

# Simplified Approval Process Concept Note

Project/Programme Title:	Forest Restoration of Ndirande Mountain for improved resilience and well-being of the surrounding local communities
Country(ies):	Malawi
National Designated Authority(ies) (NDA):	Environmental Affairs Department, Ministry of Natural Resources, Energy and Mining.
Executing Entities:	Department of Forestry, Ministry of Natural Resources, Energy and Mining.
Accredited Entity(ies) (AE):	Japan International Cooperation Agency (JICA)
Date of first submission/ version number:	<u>2018-11-16 [V.0]</u>
Date of current submission/ version number:	<u>2018-11-16 [V.0]</u>



Please submit the completed form to [sap@gcfund.org](mailto:sap@gcfund.org),  
using the following name convention in the subject line and file name:  
“CN-[Accredited Entity or Country]-YYYYMMDD”

<b>A. Project / Programme Information (max. 1 page)</b>			
<b>A.1. Project or programme</b>	<input checked="" type="checkbox"/> Project <input type="checkbox"/> Programme	<b>A.2. Public or private sector</b>	<input checked="" type="checkbox"/> Public sector <input type="checkbox"/> Private sector
<b>A.3. Indicate the result areas for the project/programme</b>	<p><b>Mitigation:</b> Reduced emissions from:</p> <input type="checkbox"/> Energy access and power generation <input type="checkbox"/> Low emission transport <input type="checkbox"/> Buildings, cities and industries and appliances <input checked="" type="checkbox"/> Forestry and land use <p><b>Adaptation:</b> Increased resilience of:</p> <input type="checkbox"/> Most vulnerable people and communities <input type="checkbox"/> Health and well-being, and food and water security <input type="checkbox"/> Infrastructure and built environment <input checked="" type="checkbox"/> Ecosystem and ecosystem services		
<b>A.4. Estimated mitigation impact (tCO<sub>2</sub>eq over lifespan)</b>	Mitigation will be secured through reforestation of about 986 hectares, and management of natural regeneration of about 629 hectares of the mountain. The total mitigation potential is estimated at 8,525 tCO <sub>2</sub> eq year <sup>1</sup>	<b>A.5. Estimated adaptation impact (number of direct beneficiaries and % of population)</b>	Direct beneficiaries estimated at 18,000 (2% of Blantyre population) and 64,000 considered indirect beneficiaries (6% of the Blantyre population).
<b>A.6. Indicative total project cost (GCF + co-finance)</b>	Amount: USD 4.48 million	<b>A.7. Indicative GCF funding requested (max 10M)</b>	Amount: USD 4.48 million
<b>A.8. Mark the type of financial instrument requested for the GCF funding</b>	<input checked="" type="checkbox"/> Grant <input type="checkbox"/> Loan <input type="checkbox"/> Guarantee    Other: specify _____		
<b>A.9. Estimated duration of project/ programme:</b>	a) disbursement period: 3 b) repayment period, if applicable:	<b>A.10. Estimated project/ Programme lifespan</b>	This refers to the total period over which the investment is effective.
<b>A.11. Is funding from the Project Preparation Facility needed?</b>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	<b>A.12. Confirm overall ESS category is minimum to no risk<sup>1</sup></b>	<input type="checkbox"/> C or I-3
<b>A.13. Provide rationale for the ESS categorization (100 words)</b>			
<b>A.14. Has the CN been shared with the NDA?</b>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	<b>A.15. Confidentiality<sup>2</sup></b>	<input type="checkbox"/> Confidential <input checked="" type="checkbox"/> Not confidential
<b>A.16. Project/Programme rationale, objectives and approach of programme/project (max 100 words)</b>	<p>Environmental degradation and climate change have emerged as major development issues that have adversely impacted on the general well-being of people in Malawi. The project will directly build adaptive capacity of more than 11,160 people living around Ndirande mountain forest by tackling barriers that have prevented the mountain from delivering the desired ecosystem services. The project will reforest nearly 1,000ha of bareland and manage 700ha of natural regeneration, creating nearly 1,860 jobs; offer an enabling environment to support the process and sustainability of the results; and broaden livelihoods choices through enhancement of the local economy. Collectively, these measures will increase resilience. This US\$4.5 million project will be implemented by Malawi Government with technical support from JICA.</p>		

<sup>1</sup> Refer to the SAP ESS Guidelines

<sup>2</sup> Concept notes (or sections of) not marked as confidential may be published in accordance with the Information Disclosure Policy ([Decision B.12/35](#)) and the Review of the Initial Proposal Approval Process ([Decision B.17/18](#)).

