kigali March 30-31, 2017	IUCN, RWFA, MINAGRI, MINILAF, MINIRENA, Belgian Technical Cooperation (BTC), Kirehe, Kayonza , Ngoma and Rwamagana Districts of EP, City of Kigali, Water for Growth	More than 30	It was a 2 days' workshop with presentations and discussions from various stakeholders (at national level and representative of EP) on GCF project proposal development	**Issues** discussed were: Situation analysis for Eastern Province, Opportunities and challenges in implementation of District Forest Management Plans, Updates from Districts on Forestry situation and challenges, Situation analysis for City of Kigali, Project Theory of Change and outcomes and Next steps, roles and responsibilities **The key outcomes** were to develop an advanced version of the GCF concept note and a road map towards the full proposal for Rwanda, and develop a Road map and a Work Plan and identification of the tasks towards concept and full proposal
Lapalme Hotel in Musanze , May 2-3	MINILAF, RWFA, MoE REMA, MINAGRI, ENABEL IUCN, Embassy of Netherlands, World Vision, City of Kigali, Eastern Province, MINAGRI	More than 20 peoples	A two day workshop retreat with presentations and discussions on different topics on GCF project proposal development	**Issues discussed:** Brief overview of GCF, overview of the TREPA proposal, Panel discussion on relevant positive and less positive lessons learned in Rwanda to inform TREPA design, break out groups to discuss land restoration as an integrating principle for the interventions including What are the best Climate Smart Agriculture practices to focus on in Eastern Province for TREPA, Lessons learned from local small-scale and larger financial approaches being tried in Rwanda or from other developing countries: What has worked? Are there lessons for TREPA, Ideas on potential methods and sources of co-financing, The role of the private sector in TREPA **Outcomes**: Feedback and guidance on the proposed interventions, and the logic for selecting the location of the project (Eastern Province is the convincing rationale), confirming the current approach and activities, Identify the Top Five "unique features" of the project—for designing and market development. Discuss data and trends for the Feasibility Study, and potential sources of co-financing and next steps forward.
Rwamagana District, 4th August 2018	IUCN, RWFA, MINILAF, staff of Eastern Province, Representative of the Rwanda Transport Development Agency in charge of road construction (RTDA),	28 (6F+24M)	A consultation meeting on TREPA project in Eastern Province	**Issues discussed:** Information sharing and update on development of a proposal for an environmental protection project in Eastern Province (TREPA). Some of the questions raised by participants were about the planned activities in Kirehe, approximately hills surrounding the Akagera Park, are highly degraded, and are prone to severe drought affecting not only agroforestry, but also forest cover; that most of the forest planted even recently are damaged, due to firewood and livestock farming and to put in place strategies to protect new planted forest and make clear who is accountable, who is responsible etc

[74] The participants are disaggregated by gender. More detailed lists of participants for some of the consultation meetings are presented in Annexes 1 to 5.
[75] Where M is for Male and F for Female

Documentation of Stakeholder Consultation (carried out during Project Design)				
Consultations (place and date)	**Organizations represented**	**Number of participants**[75]	**Form/methodology of consultation**	**Issues discussed and outcomes of discussion** (including how it influenced project design)
	representatives of 7 districts of EP, which included the mayors and technical staff in charge of agriculture and natural resources management, Joint Actions Development Forum (JADF); Journalists and private companies involved in tree plantations			**Outcomes:** More details on the costing of each activity should be sought from technical staff, to revise the cost estimates for the activities and potentially the activity targets, as there seems to be overestimation, not reflecting the reality on the ground. It was suggested a technical team meeting on this matter, which could involve Executive Secretary of Eastern Province and DG/RWFA, The species of trees to be planted need to address the site conditions and challenges of each area and the problem of management of planted forest needs to be included in the project design phase.
Kayonza District office June 2018	Kayonza district technical staff involved in agriculture, forestry and environment, including district agronomist, in charge of environment and sectors' agronomists	47(21 F+15 M)	Face to face consultation meeting	**Issues:** Discussion of the project concept note, which included the project components, outcomes, and zone of interventions **Outcomes**: Limited funds availability for implementation of Land use Master Plan and Forestry. However, special government earmarked funds as District recently in crisis. Household based strategy to increase number of forest trees. Household needs not yet assessed, Information on status of forestry, plans and the high potential for Shade Grown Coffee system and opportunities for fruit trees. Absence of DFMPs, approach to solving the issue of termites. Identification of preferred fruit trees by the farmers: Mango, Avocado and Citrus and farmers could prepare seedlings if tubing and inputs available
Gatsibo, kayonza and Nyagatare Districts	Staff of districts administration of Gatsibo, Kayonza and Nyagatare in charge of agriculture, representatives of JADF, planning, natural resources management and sectors' agronomists	44 (3F+41M)	Face to face consultation meeting	**Issues:** Discussion of the project concept note, which included the project components, outcomes, and zone of interventions **Outcomes:** **In Kayonza District** the area close to Akagera National Park was suggested as the priority area for afforestation, fruit trees and agroforestry and . **In Gatsibo:** Attention was drawn to the danger with much planting with Eucalyptus spp, agroforestry focusing on the need of the farmers, improved pastoralism, improved tree planting method, and protection of soils and banks of water streams with bamboos. They prefer to partner is IUCN in forestry and agroforestry in parts of some Sectors. Tree/shrub species: Grevillea, Calliandra, Acacia spectabilis, Casuarina, Existence of cooperatives of seedlings producers Lack of intervention to support tree planting on private lands Provided data on cattle rearing and informed of the willingness by cattle keepers for tree planting on pasturelands

