



TFCA FINANCING FACILITY

# Thematic Risk Area Specific Questionnaire



Supported by:



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## Tier 2.

# Step 2: TRA Specific Questionnaires

### 1. Introduction

For each project seeking grant-funding, Applicants are required to complete a Concept Note Template and the General E&S Questionnaire. 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.

**Furthermore, based on the proposed project and/or project activities the Applicant is required to identify which Thematic Risk Area(s) (TRA) is triggered by the proposed project and/or project activities:**

- **TRA 1:** Law enforcement operations
- **TRA 2:** Access Restrictions
- **TRA 3:** Human Wildlife Conflict/Coexistence
- **TRA 4:** Infrastructure and Physical Interventions

The need for the Applicant to fill out one or more of the TRA specific Questionnaires below will be identified based on the provided responses for the Tier 1 & Tier 2 – Step 1 included in the General E&S Questionnaire. Section 3.2 in the General E&S Questionnaire provides a list of examples of project activities to help the Applicant classify how/when various TRAs are triggered. Once the triggered TRA(s) are identified the Applicant is required to fill out the TRA specific E&S Questionnaire (Tier 2 – Step 2, this document). Thus, one or more of the questionnaires below should be completed (if triggered) as a second step within Tier 2 and submitted together with the General E&S Questionnaire and Concept Note to the Facility ESMS Officer for the evaluation and review. The information in the E&S Questionnaires must be reflected in the Concept Note.

Instructions for Applicants on how to complete the questionnaire 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 impacts. A single activity has the potential to trigger multiple TRAs, as different aspects of the proposed activity may have implications for various areas of concern identified in the TRAs. The Applicants are encouraged to share with the TFCA FF all available documents that can support (i.e., provide evidence) of the filled-out 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 issues.

## 2. TRA 1: LAW ENFORCEMENT OPERATIONS IN THE CONSERVATION CONTEXT

This section helps the TFCA FF to understand the mandate that each of the law enforcement (LE) agencies have when carry out their LE responsibilities. The mandate of the LE officers is dependent on the legislation of the country and is influenced by the status of the area in which they work. Understanding the mandate of the LE officers helps to identify potential risks related both to the officers and the people they come into contact with. There is space provided for information to be provided for each of the LE agencies operational in the project area. The responses to the questions below support the preparation of the Rapid Law Enforcement Risk Assessment (LERA) which is mandatory for all TFCA FF funded activities directly or indirectly supporting law enforcement operations. The Rapid LERA is to be undertaken prior to the development of the Full Proposal so that findings and actions resulting from assessment could be taken into account for proposal development including budgeting. The Rapid LERA will follow up and obtain more detailed information from Applicants, based on responses on the questions below and corresponding information provided. For further information regarding the Rapid LERA Process, please refer to the TFCA FF Guidance Note for the TRA Law Enforcement (Annex H to the ESMS Manual)<sup>1</sup>. The Guidance Note on Law Enforcement Section 2 can be used to properly understand the range and extent of risks that could result from TFCA FF funded activities. Section 3 of the Guidance Note describes the instruments that will be used to assess the risks associated with the proposed law enforcement activities. The findings from the LERA will support TFCA FF within the determination of specific safeguard requirements to be integrate into the Full Proposal and be part of contractual obligations<sup>2</sup>.

### INDICATE THE FACTORS WHICH COMPRISE/CONTRIBUTE TO ILLEGAL ACTIVITIES IN THE PROJECT AREA

Area has high density of people living along its boundaries	Poaching of wildlife using snares
Illegal entry of domestic animals into area for grazing or access to water	Poaching of wildlife by neighbouring communities
Illegal harvesting of forest products	Poaching of wildlife for high value products to trade
Illegal harvesting of forest products for community livelihoods	Poaching of wildlife for meat for own-use or subsistence
Illegal harvesting of forest products for cross-border trade	Poaching of wildlife for meat for sale
Illegal harvesting of timber	Poaching of wildlife in response to human-wildlife conflict
Illegal mining/extraction of products for trade	Poaching of wildlife supported by organized syndicates
Poaching by illegal miners	Poaching of wildlife using firearms
Poaching mostly perpetrated by foreign nationals	Protected area has resident communities/villages within its boundaries
Poaching mostly perpetrated by residents or neighbours	Those perpetrating illegal activities pose a threat to LE officers

