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**ESMS RISK SCREENING QUESTIONAIRES**

**LIST OF ACRONYMS**

|  |  |
| --- | --- |
| **Abbreviation** | **Description** |
| E&S | Environmental and Social |
| ESDD | Environmental and Social Due Diligence |
| ESMS | Environmental and Social Management System |
| HWC | Human Wildlife Conflicts |
| LE | Law Enforcement |
| NGO | Non-Governmental Organisation |
| SEP | Stakeholder Engagement Plan |
| TFCA | Transfrontier Conservation Area |
| TFCA FF | Transfrontier Conservation Area Financing Facility |
| TRA | Thematic Risk Areas |
| WB ESS | World Bank Environmental and Social Standards |

# Introduction

For each project seeking grant-funding, Applicants are required to complete a Concept Note Template and a set of ESMS Risk Screening Questionnaires: this General E&S Questionnaire and if applicable, more detailed questionnaires related to specific risk areas (the TRA Questionnaires in Appendices 1 - 4). ***Kindly note that these appendices will only be provided at the next application stage (full proposal) where necessary***. While the Concept Note is detailing the design and objectives of the project and the activities for which they seek financing, by filling in the General E&S Questionnaires, Applicants describe the key E&S risks and potential impacts that may result from the proposed project and/or project activities. The information in the E&S Questionnaires must be reflected in the Concept Note.

Instructions for Applicants on how to complete the questionnaires are detailed in the sections below. Applicants are required to respond to each question as comprehensively as possible based on the level of known information and informed estimation of potential risks and impacts. The Applicants are encouraged to share with the TFCA FF all available documents that can support (i.e., provide evidence) responses in the E&S Questionnaires. TFCA FF team (including the ESMS Officer) may request additional information from Applicants who do not provide sufficient detail to their responses or to clarify certain aspects.

**Chapter 2** below is designed to capture basic project information (including location, implementing partners, contact person for E&S management), Applicant experience in E&S management (including any existing E&S policies and procedures within the Applicant´s organisation[[1]](#footnote-1) and experience in the development and implementation of E&S safeguard instruments).

**Chapter 3** then requests the Applicants to respond to E&S risk screening questions related to the proposed project and/or project activity. This chapter is organized around two tiers, namely:

* **Tier 1**: the overarching, more general E&S risks including contextual risks; and
* **Tier 2**: the specific risks related to the Thematic Risk Areas (Law enforcement operations in the conservation context; Access restrictions and enforcement of access restrictions to protected areas; Human wildlife conflict and/or coexistence; and Infrastructure and other physical interventions). **Tier 2** – **Step 1** comprises an overview list (Table 3-1 below), where the Applicant is requested to assign all proposed activities to one or more of the four Thematic Risk Areas (TRA). For the TRA which are triggered by the proposed activities, the Applicant has to fill in the relevant specific TRA Questionnaire (**Tier 2 - Step 2** in Appendices 1 - 4)

The questions provided in **Tier 1** are designed to inform overall environmental and social risk categorization of the proposed project and project activities. The general questionnaire in chapter 3 hence includes a series of questions related to the overall E&S risks, general contextual risks, and risks from activities in the project areas not implemented by the Applicant.

The trigger list (**Tier 2 – Step 1**) for the Thematic Risk Areas leads the Applicant to the Thematic risk Area specific E&S Questionnaires (**Tier 2 – Step 2**, in Appendices 1 - 4)**,** only to be filled in if the respective TRA is triggered. TRAs include risks that are of the highest concern to the TFCA FF and must be carefully assessed in detail and mitigated through the development of fit-for-purpose safeguard instruments. The TRA specific information will be taken into account for the environmental and social risk categorization of the proposed project as well. TRAs which are not applicable to the proposed project do not need to be further assessed.

TFCA FF has developed separate Guidance Notes for each TRA for further guidance on these topics[[2]](#footnote-2). The Guidance Notes include safeguard guidelines and templates with the aim of supporting Applicants by describing the underlying policies and objectives and detailing how to assess and manage E&S risks and opportunities associated with each TRA.