Documentation of Stakeholder Consultation (carried out during Project Design)				
Consultations (place and date)	**Organizations represented**	**Number of participants**[75]	**Form/methodology of consultation**	**Issues discussed and outcomes of discussion** (including how it influenced project design)
				Seedlings are produced by Reserve Forces and distribute them free of charge. Seedlings are damaged and wither because they are transported from too long distances and prepared in different weather conditions
2 meetings in Kirehe and Bugesera Districts, Sept 17th	Staff of district administration of Kirehe and Bugesera Districts in charge of agriculture, natural resources, planning and sectors 'agronomists	34 (6F+28M)	Face to face consultation meeting	**Issues:** Discussions were description of the project concept note, which included the project components, outcomes, and zone of interventions
Nyagatare District, 27 June	Staff of district administration of Nyagatare District	17(3F+14M)	Face to face consultation meeting	**Issues:** Discussions were description of the project concept note, which included the project components, outcomes, and zone of interventions **Outcomes:** Need of a District Forest Management Plan (DFMP). Government earmarked funds for tree planting and agroforestry (with fruit trees); Ongoing intervention by Water for Growth (W4G) in Karama Sector (land husbandry, agroforestry and riverbank protection); Intervention of WV in 6 Sectors but producing only 50,000 seedlings per Sector; District encouraged cattle keepers to plant fodder trees on their pastures but are slow to learn; needs more sensitization
Rwamagana district, June 27th	Farmers field school groups facilitators	26(7F +19M)	Face to face consultation meeting	**Issues: (1)** Discussion of the project concept note, which included the project components, outcomes, and zone of interventions. (2) Role of Communities during project development: Communities represented by farmer field schools, requested full involvement in the project development stage and implementation. This includes being represented during the formation of project steering committee and other project governance mechanisms at national and districts level. **Outcome**: Farmer representative will be involved in the project steering committee, both at national and district level. (2) Farmers represented by the local leaders have been engaged during proposal development.
Ngoma and Bugesera Districts, July 5th	Staff of district administration Ngoma and Bugesera districts in charge of agriculture, natural resources, planning and sectors 'agronomists	34(8F +36 M)	Face to face consultation meeting	**Issues:** Discussions were on description of the project concept note, which included the project components, outcomes, and zone of interventions

Documentation of Stakeholder Consultation (carried out during Project Design)				
Consultations (place and date)	**Organizations represented**	**Number of participants**[75]	**Form/methodology of consultation**	**Issues discussed and outcomes of discussion** (including how it influenced project design)
Gatsibo District, May 5th	Representatives of World Vision in EP	7 (6 F+1 M)	Face to face consultation meeting	**Issues:** Discussions were on description of the project concept note, which included the project components, outcomes, and zone of interventions
Gatsibo District , May 5th	Technical and management staff of cooperatives working on World Vision community tree and nursery	28 (8 F +20 M)	Face to face consultation meeting	**Issues:** Discussions were on description of the project concept note, which included the project components, outcomes, and zone of interventions
Kigali, June 2018	Country director of World Agroforestry (ICRAF)	1 (1M)	Meeting	**Discussed on** shade grown coffee and tree/shrub species appreciated by farmers. Outcome Availed literature
Gatsibo, June 2018	Head master of Groupe Scolaire Matunguru (secondary school),	1 (1F)	Meeting	**Issues: discussed** on challenges of seedling in EP and explanation on the TREPA project **Outcome**: School planted on 4 ha (Grevillea, Mango, Avocadoes) but seedlings stolen by local people and they would prefer Casuarina a
Nyagatare, June 2018	Managing Director of the Forest Company Volcanoes Gorillas Ltd (FCVG) Karama	1 (1M)	Meeting	**Issues discussed:** TREPA project and experience of seedling **Outcome:** Manage site, seedlings production for a Project implemented by Forest Company Volcanoes Gorillas for RWFA (funded by Water for growth-W4G- Project.
Kayonza, June 2018	The President of Indatwa Kayonza Cooperative or rice in Rwinkwavu marshland	1 (1M)	Meeting	**Issues discussed:** TREPA project and irrigation in the wetland **Outcome:** 3150 members practicing irrigation on 1400 ha of marshlands. Grow rice, maize, bean, soya
Kayonza, June 2018	President of the KOPAYIRWI Cooperative	1 (1M)	Meeting	**Issue:** TREPA project and potential partnership in seedling **Outcome:** A cooperative in pipeline: Potential members work individually and sell together. Plots of Citrus and Mango were visited (1 ha each). People met claim other people could join if supported for fruit tree planting
Gatsibo District, June 2018	Mr. Bagara Asmani, a Farmer Matunguru, Rugarama Sector,	1 (1M)	Meeting on farmland	**Issue:** Discussed how TREPA project will use existing experiences from farmers in irrigation and agroforestry. The experience in raising quality of seedlings among others. **Outcome:** The discussion informed TREPA proposal on which agroforestry practices, small scale irrigation from own ponds as demonstrated and piloted by World Vision. Discussed how the project will ensure that fodder plants are resistant to drought. Received seedlings died because prepared by sponsor in different weather conditions
Gatsibo District, June 2018	Mr. Haruna Muvunyi, a Farmer Kanyangese, Rugarama Sector	1 (1M)	Meeting on farmland	**Issue:** TREPA project and experience in agroforestry **Outcome:** Practice agroforestry system with multiple tree/plant types and species on single plot. Fruit trees/plants: Mango, Anana, Pawpaw; agroforestry trees: Gliricidia sepium