## B. Project / Programme details (max. 3 pages)

### B.1. Context and Baseline (max. 1 page)

1. Malawi is vulnerable to climate change related disasters. Floods, stormy rains, and droughts or prolonged dry spells are common climate related disasters that affect the country. The recent 4 occurrences of disasters (2002, 2005, 2008 and 2015) have costed the country close to US\$1 billion. Floods in 2015 and subsequent dry spell left 2.86 million people in need of food aid. The floods alone affected 1.1 million people, displaced 230,000, killed 106 people with 172 people reported missing. The economy lost US\$335 million and it required US\$494 million for recovery and reconstruction<sup>3</sup>. Drought and floods in 2016 left 6.5 million people in need of food aid at an estimated cost of US\$395.1 million. These funds would have been put to productive use for the development of the country if the nation had become resilient to these climate related disasters.

2. The proposed project has benefitted from, and it will contribute towards achieving many of the Malawi's national and sectoral policies, development strategies and action plans, which recognize the need to take immediate adaptation measures to reduce the risks posed by climate change related impacts and events. Strengthening community resilience to the impacts of climate change is a cross-cutting priority in the Malawi Growth and Development Strategy (MGDS III, 2017 – 2022) under the theme "Building a Productive, Competitive and Resilient Nation". Building a resilient nation, people, environment and economy underpins all five of the MGDS III priority areas. The National Climate Change Management Policy (2016) explicitly mentions the need to reduce vulnerabilities of populations in Malawi and promote community and ecosystem resilience to the impacts of climate change (Policy Priority Area 3.1). The National Adaptation Programme of Action – NAPA (2006) lays out realistically achievable country-driven program of action addressing the needs for adapting to the adverse impacts of climate change. Reforestation is specifically mentioned as one of the 15 priority actions. The Malawi's Nationally Determined Contributions – NDC (2015) explicitly calls for expansion of afforestation and forest regeneration programs as a priority adaptation action that Malawi committed to undertake to limit global warming and mitigate adverse effects of climate change by 2030. Malawi has also committed to restore 4.5 million ha of degraded forest landscapes under the Bonn Challenge and AFR100 initiatives. The other most relevant national policies and action plans include: the National Disaster Risk Management Policy (2015), the National Climate Change Investment Plan (2015), the National Resilience Strategy (2017) and the National Forest Landscape Restoration Strategy (2017).

3. The proposed activities in this project are consistent with objective number 3 of the SADC Forestry Strategy (2010 – 2020) with a theme "Making forests work for the economic development of the region". This objective calls for enhanced capacity of the SADC forests to mitigate the effects of climate change, protect key water catchment areas and ensure the supply of other ecosystem services. The forest restoration of the Ndirande mountain for improved resilience and well-being of people living around the mountain will therefore contribute to the achievement of this objective of the SADC Forestry Strategy. It is intended that the knowledge generated and lessons learnt through the implementation of this project will form a foundation for successful implementation of similar forest restoration projects in other SADC countries.

4. The project will strategically address the barriers that have prevented the Ndirande Mountain Forest Reserve located in the urban district of Blantyre, Malawi, from preserving water resources, erosion control, protection against potential stormy rains, landslides, riverine floods and flash floods, and increasing supply of forest products; all of which would contribute to higher resilience to climate change. In addition to the adaptation benefits, the barriers have prevented the mountain from delivering sinks for carbon sequestration. These barriers include inadequate access to financial resources to restore the mountain and for the local communities to diversify their livelihoods choices away from those that make the mountain vulnerable; limited institutional capacity to implement climate resilient practices; weak connectivity of key stakeholders favouring the restoration of the mountain; insufficient legal and regulatory enforcement; and inadequate information about success factors of similar interventions. These barriers have made the people living around the mountain adopting livelihoods practices that are less resilient and render the mountain more vulnerable to climate change impacts. These practices include encroachment of the mountain for tree resources for woodfuel, and poles for construction of squatter houses; and land for settlement and cultivation of food crops.