# General Information about Project and Applicant

## Project overview

The aim of this section is to briefly summarise the general information about the proposed project and the Applicant, confirm that the Applicant has conducted the assessment of the proposed project activities against the TFCA FF Exclusion List, and collect the contact data about the Applicant (incl. the responsible E&S Manager or similar personnel within the Applicant´s organisation).

| **General Information** | | | |
| --- | --- | --- | --- |
| Project Title: | | | |
| Project Location: | | | |
| Project TFCA Areas[[3]](#footnote-3): | | | |
| Project ID Number: | | | |
| Name of Applicant organization and/or Applicant parties: | | | |
| **Exclusion List Screening** | | | |
| Is the project and/or project activity type listed on TFCA FF Exclusion List?  *The Applicant is required to undertake a check of all proposed activities against the Exclusion List and ensure that none of the proposed activities is part of the Exclusion List* | | **Yes**, TFCA FF will not finance the any proposed project activities that are listed in the Exclusion List, the Applicant is required to remove the excluded activities from the application.  **No**, proceed with the questionnaire | |
| **Contact details** | | | |
| Contact details of responsible person(s) completing this questionnaire (if assigned) for further communication. Please, provide the contact data of the E&S Manager appointed in your organisation for the project. Please also provide the contact of the Grant Manger for TFCAFF funding. | | | |
| Position | Name | Telephone Number | E-Mail Address |
| **E&S Manager** *(or similar)* |  |  |  |
|  |  |  |  |
| **Grant Manager** (*for this application to TFCA FF*) |  |  |  |

## Applicant´s experience in E&S management

The objective of this section is to collect the information regarding the Applicants experience in E&S management and implementation of the applicable standards (refer to TFCA FF ESMS Manual for the full list of applicable standards).

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Question** | **Answer** | **Please specify:** |
|  | Does your organization have any E&S policies in place? If “Yes”, please specify which ones. | Yes  No |  |
|  | Does your organization have experience with application of international safeguard standards (e.g., WB ESSs)? | Yes  No | *If “Yes”, please specify which standards and how were applied* |
|  | Will you work with external experts or internal staff to undertake further E&S assessments and prepare safeguard instruments for the proposed activities? | External experts  Internal staff |  |
|  | For external experts, have you identified suitable resources to support your project? | Yes  No |  |
|  | Does your organization maintain a procedure for immediate reporting of serious incidents and accidents (including a clear definition of what is considered a serious incident/accident)? | Yes  No | *If “Yes”, please explain the status of any inquiries* |
|  | Does your organization maintain regular community liaison and/or stakeholder engagement activities in the planned areas of activities? | Yes  No |  |
|  | Is there a formal Stakeholder Engagement Plan (SEP) or a comparable plan/set of measures to engage with local communities in the areas where the proposed activities are planned to be implemented already in place? | Yes  No |  |
|  | Is there a Grievance Mechanism or similar process to receive and resolve complaints or respond to concerns already in place? | Yes  No | *If “Yes”, please explain the status of any inquiries* |
|  | Are there existing E&S management plans or other safeguard instruments (incl. Emergency Response Plan) in place related to the proposed activities? | Yes  No |  |

# Environmental and Social Risk Screening Questions

The exploration of contextual risks together with the information regarding the planned activities will inform the E&S risk categorization to be undertaken by the Facility and the overall ESDD process with the resulting safeguard requirements, which will then be part of the contractual agreements between the Applicant and the Facility.

## Tier 1: General E&S Risk Screening

In order to undertake a comprehensive E&S risk categorization for the proposed project and project activities, it is essential that the Applicant provides their responses to the E&S screening questions in this section and shares any relevant documents (to support the provided responses). The purpose of this information collection is to determine the appropriate safeguard instruments required for the project. The questions below seek to gather data on various aspects: general contextual risks, E&S risks from overall TFCA operation in the project areas and overall E&S risks related to the planned activities of the Applicant. It is important to note that the contextual information will help establish the broader context in which the activities will take place, taking into account risks and potential impacts related to the national context or activities funded by sources other than the Facility. Should any of the questions require an affirmative response, please provide further details or explanations in the designated "please specify" column.