Documentation of Stakeholder Consultation (carried out during Project Design)				
Consultations (place and date)	**Organizations represented**	**Number of participants**[75]	**Form/methodology of consultation**	**Issues discussed and outcomes of discussion** (including how it influenced project design)
Nyagatare District, June 2018	President of KEKEDEZI Cooperative, Rwimiyaga Sector, Nyagatare	1 (1M)	Meeting at cooperative office	**Issue discussed:** TREPA project and agroforestry **Outcome:** A pastoralist cooperative owning a milk collection and cooling centre for Inyange Industries with capacity to handle 8,000 litres. But need fodder trees/shrubs, fruits on pasturelands and water for cattle. Cannot conserve fodder, sometimes pastoralists go to collect fodder on public lands. Discussion informed the project development process about tree species selection after engaging with farmers both individually and cooperative
Kigali and Australia, June 2018	Technical experts of World Vision Rwanda	12 (4F and 8 M)	Skype meeting, bilateral meeting and field visit to Gatsibo District	**Issues discussed:** TREPA project, fundraising and new business lead in Rwanda, structure the finance architecture,
Kigali, June 2018	The Director of Inyenyeri Rwanda Social Development Company, which is involved in dissemination of improved cooking stoves	2 (2M)	Meeting in Kigali	**Issues discussed:** TREPA project and developing biomass pellet fuels and high-efficiency stoves in Rwanda
Kigali, June 2018	Representatives of the World Resources Institute	2 (1F+1F)	Meeting	**Issues discussed:** TREPA project and landscape restoration in EP and Rwanda & monitoring performance
Kigali, June 2018	Representative of EcoPlanet Bamboo Rwanda	1 (1M)	Meeting	**Issue discussed:** TREPA project and potential for planting bamboo in EP as part of TREPA
Kigali, August 9, 2018	Civil Society organisations (CSOs), this comprised representatives of cooperatives, Gender monitoring office, National women council, Rwanda Men's Resources Centre (RWAMREC), Reseau des femmes, farmers and Water for Growth Rwanda	41(23F+18M)	Focus group discussions[76]	**Issues:** Status of the project development, Access to training and best practices for addressing drought-prone agricultural and tree planting, Access to high-quality, affordable seedlings for plantings, Using biomass for cooking impacts women's health as they are relegated to small in indoor spaces for cooking and are exposed to smoke from biomass burning, Capacity building and skills-based trainings for finance groups and cooperatives, Women's roles in the project activities, including planning and management of tree planting, improved cooking stove and biomass fuel supply, and household water harvesting activities , Other topics proposed by participants

[76] These focus group discussed have been conducted by the Gender Expert

7. Stakeholder Engagement Plan

One the output of the project preparation phase is the stakeholder engagement plan (SEP) that describes how identified stakeholder will be further engaged during project implementation. The SEP lists the main stakeholders to be engaged, the purpose of engagement, provides guidance for appropriate methods and timing and determines the responsibilities and costs. The plan is intended as a blueprint that needs to be revisited regularly during project implementation and adjusted where needed. Details on SEP are provided in Table 5.

Table 5: Stakeholder Engagement Plan (during Project Implementation)

Stakeholder	Purpose of Engagement	Mechanism / process of Engagement	Responsible Entity	Frequency and Timing	Costs
Government agencies (national, provincial, local)					
Ministry of Environment (MoE)	To oversee all relations with GCF, and address issues that arise. Provides feedback and guidance on how to finalize the implementation plans for the project, and joins stakeholder implementation consultations.	Participation in the steering meetings and in monitoring and evaluation	RWFA	Quarterly	Included in the project budget
Ministry of Agriculture and Animal Resources	Planned to serve as TREPA partner for implementing Climate Smart Ag (CSA) practices, and supporting Farmer Field Schools. Introduce new training of farmers in CSA an agroforestry best practices and site-appropriate species	participation in the steering meetings and supervisory role in agroforestry and forestry and seeds selection	MoE-RWFA	Quarterly	Included in the project budget
Ministry of Infrastructure-Energy Sector	To oversee and provide expertise on selection, dissemination and promotion of improved cooking stoves (ICS) and other energy biomass technologies, cannot be implemented in EP without approval of MININFRA	participation in the project steering meetings and monitoring and evaluation ICS	MoE-RWFA	Quarterly	As part of project activities
Rwanda Development Board (Akagera National Park)	To oversee planting of agroforestry and silvopastoral agriculture in the buffer of the Akagera National Park,	Participation in the steering meetings and other regular meetings regarding the buffer zone of Akagera National Park	MoE-RWFA	Quarterly	Part of the project budget
Rwanda Water and Forestry Authority (RWFA)	Agroforestry, forestation and landscape restoration activities, drilling boreholes for livestock water, rainwater harvesting systems, plantation of tree along river/lakes ridges require the support of RWFA, seedlings	Organization and chairing of the steering committee meetings in collaboration with MoE, periodic consultative meeting, monitoring and evaluation, report review, project management	IUCN and RWFA	Quarterly	Included in the project budget
Rwanda Environmental Management Authority (REMA)	REMA is a National Designated Authority of GCF. REMA has been implementing a number of projects of protection of rivers/lakes across the country, through the plantation of bamboo and elephant grass	Attending the national steering committee meetings, provision of technical support on protection of rivers/lake shores and road sides, monitoring and evaluation of the project	MoE-RWFA	Quarterly	Included in the project budget