<sup>3</sup> GoM, World Bank, UNDP (2015). Post Disaster Needs Assessment Report.

## B.2. Project / Programme description (max. 1 page)

5. The project envisages a “healthier Ndirande mountain forest reserve that provides goods and services to the environment and dependent communities, while simultaneously securing resilience to climate change related risks and disasters”. The project will engineer a shift from the ‘business as usual’ scenario of over-exploitation of the restored forest resources without careful planning and control; a process which has reduced the ability of the forest ecosystem to provide goods and services to livelihoods, increasing their vulnerability to climate risks, slowed the local economic growth, and accelerated loss of resilience for the ecosystem and people dependent on it. The new approach will secure ecosystem resilience and accelerate local economic growth, through support of the following project components and activities:

6. **Component 1: Reforestation and managing natural regeneration of Ndirande mountain for the supply of the desired forest goods and services**

The project will support and train stakeholders to engage in reforestation of 986 hectares (58%), and management of 629 hectares (37%) of natural regeneration in Ndirande mountain (the remaining 5 percent are rock outcrops). Working with locally-established community forest restoration groups, the project will support community groups and individuals, including women, boys and girls, living around the mountain to raise and supply approximately 2.8 million tree seedlings of acceptable quality. A mix of tree species such as riverine species (e.g. *Khaya anthotheca*), timber species (e.g. *Pinus species*), and others (e.g. bamboos), will be raised and supplied for planting on the mountain. About 560 people will be engaged in producing and supplying 2.8 million tree seedlings (5,000 seedlings each), bringing 952 thousand US dollars to the local economy from seedling production, supporting directly 3,360 beneficiaries. Other community members (especially the youth) will provide labor for planting and nurturing both the planted trees and the managed natural regeneration. It is estimated that establishing and tending the planted trees on a 986 hectares and managing 629 hectares of natural regeneration would create jobs for about 1,300 individuals from communities living around the mountain. This will introduce nearly 1.6 million US dollars to the local economy during the 3-year of project implementation, directly benefitting approximately 7,800 beneficiaries (employees and their families).

7. **Component 2: Enabling environment to support forest restoration of Ndirande Mountain and sustain results**

Under this component, the project will support the establishment of a multi-stakeholder forum for dialogue on key issues of forest restoration of the mountain, including access rights of local communities living around the mountain. The forum will comprise the Department of Forestry, Blantyre City Council, Blantyre Water Board, Civil Society Network on Climate Change (CISONECC), Timber Association of Malawi, and Community leader representatives. The project will also support creation of four local forest restoration groups (mostly the youth, made up of both men and women) which will champion the restoration efforts of the mountain. The groups will be trained to build technical capacity in order to execute their roles effectively in forest restoration and governance. In addition, the project will support public awareness campaigns in areas around the mountain about the forest law and its supporting legal instruments, and build capacity of legal entities (e.g. police and local magistrate courts) in order to effectively enforce forest law so that criminals of forest products from the restored mountain are timely apprehended and punished.

8. **Component 3: Improved local economy to support diversification of livelihood choices of the urban poor communities away from those that can further enhance their sensitivity to climate change impacts**

Under this component, the project will support development of community-driven local enterprises in the project area. The project will facilitate the process of identifying community level entrepreneurs and assess the barriers to their effective participation in their respective enterprises. Based on the findings of the assessment, the project will design and implement a capacity development program for qualifying entrepreneurs to ensure that they can engage in their respective enterprises in strict compliance with technical guidelines, to ensure that the end products meet the desired standards of quality, guaranteeing profitability of the enterprises. It is estimated that at least 2,000 entrepreneurs will be supported (the actual numbers to be confirmed during project preparation). The project will also support establishment of Village Savings and Loans Associations (VSLAs) to provide opportunities for local people access a range of financial services in their area, many of which can help support and encourage local circulation of money.

9. **Component 4: Project management, coordination, and monitoring**

This component focuses on all aspects of project management, including procurement, financial management, monitoring and evaluation, knowledge generation and management, communication, monitoring of mitigation measures related to environmental and social safeguards, and preparation of annual work plans and organization of audit reports. To manage these functions, the project will establish a Project Coordination Unit (PCU) and finance TA, works, goods, workshops, and operational costs.