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Question** | **Answer** | **Please specify:** |
|  | **Legacy and Conflict, Security** |  |  |
|  | Is or has the TFCA where the project is located been subject to civil war, inter-ethnic conflict, or insurgency in the last 10 years? If “Yes”, please describe. | Yes  No  Unknown |  |
|  | Is the national defence force involved in law enforcement operations in the TFCA and specifically in the areas where planned project activities are located? Please indicate the areas if any where the national defence force is involved in LE operations | Yes  No |  |
|  | Is there any risk of unexploded ordinance in the TFCA where the project is located? (e.g. land mines and explosive traps). If “Yes”, have any rangers or local people been killed or injured by unexploded ordinance in the last 5 years? | Yes  No  Unknown |  |
|  | Is there a presence of organized criminal groups in the TFCA where the project is located? This may include organized poaching, kidnapping, looting of archaeological sites, smuggling (arms, people), etc. If “Yes”, please describe. | Yes  No  Unknown |  |
|  | Are there reports of human trafficking or illegal trade (e.g., drugs, small arms and light weapons) in the TFCA where the project is located? | Yes  No  Unknown |  |
|  | Is the TFCA where the project is located impacted by organized cultivation of illicit crops (marihuana, opium poppy), processing of those crops and / or trafficking of narcotics? If “Yes”, please describe. | Yes  No  Unknown |  |
|  | Are any of the areas of planned project activities located on a national frontier or in a marine or coastal area located near a neighbouring country? | Yes  No |  |
|  | Is there a history of forced evictions in the TFCA where the project is located? If “Yes,”   * What were the circumstances surrounding evictions? * Who was responsible for undertaking forced evictions? * If there is documentation, please describe? | Yes  No  Unknown |  |
|  | Has there been any conflict between the management of the TFCA where the project is located and local communities[[4]](#footnote-4) in the last three years? If so, what were the causes of the conflict (e.g., poaching, logging, disputes over access rights, artisanal mining)? | Yes  No  Unknown |  |
|  | Has the TFCA area where the project is located received any large population influxes over the past decade? (e.g., refugees, displaced people from other communities)? | Yes  No  Unknown |  |
|  | For the TFCA area where the project is located, are there reports of regular tensions or conflicts over land access or ownership (e.g., local community disputes with government or companies, conflicts between different communities)? | Yes  No  Unknown |  |
|  | **Human Rights and Gender Equality** |  |  |
|  | For the TFCA where the project is located, specifically in the areas where planned project activities are located, are there recent reported human rights infringements linked to law enforcement? | Yes  No  Unknown |  |
|  | For the TFCA where the project is located, specifically in the areas where planned project activities are located, is there any history of human rights conflict or injustice in the project area? (Include any issues with partner organizations and / or other stakeholders) | Yes  No  Unknown |  |
|  | Has the country office of your organization been involved in, or accused of, any human rights infringements in the last 5 years? | Yes  No  Unknown | *If yes, please share available documentation* |
|  | Have any of the partner organizations of the Applicant or other stakeholders involved in the planned activities been implicated in human rights conflicts in the past? | Yes  No  Unknown | *If yes, please available documentation* |
|  | Is there a risk that planned project activities could contribute to 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? | Yes  No  Unknown |  |
|  | For the TFCA where the project is located, specifically in the areas where planned project activities are located, are there reports regarding gender-based violence (including sexual exploitation, sexual abuse, or sexual harassment)? | Yes  No  Unknown | *If yes, please share available documentation* |
|  | Is there a risk that the overall TFCA operation, specifically in the areas where the planned project activities are located potentially limits women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? | Yes  No  Unknown |  |
|  | **Labour and Working Conditions** |  |  |
|  | Have the countries, where the TFCA is located, ratified ILO fundamental conventions[[5]](#footnote-5)? *Please indicate which of the ILO fundamental conventions were ratified* | Yes  No  Unknown |  |
|  | Is there a risk that the overall TFCA operation, specifically in the areas where the planned project activities are located would preclude workers from the enjoyment of core ILO labour standards? | Yes  No  Unknown |  |
|  | For the TFCA where the project is located, specifically for the areas where the planned project activities are located, are there any reports of labour related human trafficking? | Yes  No  Unknown |  |
|  | Is there a risk that the overall TFCA operation, specifically in the areas where the planned project activities are located, would attract forced labour and/or child labour? | Yes  No  Unknown |  |
|  | Are there any specific national labour provisions addressing the safety and security of law enforcement staff? | Yes  No  Unknown | *If yes, please share available documentation* |
|  | Are there any reports related to overall occupational health and safety risks of TFCA law enforcement staff (i.e., incident reports, grievances, other reports)? | Yes  No  Unknown | *If yes, please share available documentation* |
|  | **Resource Efficiency and Pollution Prevention** |  |  |