Stakeholder	Purpose of Engagement	Mechanism / process of Engagement	Responsible Entity	Frequency and Timing	Costs
Rwanda Cooperative Agency (RCA)	RCA as a national in charge of regulation, promotion, supervision and organization of all cooperatives working in the countries, RCA will assist in registration of new formal cooperatives or farmers/producer groups to become legally registered	Periodic consultations and participation to the steering committee meetings	RWFA	Quarterly	As part of project activities
Rwanda Transport Development Agency (RTDA)	As an entity in charge construction and development of the major roads. The protection of the roads by planting a line of tree along them will be done in consultation with RTDA	Periodic consultative meetings, participation in planting of tree along the road sides	RWFA	Quarterly	Not budgeted for, and estimated to USD 2400
Districts, Sectors, cells and villages of EP	The selection of the state lands for landscape restoration and agroforestry and forestry planting and involvement of the private land owners and smallholder farmers, will be facilitated by the local leaders as well as the selection of ICS beneficiaries.	Public meeting, community meetings, for example through community works (Umuganda), consultation meetings	MoE-RWFA	Quarterly	As part of project activities
Civil Society Organizations					
Women's organizations: Reseau des femmes, Profemme etc.	Project will consult with these organizations on the role of women, any gender issues that arise, and trainings on potential changing role of women in agriculture in some project villages.	Regular dialogues with representatives of women organizations in EP and in Kigali	RWFA	Quarterly	Not budgeted for estimated to USD 2000
Local communities					
Farmer Field Schools groups facilitators (FFSs) And smallholder farmers	FFSs will function as agents of innovation and new practices, provide training in new species to plant and use of agroforestry in restoration and cropping. Important opinion leaders., availing their lands to the project activities, Their active participation is need throughout the project cycle	During community meetings Umuganda and demonstration workshops	RWFA, ICRAF	Quarterly	Part of the project budget
Farmers' cooperatives in District	Will be trained in Climate Smart Agricultural practices, and work with project partners to build their capacity to produce and market crops	During community meetings	RWFA, IUCN	Quarterly during community works	Part of the project budget
Forestry users groups or cooperatives in District	As above, for forest products.	During community meetings	RWFA	Monthly during community works	Project budget
Vulnerable groups in categories I and II of Ubudehe and the members of Association AVEGA Agahozo	Vulnerable people in the project area, will be given priority as beneficiaries of ICS, training and to be employed as labourers	Bilateral meetings with organisations representing vulnerable groups (people with disabilities and women)	RWFA, World Vision	Monthly during community works	Part of the project budget
Private Sector					

Stakeholder	Purpose of Engagement	Mechanism / process of Engagement	Responsible Entity	Frequency and Timing	Costs
Seedling nurseries	Provide efficient nurseries critical to success of project – providing large quantities of high-quality seedlings with good growth & survival rates for 50+ indigenous & common tree species	During community meetings	ICRAF, RAB, RWFA	Quarterly	Part of the project budget
Charcoal makers	Charcoal makers may switch to green charcoal or reduce production in that case.	During community works and meetings	RWFA	Quarterly	Part of the project budget
Improve cooking stove makers, etc.	Small firm producing low-emitting cooking stoves and pellets & free improved stoves are the major partners if it can overcome market & entry cost barriers.	Bilateral meeting and period meeting	World Vision	Quarterly	Part of the project budget
Small private firms or shops supplying inputs: fertilizer, shovels, rental motorbikes transporting seedlings to farms, irrigation pumps	Project will work to attract some small firms to closely cooperate with project – to provide large, inexpensive quantities of tree seedlings & CSAg inputs. Firms could increase sales significantly in some areas of project, and achieve economies of scale in purchase and delivery.	Bilateral meeting	RAB/RWFA	Monthly during community works, depending on when they are needed	Part of the project budget
SACCOs and microfinance saving groups	Loan groups are critical for new costs of tree planting & CSAg inputs.	Bilateral meetings	RWFA	Quarterly	Part of the project budget
Day labourers performing seedling planting	Provide paid labor in surge periods when seedlings need to be planted—important revenue for families	During community meetings	RWFA and World vision	Monthly during community works	Part of the project budget
International organizations					
World Vision	Project partner and co-financier. Contributes to microfinance training and capacity building, and delivery of project interventions on the ground.	Bilateral meetings, through emails, workshop	IUCN, ENABEL	Quarterly	Part of the project budget
Development NGOs working in Eastern Province such as One Acre Fund	Will informally monitor progress of the project, and share implementation methods and data—but no formal role.	Bilateral meeting, monitoring and evaluation, through emails, workshop etc	IUCN, RWFA	Quarterly	Part of the project budget
ICRAF	ICRAFT has been collaborating with IUCN in agroforestry tree planning campaign in Gatsibo District, (2017-2019), in addition to its 20 years of experience in agroforestry demonstration plots and research in Rwanda. The training guideline developed by ICRAF will be used by the agronomists during implementation of the project. Thus, all components of training of trainers (ToTs), establishment of tree nurseries and provision of technical expertise in this domain. ICRAF will be also collaborating of local and international research institutions (UR, University of Leuven, University of	Participation to the steering committee meetings, review of project documents, exchange of researchers, through emails, workshop	IUCN	Quarterly	Part of the project budget

Stakeholder	Purpose of Engagement	Mechanism / process of Engagement	Responsible Entity	Frequency and Timing	Costs
	Gent on different research topics related to agroforestry and ICS				
ENABEL	It will be part of project management and coordination of ICS component, implement direct project activities, provide technical advice, and manage relationships with and advise key partner institutions	Participation to the Steering committee, project management and provision of technical assistance in ICS, agroforestry and forestry	IUCN, MoE	Quarterly	Part of the project budget
IUCN	As an accredited Entity, It will be part of project management and coordination of this component, implement direct project activities, provide technical advice, and manage relationships with and advise key partner institutions	Project management, organization and chairing of the steering committees, project supervisory	IUCN HQ	Quarterly	Part of the project budget
Research institutions & universities					
Rwanda Agriculture and Animal Resources Board (RAB)	As an implementing agency in charge of agriculture system extension, will support the right dissemination of highly productive agroforestry and forestry seeds	Periodic meeting, participation to the steering committee meetings and in reviewing of the project reports	RWFA,	Quarterly	Part of the project budget
University of Rwanda	Co-supervision of Master's and PhD students who will participate in survey and data collection on the project activities	Periodic meeting and participate to the steering committee meetings	IUCN,RWFA	Quarterly	Part of the project budget
University of Kibungo (UNIK)	Co-supervision of Master's and PhD students who will participate in survey and data collection on the project activities	Participate to the steering committee and provision	IUCN, ENABEL	Quarterly	The cost will be estimated based on the number of students from UNIK, attached to TREPA
Gent University	Supervision of Master's and PhD students who will participate in survey and data collection on the project activities	Periodic meeting, Steering committee meetings	IUCN, ENABEL	Quarterly	Part of the project budget
University of Leuven	Supervision of Master's and PhD students who will participate in survey and data collection on the project activities	Periodic meeting, Steering committee meetings	IUCN, ENABEL	Quarterly	Part of the project budget