10. The design of this project has benefited from lessons from experiences spanning over four decades in land-based interventions in Malawi and across the globe. Some of these lessons and best practices include: a) strategic long-term engagement with government leadership; (b) mobilize and build on bottom-up initiatives that incentivize local communities' roles in decision making; (c) support policies and incentives to create the enabling environment for sustainable natural resource management with focus on land tenure and access rights; and (d) adopt multisector approaches that address the complex challenges facing degraded landscapes. Taking account of these lessons, the design of this project adopts a "*people centred approach*" which hinges on access rights; combines a mix of technologies (forest restoration and local livelihoods promotion that take pressure off forests) toward a mix of solutions (e.g. job creation); involves all major stakeholders in a decentralized decision-making mechanism that will involve local communities - including women and youth - in decisions around their resources; and embeds the project in the government's long-term development and provision to strengthen policies and capacity. The project also builds on experience of the previous project implemented on the mountain but failed to achieve its intended goals (FOREP), the World Bank funded Shire River Catchment Management Project, the JICA funded Dzalanyama Conservation project, and EU's funded Improved Forestry Management for Sustainable Livelihoods (IFMSL). Evidence shows that engaging qualified non-state actors (NSA) in forestry-based project implementation can reduce mistrust between the Department of Forestry staff and the local communities and enhance community participation, which is what the project will indeed promote.

11. The implementation of the project activities will likely face the following risks: *Risk 1.* Resistance of the local communities who are currently living and cultivating in some parts of the mountain (encroachers) to free the land for forest restoration. The project will mitigate this risk through full engagement of all key stakeholders, including the encroachers, at the design stage of the project components so as to develop a sense of ownership of the components and their ultimate results. All the components of the project have a focus on strengthening community participation through capacity building, advocacy and sensitization, and provision of alternative livelihoods. *Risk 2.* Inadequate collaboration between the many partners in the project due to ineffective coordination and inflexible institutional cultures. The implementation arrangement of the project will be based on the necessity to cultivate a strong political buy-in supported by a strong project coordination at all levels of decision making affecting the mountain. *Risk 3.* Elite capture of benefits at the community level – e.g. increased financial benefits are not equitably distributed to stakeholder groups: Project implementation will be guided by a gender action plan to ensure equitable sharing of benefits between gender groups.

**B.3. Expected project results aligned with the GCF investment criteria (max. 1 page)**

12. *Adaptation potential:* The expected number of direct beneficiaries of the project and their families (reduced vulnerability and increased resilience) is estimated at more than 11,000 people, with indirect beneficiaries reaching more than 64,000 people. Women and youth make up slightly more than 73% of the population in the project area; hence a large proportion of the project beneficiaries will be women. The project will build the resilience of these beneficiaries by enhancing their livelihood assets through enhanced knowledge and competencies, diversified livelihood choices, and restored forest ecosystem on the mountain. The project will also improve self-organization, enabling local groups to address the problems they encounter with little external help.

13. *Mitigation potential:* Mitigation will be secured through forest regeneration (reforestation and management of natural regeneration) on the mountain. The total mitigation potential of the project from forest regeneration is estimated at an average of 8,525 tCO<sub>2eq</sub> year<sup>-1</sup>, with 8,085 tCO<sub>2e</sub> year<sup>-1</sup> (8.2 tCO<sub>2e</sub> ha<sup>-1</sup>year<sup>-1</sup>) from tree planting; and 440 tCO<sub>2e</sub> year<sup>-1</sup> (0.7 tCO<sub>2e</sub> ha<sup>-1</sup>year<sup>-1</sup>) from the management of natural regeneration. These figures will be refined during the project planning period when the exact area suitable for reforestation and naturally managed regeneration area are precisely determined.

14. *Innovation:* The forest landscape restoration is a highly innovative long-term process of regaining ecological functionality and enhancing human well-being across the degraded landscape. Its innovation is well-described by its guiding principles<sup>4</sup>. Mapping of the degraded mountain to stratify the restoration process (Component 1) will rely on the application of cutting edge space-based technologies. One of the strengths of space-based technology is that the results are consistent and can be verified. Additionally, space technology creates an opportunity to access information in locations that are not accessible using other technologies (e.g. chain and campus mapping), hence precise and accurate.