|  | Is there a risk that the overall TFCA operation, specifically in the areas where the planned project activities are located would involve use, storage, handling or transportation of hazardous goods (e.g. fuel or oil for vehicle use)? | Yes  No  Unknown |  |
|  | Is there a risk that the overall TFCA operation, specifically in the areas where the planned project activities are located would result in the release of pollutants into the environment, potentially resulting in adverse impacts on people and the environment on the local, regional or transboundary level? | Yes  No  Unknown |  |
|  | **Community Health, Safety and Security** |  |  |
|  | Is there a risk that the overall TFCA operation, specifically in the areas where the planned project activities are located would lead to community members being impacted by diseases? If "Yes", have all options to avoid or minimize impacts from diseases been identified and assessed? | Yes  No  Unknown |  |
|  | Is there a risk that any negative impacts from the overall TFCA operation, specifically in the areas where the planned project activities are located would fall disproportionately on disadvantaged or vulnerable individuals or groups or contributes to their discrimination or marginalization? | Yes  No  Unknown |  |
|  | Is there a risk that the planned project activities might discriminate against vulnerable groups with regards to access to resources, services, or benefits provided by the project? | Yes  No  Unknown |  |
|  | **Access Restrictions and involuntary displacement** |  |  |
|  | Could any of the planned project activities potentially lead to access restrictions which may result in physical displacement and / or economic displacement of individuals / households / communities?  Responses of “Yes” and “Unknown” will require the completion of  **TRA specific Questionnaire - Appendix 2 (TRA 2 Access Restrictions)**. | Yes  No  Unknown |  |
|  | Is there ongoing and/or historic physical and/or economic displacement of people or communities in the TFCA region and close to the areas where planned project activities would be implemented?  If “Yes":   * Is there documentation available (e.g., a Process Framework or similar social management tool) to verify the planning and mitigation measures applied to this / these processes? * Is there any evidence that ongoing / past physical and / or economic displacement included the use of forced evictions? * If ongoing / past displacement included forced evictions, what were the circumstances surrounding evictions? * Who was responsible for undertaking forced evictions?   Are there any legacy issues associated with ongoing and / or past displacement? If “Yes,” describe these issues and how they may affect activities proposed for Facility funding. | Yes  No  Unknown |  |
|  | **Biodiversity conservation and sustainable use of natural resources** |  |  |
|  | Are there any risks that the planned project activities might create pathways for spreading invasive species (e.g. through creation of corridors, import of commodities, tourism or movement of boats)? | Yes  No  Unknown |  |
|  | Is there a risk that the overall TFCA operation, specifically in the areas where the planned project activities are located would lead to the conversion or degradation of natural habitat or critical habitat? | Yes  No  Unknown |  |
|  | **Indigenous people and vulnerable groups** |  |  |
|  | Is the TFCA, especially the areas where the planned project activities will be located inhabited by or important to (e.g., sacred places and/or livelihood seasonal activities) to indigenous people or other traditional local communities?  Responses of “Yes” and “Unknown” will require the completion of  **TRA specific Questionnaire - Appendix 2 (TRA 2 Access Restrictions)**. | Yes  No  Unknown |  |
|  | Even if indigenous groups are not found at the project sites, is there still a risk that planned activities could affect the rights and livelihood of indigenous peoples?  Responses of “Yes” and “Unknown” will require the completion of  **TRA specific Questionnaire - Appendix 2 (TRA 2 Access Restrictions)**. | Yes  No  Unknown |  |
|  | **Cultural heritage** |  |  |
|  | In the proximity of the areas where planned project activities are located, are there any issued related to constrained access to cultural sites for local communities? | Yes  No  Unknown |  |
|  | In the proximity of the of the areas where planned project activities are located, were there any occurrence of alteration, damage or removal of any site (tangible) and/or intangible cultural heritage? | Yes  No  Unknown |  |
|  | Are any of the proposed project activities likely to result in reduced access to cultural sites for local communities? | Yes  No  Unknown |  |
|  | **Stakeholder Engagement** |  |  |
|  | In the TFCA, especially the areas where the planned project activities will be located, is there a regular exchange between government institutions, NGOs and other entities (e.g., companies) who are operating in the TFCA? | Yes  No  Unknown |  |
|  | In the TFCA, especially the areas where the planned project activities will be located, is there any regular community liaison or engagement activities undertaken by your organization or any other organization? | Yes  No  Unknown |  |
|  | Please describe how community members, project area residents and TFCA staff members including law enforcement officers would share grievances related to TFCA operation (including labour issues) and how such grievances would be responded to and resolved? | Yes  No  Unknown |  |
|  | In the areas where planned project activities will be located, have there been challenges in engaging women and other certain key stakeholder groups in discussions for the project and/or project activity or in earlier similar development activities? | Yes  No  Unknown |  |