SEP-ANNEX

SEP-Annex 1: Minutes on Rwamagana consultation meeting with all 7 district governments of EP represented, Rwanda Forestry and Water Authority, Minister of Environment (MoE), Minister of Land and Forests (MINILAF), etc.
Venue: Conference Hall of EP in Rwamagana District

Date: 4th August 2018

By R&SD TREPA consulting team

Introduction
Following an invitation extended to mayors or vice mayors, directors of agriculture and animal resources and the forestry officers from each district of Eastern Province by the Governor of Eastern Province, Mr Fredy Mufulukye, dated on 1st of August 2018, a meeting was held in the conference Hall of the headquarters of Eastern Province office in Rwamagana on Saturday, 4th August 2018. The Minister of Lands and Forestry (MINILAF), The Governor of EP, the representatives of the International Union of Conservation of Nature (IUCN), Rwanda Water and Forestry Authority (RWFA), Rwanda Transport Development Authority (RTDA), senior officials from Eastern Province, Reserve Force and a number of journalists were also present in the meeting.

The agenda of the meeting:
The agenda of the meeting was composed of the two points, as indicated in the invitation letter:

- Information sharing and update on development of a proposal for an environmental protection project in Eastern Province (TREPAM)
- The programme of plantation of forest for the year 2018/2018.

In these minutes only issues emanating from point 1 of the meeting agenda are presented, as the second point was not part of the TREPAM project.

The matters arising from the meeting
The meeting was chaired by Honorable Minister of MINILAF, Mrs. Francine Tumushime, after introductory remarks by Governor Mufulukye of EP. The Governor welcomed the new elected and existing mayors in EP, RTDA and highlighted the importance of planting forests in EP. The Minister opened the meeting by wishing all participants to have fruitful discussions on the TREPAM project related to forest planting, landscape restoration and to the upcoming agricultural season A in Eastern Province.

Matters and resolutions
A comprehensive presentation by the Coordinator of IUCN's office in Rwanda (part of its Eastern and Southern Africa program), Mr. Charles Karangwa, provided information on IUCN, the Green Climate Fund (GCF), ENABEL, MINILAF, RWFA, REMA and EP and their roles in development or implementation of TREPAM project. He also provided a rationale of for selection of Eastern Province from among the other provinces of the country to accommodate the "Transforming Eastern Province through Adaptation and Mitigation (TREPAM)" project. The project is in proposal development, to be submitted to the Green Climate Fund (GCF).
In summary, EP is known as the food supply basket for the City of Kigali and the country in general. However EP is highly vulnerable to climate change-induced impacts, i.e. severe drought, highly degraded landscapes, low productivity of agricultural systems, and fuel demand outstripping supply of biomass fuels. He noted significant changes of land cover and land uses in the province for the period 1990-2015, and the high variability in rainfall patterns. However, it is possible to transform the many climate change issues of Eastern Province into land restoration and livelihood opportunities, through developing a large project proposal to seek adequate funding to address the issues, i.e. TREPAM for EP.
The floor was given to the audience, and matters raised and their resolution are summarized in Table 1.
Matters raised and resolution provided

Originator of the issue Matters	Discussion or Resolution
Governor EP (Mufuruke F): The project is good news for EP. The province makes a commitment for the successful implementation of the project, and EP is ready to provide any kind of support needed. We are waiting for the project to start. Question1: What kind of information is sought from EP and districts regardless their commitment? Question 2: How do link the skills, intervention and roles of different organizations (actors in this project)?	**Ngabonziza Prime/DG-RWFA:** For implementation of the project, the EP and the districts are the ones to decide on what kinds of interventions, tree species, areas, and linkages to other activities already existing. Planning will take place at grassroots level, in addition the contribution in-kind to the project (office space), which will be provided by EP or the districts. We will agree with EP on location of at least three offices in three districts of EP. In general, it will be a decentralized project. **Charles Karangwa/IUCN**: the whole cost of the project is estimated to be approximately 80M USD, which includes the

Question 3: What would be the cost of TREPAM project for EP? (I understand the GCF total budget is 10B USD globally.)	funding to be sought from the GCF and the contributions of the Government of Rwanda and other co-financing partners. **Vincent Nsabuwera/ENABEL:** we are still in the stage of project proposal development: all the targets for the project and interventions, physical locations, and area of focus for each district. This information is sought from districts.
Muzungu Gerald (Mayor Kirehe District): Planned activities in Kirehe, approximately hills surrounding the Akagera Park, are highly degraded, and are prone to severe drought affecting not only agroforestry, but also forest cover.	The comment was noted
Nambaje Aphrodis/Mayor Ngoma District: For degraded mountains, what kind of trees are we planning to plant? We suggest selecting species of palm trees (providing oil, scenery), urban forestry species, macadamia (environmental solutions and economic benefits), silk worm trees, and to look for varieties of trees, not only for timber species.	**Ngabonziza Prime/DG-RWFA:** Fruit trees are also considered and will be taken into account.
Gatsibo District (Vice/Mayor): Do look at traditional trees (Ficus and Erythrina abyssinica), and look also to horticulture (fruit trees) to improve living conditions of the population (economic returns).	**Ngabonziza Prime/DG-RWFA:** We will have to look also to some traditional and indigenous trees in the project.
Reserve force commander (Colonel Mukasa): Most of the forest planted even recently are damaged, due to firewood and livestock farming. To put in place strategies to protect new planted forest and make clear who is accountable, who is responsible etc.	**Ngabonziza Prime/DG-RWFA:** There are still gaps between planted trees and cut trees, the project will improve the use the alternative sources of cooking energy: such us promotion and dissemination of improved cook stoves (ICS), capacity building, awareness rising, and law enforcement.