15. *Economic co-benefits:* Using the results from formal economic models, if Malawi does not act now (absence of adaptation), the direct overall costs due to climate change will be equivalent to losing at least 5% of the GDP each year. The proposed project is expected to catalyse the local economy of the project area, creating over 1,800 jobs through forest regeneration, bringing into the local economy an estimated 2.5 million US dollars. This excludes the potential economic benefits from diversified livelihoods opportunities created by the project.

16. *Socio-co-benefits:* The benefits from all components of the project will collectively increase social capital through stronger community institutions, skilled community members, advance gender balance in the society, improved cross-sectoral and stakeholder coordination and improved governance in forest management. Combined with improved forest productivity, these measures improve the adaptive capacity of participating individuals. This will increase the resilience of the production systems and livelihoods, thereby reducing vulnerability to climate change. The gender action plan will be applied to ensure that costs and benefits of the project are equitably distributed amongst all the gender groups.

17. *Environmental co-benefits:* Collectively, the measures of the project will enhance the ecological functionality of Ndirande mountain as a forest ecosystem. This will secure ecosystem services, including carbon stocks in over 1.5 thousand hectares, enhanced biodiversity conservation in the managed natural regenerated areas, and reduced soil erosion due to improved tree cover. In the long-term, the project will contribute to recharging of groundwater resources and rivers, as a result of increased forest cover, and the protection and restoration of ecologically sensitive areas for watershed protection.

18. *Country ownership:* The project is fully aligned with all the relevant national development policies and strategies, especially the Malawi National Climate Change Management Policy (2015), the NAPA (2006) and the NDC(2015). The project was initiated by the Malawi Government through the Department of Forestry. The concept was developed through a consultative process involving staff from the Department of Forestry, the NDA, civil society groups, the academia, and the community leaders of the communities surrounding the Ndirande mountain. Through this consultative process, the concept is fully owned by the people of Malawi.

19. *Effectiveness and efficiency:* Effective delivery of the project results will be ensured through the project management arrangements, which will be based on efficient management systems of JICA and the Malawi Government. Such efficient management systems, combined with a strong project management team, will lead to effective and efficient implementation of project interventions.

<sup>4</sup> Ministry of Natural Resources, Energy and Mining-Malawi (2017). Forest Landscape Restoration Opportunity Assessment for Malawi. NFLRA (Malawi), IUCN, WRI.

**C. Indicative financing / Cost information (max. 2 pages)**

**C.1. Financing by components (max ½ page)**

Please provide an estimate of the total cost per component and disaggregate by source of financing.

Component	Indicative cost (USD, 000)	GCF financing		Co-financing		
		Amount (USD, 000)	Financial Instrument	Amount (USD)	Financial Instrument	Amount (USD, 000)
1	3,000	3,000	Grant	0		
2	340	340	Grant	0		
3	760	760	Grant	0		
4	380	380	Grant	0		
<b>Indicative total cost (USD)</b>	4,480	4,480				

For private sector proposal, provide an overview (diagram) of the proposed financing structure.

**C.2. Justification of GCF involvement (max 1/2 page)**

20. Climate change increases existing development challenges and brings new ones. In Malawi, climate change impacts on ecosystems are increasing pressure on the natural resources that many people depend on for their well-being and livelihoods, further threatening development investments. Given Malawi's low levels of economic and technological sophistication, an ecosystem based approach to adaptation would be appropriate for the country and can be achieved through the proposed project. The project will build on the baseline programs through which the government addresses the developmental challenges, and use the GCF funds to build adaptive capacity of the local populations living around the Ndirande mountain, to tackle vulnerabilities. The project is therefore in line with the GFC objectives and investment framework, particularly creating a transformative change through a systemic solution and a programmatic mechanism to address a key environmental problem leading to avoided emissions and significant investment for adaptation through the program intervention.