## Tier 2 – Step 1: Thematic Risk Areas Assessment

The objective of this section to identify if the proposed project and/or project activity triggers one or more TFCA FF´s Thematic Risk Areas (TRA). The TRAs identify the primary areas of concern within the TFCA context and focus on potential shortcomings in meeting the E&S requirements during project implementation. The Facility identified following TRAs which may be triggered by projects and/or project activities to be supported:

* **Thematic Risk Area 1**: Social risks and potential impacts related to law enforcement operations in the conservation context;
* **Thematic Risk Area 2**: Social risks and potential impacts related to access restrictions and enforcement of access restrictions to conservation areas;
* **Thematic Risk Area 3**: Social risks and potential impacts related to human wildlife conflict/ coexistence; and
* **Thematic Risk Area 4**: E&S risks and impacts related to the construction of infrastructure and other physical interventions.

It is important to note that a single activity has the potential to trigger multiple TRAs. This means that different aspects of the proposed activity may have implications for various areas of concern identified in the TRAs. Therefore, a comprehensive evaluation is necessary to address and mitigate risks across multiple thematic areas that may be relevant to the proposed project and/or project activity.

The illustrative list below provides examples of potential proposed project activities and the triggered TRA respectively. The list is not exhaustive and should be used as illustration for the Applicant based on which they are **required to fill out Table 3‑1** below. If the Applicant identifies that the proposed activity triggers any of the TRA, they are required to fill out the respective TRA specific E&S Questionnaires (refer to Appendices 1 - 4). The TRA specific E&S Questionnaires includes questions that are specifically related to the proposed activities based on the triggered TRA. The Applicant is required to fill-out each triggered TRA specific E&S Questionnaires combining the information about all proposed activities that triggered that particular TRA.

Examples for type of project activities as per the triggered TRA:

##### TRA 1: Law enforcement operations

**Direct support**

* Law enforcement operations;
* Law enforcement activities to enforce access restrictions;
* training for LE officials;
* purchase of uniforms, vehicles or field and camping equipment;
* funding for fuel and maintenance costs of vehicles used for LE;
* developing and equipping an operations control room;
* payment of salaries or incentives for LE project staff, consultants or trainers;
* infrastructure development to facilitate LE activities and LE staff such as roads, houses, patrol camps and ranger stations.

**Indirect support**

* purchase and maintenance of vehicles or equipment for protected area management activities but that will sometimes be used to transport LE teams to patrol sites or equipment that will occasionally be used for LE;
* infrastructure in protected areas that will be used by all staff including LE teams; and
* support to the development of park management plans that have a LE component, or the development of training materials of which LE is a component.