The following section provides some specific issues for some districts and some general issues for the whole province:
Nyagatare District:

- More sensitization campaigns are needed. More agroforestry plantings are needed. Use of cooperatives and the approach used by World Vision would be a good idea. Involvement of the reserve force and involvement of local communities in the project activities should generate good results.
- Institutional support: as financial support coming from the Central Government is not sufficient, the project should provide more much-needed support. The activities of the project should be well-defined, especially including tree planting, and will need to overcome the problem of bush fires and charcoal making – to devise an approach to address these issues.
- The project should look to both long-term and short-term solutions. There is financial support coming from the Central Government, but the funds are not sufficient.
- It is important to strategize how to address the problems coming from our neighboring countries—eg, difficult economic conditions and refugee migration coming across the borders to the north, east and south into EP, which puts pressure on forests for fuelwood and building material.

Kirehe District

- Highly pronounced degradation of forests due the location of Mahama Refugee camp in the district. The district has bare mountains, many dry farming areas, and needs improved silvopastoralism, and protection of rivers and lake shores.

Kayonza District

- Planting of ornamental trees needs to be considered. The project also should look to the management and protection of existing forests, as well as new forests to be planted.

Bugesera District

- Strategies for management of forests already planted have should be put in place or reinforced.

In the meeting the following recommendation were suggested:

- More details on the costing of each activity should be sought from technical staff, to revise the cost estimates for the activities and potentially the activity targets, as there seems to be overestimation, not reflecting the reality on the ground. The Minister suggested a technical team meeting on this matter, which could involve Executive Secretary of Eastern Province and DG/RWFA.
- The species of trees to be planted need to address the site conditions and challenges of each area.
- The problem of management of planted forest needs to be included in the project design phase.

Discussion on TREPAM project started approximately at 10h00 and closed at 12h00.

The attendee sign-up sheets are attached below.

Done in Kigali 6th August 2018
Dr Jean N Namugize, national consultant,
and Kenneth Andrasko, International consultant, for R&SD

Table 6: Attendee sign-sheet to TREPA consultation meeting in Rwamagana

Forestry and Finance Lessons Learned Consultation on Green Climate Fund Proposal for Eastern Province

4 August ~~12 Jan~~ 18 Rwamagana

First Name	Last Name	ID Number	Phone #	Email	Your Title ~~Travel?~~	Signature
EMILE	MUKUNZI	1198280115027098	0788513177	emujeru@yahoo.fr	DFNRO/BUGESERA	
Janvier	NSENGIMANA	1198780153594092	0788844583	njanvier4@gmail.com	Dir ANR/KIREHE	
J. Claude	MSHIMIYIMANA	1198880115678029	0782042745	jean claude@gmail.com	AFO/NGOMA	
Mon Vital	KALINDA	1197680067772139	0788454456	kalindamv@gmail.com	DFNRO/Kirehe	
J. Damascène	BIJYENIBO	1198680090490028	0783639522	bijyenibojeandamascene@gmail.com	Dir ANR	
MUDAHE MUKA	Innocent	1199780054678346	0788554847	anitajivire@gmail.com	DANR. Ngoma	
Jean Pierre	MUGABO	1198480048039013	0784180776	mugabo5@gmail.com	RWFA/Head of Forestry Department	
Vincent	NSABUWERA	1197980130[illegible]11	0788313833	Vincent.nsabuwera@cabel.be	FMBE Project Manager/CABEL	
Felix	Rutangwa	1198680046137142	0786168019	rutangwafelix@gmail.com	Dir/RWFA	
Jean D	Namosize	PC284441	0788834229	jeannamusize@gmail.com	Consultant	
Ken	Andrasko	—	+1 202 210 4752	Kandrasko3@gmail.com	Consultant	
Michel J B	MUHIZI		0788303843	jbmuhizi2006@yahoo.fr	RAF/RF	
Rodrigue	NZAYISENGA	1198780042876141	0788860605	nzrodrigue@gmail.com	Legal Adviser	
Yussuf	HAKIZIMANA	1198780010392132	0783247172	hayuo2001@gmail.com	Reporter/IMVAHO NSHYA	
RUGABU	R. Alex	1197880068129088	0788446405	alexrugabu@gmail.com	Director HAAP	

Collected by: Ken Andrasko, R&SD team for TREPA GCF Project

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Forestry and Finance Lessons Learned Consultation on Green Climate Fund Proposal for Eastern Province

4 August ~~12-Jun-18~~ Rwamagana

First Name	Last Name	ID Number	Phone #	Email	Your Title ~~Travel?~~	Signature
Mufulukye	Fred		0788355589	fred.rwanda@gmail.com	Governor	
Timuhirwe	Francine		0738524348	ftimuhirwe@gmail.com	Minister	
Col BH.	Cyubahiro		0788316800			

Collected by: Ken Andrasko, R&SD team for TREPA GCF Project

#3

Forestry and Finance Lessons Learned Consultation on Green Climate Fund Proposal for Eastern Province