**C.3. Sustainability and replicability of the project (exit strategy) (max. 1/2 page)**

21. The nature of the proposed project is such that most of the outputs will be self-sustaining after the GCF funding ends. The most significant deliverables from the project will be sustained through the following: a) the ownership, implementation, and mainstreaming of the project activities across government institutions (e.g. the Blantyre District Forestry Office) will make sustainable forest management practices of the mountain an integral part of district forest management plans and supported through the regular extension services of the district; b) financial incentives in the form of livelihood benefits, hiring of local people for labor intensive works, and access to forest products from the restored mountain will further sustain local community engagement during and beyond the project; c) a strong capacity-building program offered by the project to enhance institutional and individual skills and competencies, including local forest restoration groups, provides mechanisms for sustaining the results and promoting upscaling and replication; and d) the current political support from the highest level of government in Malawi to climate change and biodiversity investments, forest landscape restoration, and building national resilience to economic and environmental shocks provides an enabling framework key to the project's sustainability.

#### C.4 Stakeholders engagement in the project or programme (max ½ page)

22. The project was conceived at a brainstorming meeting of the Department of Forestry held on 11<sup>th</sup> October 2018 at Mponela, Dowa district. The meeting was facilitated by a Forestry Expert and a Consultant from the Lilongwe University of Agriculture and Natural Resources (LUANAR) and attended by 10 senior staff of the Department of Forestry (see annex 1). After an extensive review of the key issues and challenges facing the forestry sector in providing the desired goods and services for the well-being of the people of Malawi, the participants settled to tackle the barriers that have prevented Ndirande Mountain Forestry Reserve from delivering multiple benefits to livelihoods, the economy and the environment. Hence, the genesis of this project. The choice of this project also benefitted from a high level political will, where legislators in the Malawi National Assembly at a number of sessions queried the Minister responsible for Forestry to explain the interventions being undertaken to save Ndirande mountain and the people dependent on it<sup>5</sup>. A team of four people from the Department of Forestry were designated to spearhead the development of this project concept (in partnership with the Forestry Expert and Consultant from LUANAR). Field consultations with leaders of the local communities living around the Ndirande mountain was done on 15<sup>th</sup> and 16<sup>th</sup> October 2018 to identify their needs, solicit ideas and track perceptions regarding the restoration of the mountain. The results of the consultations were compiled into a zero draft of the concept. The zero draft was presented to the senior staff of the Department of Forestry on 24<sup>th</sup> October 2018 for their review and comments. A meeting was also specially arranged with the National Designated Authority (NDA) to provide a briefing on the project idea and acquire guidance in the preparation of this concept. Based on the comments and inputs received from the two meetings, the 1<sup>st</sup> draft of the concept was developed. This 1<sup>st</sup> draft was again presented to the staff of the Department of Forestry at a meeting held on 13<sup>th</sup> November 2018 at the Department of Forestry Headquarters (List of participants to this meeting is attached). This stakeholder engagement will be maintained during the entire process of the project. The project will make available summaries of some relevant findings or technical information to share with the key stakeholders during the whole project life. This will increase the chances of successful implementation and enhance the sustainability of results.

#### C.5 Monitoring and Evaluation and reporting plans (max ¼ page)

23. The project will establish a project team comprising the Project Manager, Administrative and Finance Manager, and Project officers. The team will meet weekly to review weekly planned activities and the progress achieved in the previous week, including attribution and causality for any result(s). The lessons learned during implementation of the previous week's planned activities inform the means and strategies for the coming week's activities. These weekly project meetings will help the project management team access real-time monitoring data in order to lead and manage the project effectively. The project will also establish a monitoring team comprising the Project manager, Project officers and Representatives of key stakeholders (e.g. public, private and civil society including the community members). The monitoring team will meet annually to review annual progress on key indicators that measure the impacts of project interventions and approve new work-plans for the coming year. The project will undergo annual technical evaluations at the end of year 1 and year 2 to provide data on the key indicators for review by the project monitoring team. At the end of year 3, the project will undergo an end of project evaluation. The external evaluator will be sourced through competitive bidding process and the evaluation will be conducted and completed within a month after the completion of the project.