##### TRA 2: Access Restrictions

* law enforcement activities to enforce access restrictions;
* boundary demarcation;
* development of new protected areas;
* extension of existing protected areas;
* change of category of existing PA leading to stricter restriction of access;
* fence construction or any other access restrictions or zoning for HWC management;
* development of land use plans or other land use agreements with local communities.

##### TRA 3: Human Wildlife Conflict / Coexistence

* development and implementation of HWC management plans/schemes;
* construction of infrastructure to manage or mitigate HWC;
* establishment or extension of wildlife corridors or other designated areas which may lead to increases in wildlife population, and thus resulting in potentially increased HWC;

##### TRA 4: Infrastructure / Physical works

* housing units and other buildings, workshops, visitor centres;
* irrigation infrastructure, water provision,
* road rehabilitation and -construction; bridges;
* infrastructure for HWC management (e.g., fence construction);
* boundary demarcation(beaconing);
* management of alien invasive species and other regular vegetation removal;
* application of pesticides, herbicides and other chemicals;
* fire management/fire management plans;
* other infrastructure and physical works;

The Applicant is required to fill out Table 3‑1 below, wherein they must provide a comprehensive list of proposed project activities as per activity lists in the Concept Note. It is essential for the Applicant to indicate which potential TRA(s) these activities may trigger, taking into account the provided above illustrative list, and specify the TFCA area(s) where they will be implemented.

Subsequently, the Applicant is required to fill out the relevant TRA specific E&S Questionnaires (refer to Appendices 1 -4) corresponding to the triggered TRA(s). In cases where the proposed project and/or project activities do not trigger any of the TRAs, the Applicant should solely submit this completed E&S Questionnaire along with the Concept Note to the Facility.

Table 3‑1 Triggered TRA for the Proposed Project Activities

|  |  |  |  |
| --- | --- | --- | --- |
| # | Activity as per Concept Note | Thematic Risk Area(s) *tick all that apply* | TFCA Area (s) where the Activity will be implemented |
|  |  | TRA1;  TRA2;  TRA3;  TRA4 |  |
|  |  | TRA1;  TRA2;  TRA3;  TRA4 |  |
|  |  | TRA1;  TRA2;  TRA3;  TRA4 |  |
|  |  | TRA1;  TRA2;  TRA3;  TRA4 |  |
|  |  | TRA1;  TRA2;  TRA3;  TRA4 |  |
|  |  | TRA1;  TRA2;  TRA3;  TRA4 |  |
|  |  | TRA1;  TRA2;  TRA3;  TRA4 |  |
|  |  | TRA1;  TRA2;  TRA3;  TRA4 |  |
|  |  | TRA1;  TRA2;  TRA3;  TRA4 |  |
|  |  | TRA1;  TRA2;  TRA3;  TRA4 |  |

**Please list those activities described in the Concept Note which could NOT be allocated to any of the risk areas below (as bullet point list).** The TFCA FF ESMS Officer will reach out to the Applicant to jointly agree, whether any of the TRA would be triggered.

1. Hereafter in the document „your organisation“ is reffered to the Applicant´s organisation [↑](#footnote-ref-1)
2. These guidance notes are available from TFCAFF upon request and will be published on TFCAFF website prior to end 2023 [↑](#footnote-ref-2)
3. Specify as a bullet list the areas in which the project and/or project activity will be located – both the specific project areas as well as the TFCA of which they are a part. Make sure to add the illustrative maps to show the areas (if not already under the Concept Note document, then provide a reference). [↑](#footnote-ref-3)
4. This question does not refer to a LE officer coming into conflict with an individual member of a community when that person comes into a protected area to poach. This refers to the community collectively objecting to the decisions of park management or the actions of LE officers either by, for example, calling a meeting, reporting the objections to a leadership structure or confronting the LE officers in a public manner. [↑](#footnote-ref-4)
5. [Conventions and Recommendations (ilo.org)](https://www.ilo.org/global/standards/introduction-to-international-labour-standards/conventions-and-recommendations/lang--en/index.htm) [↑](#footnote-ref-5)