4 August ~~12-Jun-18~~ Rwamagana

First Name	Last Name	ID Number	Phone #	Email	Your Title (Position) ~~Travel?~~	Signature
HABIMANA	Jean Claude	1197780046495046	0788557601	jeanchatimat@gmail.com	Gatsibo District Environment officer	
NBONISABA	Jean	1197180078121	0788786146	jeanmbonjaba@yahoo.com	Nyagatare Forestry officer	
Kwizera	Alphonse	1198780163870 63	0788085175	alkwiz1@gmail.com	Kayonza District Forestry NR officer	
Bikorimana	Félicien	1198580164590 31	0788483907	bikofel@gmail.com	Rwamagana district cash crops officer	
Karangwa	Charles	19016020	0788309027	charles.karangwa@iucn.org	IUCN	
Ndoli Alain	Alain	1198580184379011	0788402635	alain.ndoli@iucn.org	IUCN	
Ly Germain	SANGANO	1197680013639016	0788594447	benisangano@gmail.com	Reserve Force	
Sekinkare Theodore	Theodore	1198280122921 73	0788603495	mitheos n@gmail.com	Reserve Force	
Rwakayiganda Emmanuel	Emmanuel		0788454412	rwakae@yahoo.fr	Environment officer Rwamagana	
Nsinzirakizi	Sylvie	1198508[illegible]	0788181571	nsinzylie@gmail.com	Gatsibo District Forestry officer	
Mugwi Theogene	Theogene	1196780065471271	0782883384	t.kamanzi@yahoo.com	Gatsibo District V-MFBA	

Collected by: Ken Andrasko, R&SD team for TREPA GCF Project

Forestry and Finance Lessons Learned Consultation on Green Climate Fund Proposal for Eastern Province

4 August ~~12 Jun~~-18 Rwamagana Consultation

Page

	First Name	Last Name	ID Number	Phone #	Email	Travel?	Signature
1	HABIMANA Kizito	Kizito	1197820032142 0127	0788308952	kizito.habimana@kizito.gov.rw		
2	Bwiyanga	Eric		0786522372	—	Driver	
3	Robert	Kagaane		0786328419	—	B.G	
4	Justin	NGABONIZIYE		0782808388	—	Driver	
5	Justin	Ngarambe		0788479281	—	Driver	
6	Dismas	HAKIZIMANA		0788749642		Driver	
7	Emmanuel	Ntakirutimana		0788444579	—	Driver	
8	Japhet	Ishimwejimana		0783748469		Driver	
9	Clever			0788448395	—	Dr. Ver	
10	Fred	Ngoma		0782195738	—	Dr. Ver	
11	Kayiranga			0788382909	—	B.G	

Collected by: Ken Andrasko, R&SD team for TREPA GCF Project

[end]

International Union for Conservation of Nature (IUCN)

SEP-Annex 2: Consultation in Rwamagana District, June 27, 2018:

Consultation for GCF Project in Eastern Province (TREPA)

TO: Rwamagana District, June 27, 2018

Forestry and Finance Lessons Learned Consultation on Green Climate Fund Proposal for Eastern Province
12-Jun-18

First Name	Last Name	ID Number	Phone #	Email	Your Title ~~Travel2~~	Signature
MUKAGISAGARA	Eugénie	1198170134510049	0788326224	mukagisagara eugenie@yahoo.fr	DPNRO	
KAYIRANGA	Jean		0783462857	jkarange@yahoo.com	Director of Planning MAE	
MUKARUGIRA	Kamanzi	1191237 1197570	0788865550	@yahoo.fr kamanzipheneta	PS MADF	
HABIMANA	Claudien	1198430009021	0788301375	habi claudien@yahoo.fr		
TUYISINGIZE	Jerome	1198280122141290	0786315289	jerome tuyisingize@yahoo.fr	Forest specialist FM Pole / RWFA	
Mudoherwaho	Regis VIII		0788353511	m.regis66@yahoo.fr		
UWIMANA	Vincent	1198280192542042	0788756581	vicenco58@yahoo.com	EMS Field Coordinator	
KOTABB	Ko perative 70 members	tubungabunge umashyamba	Byimana - Bwimbo: 2 villages of Fumbwe Sector.			
KAJUJIBWAMI	Adolphonse	1198480168029087	0783762611	ikajujibwami@gmail.com	Executif secretary of Sasabirago Coop	
Rubagumya	Désiré	1196480061383046	0785367734		Chairman of Umushyamba	
Kayitenus	Fulidiana		0783016142		" "	
Mukagasana	Peterotha		0782509820		" "	
Munyankindi	Innocent	1198030040140061	0782598011		" "	
MIBYIMANA	CONFIANCE	1198580158551004	0782134271		" "	

Collected by: Ken Andrasko, R&SD team for TREPA GCF Project

Bideri Theoneste 1196280076665062 0784272758 Myerishyamba

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SEP-Annex 3: Consultation with World Vision

Consultation for GCF Project in Eastern Province (TREPA)

Forestry and Finance Lessons Learned Consultation on Green Climate Fund Proposal for Eastern Province – with World Vision
12-Jun-18

First Name	Last Name	ID Number	Phone #	Email	~~Travel?~~	Signature
MUNYANDAMUTSA	JEAN DE BONHEUR	1197580058888056	0782559687	bonheur_munyandamutsa@wvi.org		
HENRIETTA	RUGAMBA		0735958097	henrietta_rugamba@wvi.org	both with World Vision	Henriette

Collected by: Ken Andrasko, R&SD team for TREPA GCF Project

SEP-Annex 4: Consultation at Rwanda Agriculture and Animal Resources Development Board (RAB), University of Rwanda (UR) and Rwanda Water and Forestry Authority (RWFA)

IUCN

Forest component consultation on Green Climate Fund Proposal for Eastern Province

12-Jun-18

International Union for Conservation of Nature

First Name	Last Name	Institution	Tel Number	Email	Signature
Dr Jean Damascène	Ndayambaje	RAB	0788487721	ndyeadamas@yahoo.fr	
Prof Jean	NDUWAMUNGU	UR/CAVM	0788584777	jeanduwa@gmail.com	
HABIMANA	Claudien	RWFA -	0788301375	hab_claudien@yahoo.fr	
Faustin	Rwamucyo	Consultant/	0788358932		