#### D. Annexes

- ESS screening check list (Annex 1)
- Map indicating the location of the project/programme (as applicable)
- List of participants who attended a presentation on the Project Idea Note on 13.11.18 (as applicable)
- Evaluation Report of previous project (as applicable)

<sup>5</sup> Personal communication with the Director of Forestry – Dr. Clement Chilima on 13<sup>th</sup> November 2018 at the Forestry Department Headquarters.



## Annex 1: Environmental and Social Screening Checklist

### Part A: Risk Factors

The questions describe the “risk factors” of activities that would require additional assessments and information. Any “Yes” response to the questions will render the proposal not eligible for the Simplified Approval Process Pilot Scheme. Proposals with any of the risk factors may be considered under the regular project approvals process instead.

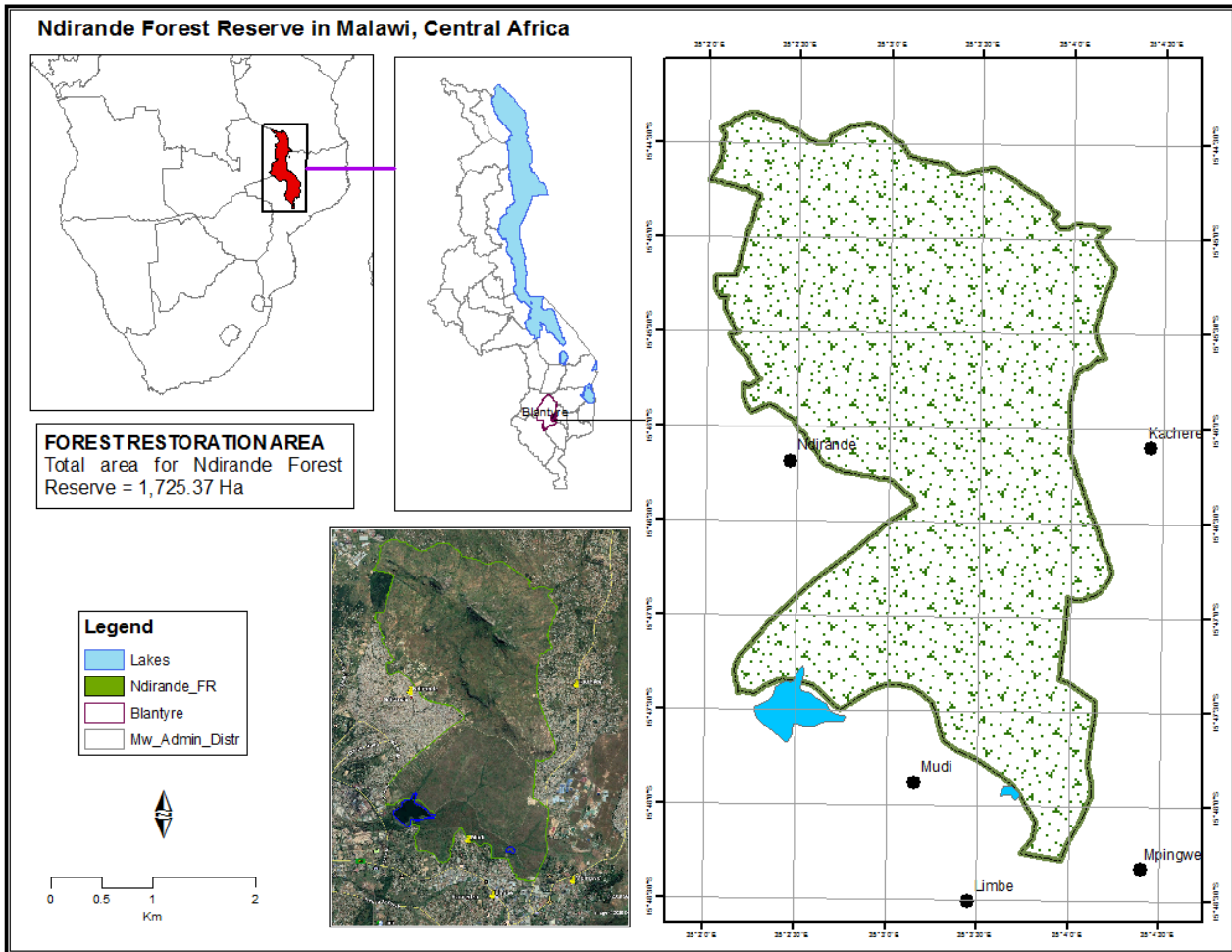
Exclusion criteria	YES	NO
Will the activities involve associated facilities and require further due diligence of such associated facilities?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will the activities involve trans-boundary impacts including those that would require further due diligence and notification to downstream riparian states?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will the activities adversely affect working conditions and health and safety of workers or potentially employ vulnerable categories of workers including women, child labour?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will the activities potentially generate hazardous waste and pollutants including pesticides and contaminate lands that would require further studies on management, minimization and control and compliance to the country and applicable international environmental quality standards?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will the activities involve the construction, maintenance, and rehabilitation of critical infrastructure (like dams, water impoundments, coastal and river bank infrastructure) that would require further technical assessment and safety studies?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will the proposed activities potentially involve resettlement and dispossession, land acquisition, and economic displacement of persons and communities?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Will the activities be located in protected areas and areas of ecological significance including critical habitats, key biodiversity areas and internationally recognized conservation sites?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Will the activities affect indigenous peoples that would require further due diligence, free, prior and informed consent (FPIC) and documentation of development plans?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Will the activities be located in areas that are considered to have archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values or contains features considered as critical cultural heritage?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

### Part B: Specific environmental and social risks and impacts

Assessment and Management of Environmental and Social Risks and Impacts	YES	NO	TBD
Has the AE provided the E&S risk category of the project in the concept note?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the AE provided the rationale for the categorization of the project in the relevant sections of the concept note or funding proposal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are there any additional requirements for the country?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the identification of risks and impacts based on recent or up-to-date information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Labour and Working Conditions	YES	NO	TBD
Are the proposed activities expected to have impacts on the working conditions, particularly the terms of employment, worker’s organization, non-discrimination, equal opportunity, child labour, and forced labour of direct, contracted and third-party workers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Will the proposed activities pose occupational health and safety risks to workers including supply chain workers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Resource Efficiency and Pollution Prevention</b>	<b>YES</b>	<b>NO</b>	<b>TBD</b>
Are the activities expected to generate (1) emissions to air; (2) discharges to water; (3) activity-related greenhouse gas (GHG) emission; and (5) waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the activities expected to utilize natural resources including water and energy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will there be a need to develop detailed measures to reduce pollution and promote sustainable use of resources?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Community Health, Safety, and Security</b>	<b>YES</b>	<b>NO</b>	<b>TBD</b>
Will the activities potentially generate risks and impacts to the health and safety of the affected communities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will there be a need for an emergency preparedness and response plan that also outlines how the affected communities will be assisted in times of emergency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will there be risks posed by the security arrangements and potential conflicts at the project site to the workers and affected community?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Land Acquisition and Involuntary Resettlement</b>	<b>YES</b>	<b>NO</b>	<b>TBD</b>
Will the activities likely involve voluntary transactions under willing buyer-willing-seller conditions and have these been properly communicated and consulted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Biodiversity Conservation and Sustainable Management of Living Natural Resources</b>	<b>YES</b>	<b>NO</b>	<b>TBD</b>
Are the activities likely introduce invasive alien species of flora and fauna affecting the biodiversity of the area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will the activities have potential impacts on or be dependent on ecosystem services including production of living natural resources?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Indigenous Peoples</b>	<b>YES</b>	<b>NO</b>	<b>TBD</b>
Are the activities likely to have indirect impacts on indigenous peoples?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will continuing stakeholder engagement processes and a grievance redress mechanism be integrated into the management / implementation plans?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Cultural Heritage</b>	<b>YES</b>	<b>NO</b>	<b>TBD</b>
Will the activity allow continuous access to the cultural heritage sites and properties?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will there be a need to prepare a procedure in case of the discovery of cultural heritage assets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Annex 2: Map indicating the location of the project**





**Annex 3: List of participants to a presentation on Project Idea Note on 13.11.18**

**[C:\Users\JCED\Documents\JICA>List of participants1\\_13.11.18.pdf](C:\Users\JCED\Documents\JICA>List of participants1_13.11.18.pdf)**

**Sign-off:** *Specify the name of the person responsible for the environmental and social screening and any other approvals as may be required in the accredited entity's own management system.*