SEP-Annex 5. List of individuals consulted by the gender expert for TREPA project from June to August 2018

Name	SEX		Institution	Position
	F	M		
UMUTONIWASE Sophie	F		GMO	GBV Expert
MAJORO Anselme		M	NWC	Director of women Empowerment
Muteteli Yvette	F		NWC	Women Empowerment
Murangira Bosco		M	MIGEPROF	Director, women's economic empowerment
MUTAMBA john		M	Reseau des femmes	consultant
NYINAWINKINDI Arlette	F		Water for growth	Gender consultant
UMULISA GRACE	F		Profemme	Field coordinator
MUSERUKA David		M	RWAMREC	EXECUTIVE SECRETARY
MUDENGE Jean Paul		M	Kayonza District	Environment officer
Murenzi Jean Claude		M	Kayonza District	Mayor
MUDA Bututa		M	Kayonza District	SMES and Cooperative
UWUZEYE Gisele	F		Kayonza District	Gender and Family Promotion
KWIZERA Alphonse		M	KAYONZA District	Forestry and Natural resources
MUGIRANEZA Thierry		M	KAYONZA District	Director of Planning
SHYAKA Edouard		M	KAYONZA District	JADF/VICE CHAIR
MUSANABERA Alphonsine	F		COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Cooperative member
NZAMURAMBAHO Celestin	F		COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Vice Chair
BATIBUKA LAURENTKA		M	INDATWA COOPERATIVE	Chair
UMWARI ERNESTINE	F		INDATWA COOPERATIVE	AGRONOMIST
BARISEBYA William		M	INDATWA COOPERATIVE	Community development Officer
MUNYANEZA Anastase		M	COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Chair
SAFARI J.Bosco		M	COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Secretay
GAKUMBA Innocent		M	COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Advisor
KANYEMERA Emille		M	COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Member
NSENGIMANA J.Baptiste		M	COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Member
NYIRATIMANA EUGENIE	F		COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Member
NGABITSINZI EMMANUALLA	F		COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Member
MWAMBARANGWE LEONILLA	F		COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Member
NYITAMINANI ANASTASIE	F		COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Member

Name	SEX		Institution	Position
	F	M		
MUSOMANDERA ALPHONSINE	F		COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Member
SUMWIZA M.CHANTAL	F		COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Member
UWITONZE JEANNE	F		COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	member
MUKAMULIGO PRIMITIVE	F		COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Member
NIKUZE FELICITE	F		COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	member
NYIRABENDA FRANCINE	F		COPAIRWI/Koerative abahinzi b'imbuto RWINKWAVU	Member
MUKANDUTIYE Josephine	F		Farmer	-
UMWALI ERENESTINE	F		Farmer	-
UMUHOZA CHANTAL	F		Farmer	-
MUKAMPORE MEDIATRICE	F		Farmer	-
Ingabire Josiane	F		Farmer	-
SEMASAKA Jean Baptist		M	Farmer	-
Total	23	18		

SEP-Annex 6: Contacted people in Kigali and the Eastern Province 's districts of Gatsibo, Kayonza and Nyagatare That Faustin Rwamuhizi of R&SD in June 2018

S/N	Categories of contacted people	Position	Institution
1	Mr. Prime Ngabonziza,	Director General	RWFA
2	Dr. Mupenzi Mutimura,	Senior Research Fellow	RAB
3	Mr. Jacques Peeters,	International Technical Assistant, FMBE Project RWFA	RWFA
4	Mr. Jean Hitimana, MINAGRI	Head MIS Department/LWH&RSSP3,	MINAGRI
5	Mr. Sam Biraro	M&E	RLMUA
6	Mr. Jean Claude Murenzi, Mayor Kayonza	Mayor	Kayonza District
7	Mr. Theogene Manzi, , Gatsibo	Vice-Mayor Economic Development	Gatsibo District
8	Mr. Appolinaire Ndaruhutse	Executive Secretary	Matunguru Cell, Gatsibo
9	Mr. Thierry Mugiraneza	Director Planning	Kayonza
10	Mr. Alphonse Kwizera, DFNRO	District forestry officer	Kayonza District
11	Mr. Jean Paul Mudenge	Environment Officer	Kayonza District
12	Mr. Sylvere Namuhoranye, DFNRO	District forestry officer	Gatsibo District
13	Mr. Valens Hitiyaremye	Veterinary	Gatsibo District
14	Mr. Placide Niyomugabo	JADF Officer	Gatsibo District
15	Mr. Protais Yamuragiye	Extension Officer	Rugarama Sector/Gatsibo
16	Mr. Mbonigaba	District forestry officer	Nyagatare District
17	Mr. Fabien Ngirinshuti	Veterinary	Nyagatare District
18	Mr. Mutabaruka Fulgence	Agronomist	Nyagatare District
19	Mr. Thomas Hakizamungu	Planning & JADF officer	Nyagatare District
20	Mr. Thierry Gwaneza	Land Manager	Rwimiyaga Sector, Nyagatare
21	Ms Gisele Uwizeye	Atg JADF officer	Kayonza District
22	Dr. Athanase Mukuralinda	Country director	ICRAF
23	Ms. Flora Manirakiza	Accountant	GS Matunguru, Gatsibo
24	Mr. Epaphrodite Habakurama,	FCVG	Karama Sector/Nyagatare District
25	Indatwa Kayonza Cooperative	President	Kayonza District
26	KOPAYIRWI Cooperative	President	Kayonza District
27	KEKEDEZI Cooperative	President	Rwimiyaga Sector, Nyagatare
28	Mr. Bagara Asmani,	Farmer	Matunguru, Rugarama Sector, Gatsibo
29	Mr. Haruna Muvunyi	Farmer	Kanyangese, Rugarama Sector, Gatsibo