<sup>1</sup>This guidance notes is available from TFCAFF upon request and will be published on TFCAFF website

<sup>2</sup>Based on information from the Concept Note and ESMS Questionnaires, the TFCAFF ESMS officer will contact the Applicant, share information regarding the LERA process, how assessment and site visits would be organized and how the Applicant would be expected to support the process

## THEMATIC RISK AREA SPECIFIC QUESTIONNAIRE

Environmental and Social Management System

#	QUESTION	ANSWER	PLEASE PROVIDE ADDITIONAL DESCRIPTIONS OR INFORMATION
LE.1	Which of the following LE activities are to be included for possible support from the grant? Please provide further details in <b>Table 2-1</b>	<ul style="list-style-type: none"> <li>Camping and field equipment</li> <li>Foot patrols &amp; border integrity</li> <li>Housing for LE officers</li> <li>Infrastructure maintenance (water, roads)</li> <li>Investigations and intelligence gathering</li> <li>Rations and supplies for patrol teams</li> <li>Prosecution – preparation and court proceedings</li> <li>Development of SOPs, security plans &amp; strategies</li> <li>Fuel for transport for patrols</li> <li>Fuel for aerial surveillance</li> <li>Search operations or roadblocks</li> <li>Staff salaries and incentives</li> <li>Stakeholder engagements regarding LE</li> <li>Training of LE officers</li> <li>Uniforms and protective clothing</li> <li>Vehicles and vehicle maintenance</li> <li>Other, please specify</li> </ul>	See Section 1.4 of the LE Guidance Note
<p><i>In order for the TFCA FF to be able to determine what risks are associated with the LE support requested by the applicant, there needs to be a clear indication of the scope of the activities that will be supported by the grant funding. The components listed here are some of those which are often requested by LE teams. These activities will have to be considered within the context of the LE agency as well as the area in which the agency works and the protection/conservation status of that area. All of these factors will need to be considered in order to identify potential risks and make appropriate recommendations to mitigate these risks</i></p>			

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<sup>2</sup>Based on information from the Concept Note and ESMS Questionnaires, the TFCAFF ESMS officer will contact the Applicant, share information regarding the LERA process, how assessment and site visits would be organized and how the Applicant would be expected to support the process

## THEMATIC RISK AREA SPECIFIC QUESTIONNAIRE

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SAFEGUARD PROCEDURES			
LE.2	Are there respective safeguards/procedures in place for the proposed project LE activities (e.g., Code of Conduct, Code of Ethics and Standard Operating Procedures)?	<p><b>Yes</b>, the Applicant is required to fill <b>Table 3-2</b> and to share all documentation with TFCA FF partly "<b>Yes</b>", the Applicant is required to fill <b>Table 3-2</b> for the available safeguards, and to share all documentation with TFCA FF and include the development and implementation of the remaining safeguards required to be in place by TFCA FF in the project activities, work plan and budget.</p> <p><b>No</b>, the Applicant is required to include the development and implementation of required safeguards in the project activities and work plan and made appropriate budgetary allocations</p>	See Section 1.4.1 of the LE Guidance Note also Annexes 3. 4 and 5
<p><i>SOPs provide guidelines for how LE activities are carried out. These SOPs are drafted to give LE officers clear guidelines of how the Code of Conduct (or Ethics) should be implemented. SOPs need to be used on a daily basis - if all the LE officers in an agency have not been trained in the SOPs and the supervisors do not ensure that these are followed meticulously, then it cannot be said that SOPs are implemented and functional.</i></p>			
LE.3	Do the safeguard listed in <b>Table 3-2</b> apply to all the LE agencies/implementing partners included in the project proposal?	<p><b>Yes</b></p> <p><b>No</b>, the Applicant is required to provide an explanation regarding the approach and planned processes to address this.</p>	
LE.4	Does a security plan that encompasses all the components of the project area exist?	<p>Yes, add the information about the security plan to <b>Table 3-2</b> and proceed to question LE.5</p> <p><b>No</b>, proceed to question LE.6</p>	
LE.5	If "Yes", are all the aspects of the project area security plan implemented and regularly reviewed and updated?	<p>Yes, provide evidence, e.g. a copy of the security plan for review</p> <p>No, the Applicant must provide a means for the implementation and regular review and updates of all the aspects of the plan</p>	

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LE.6	<p>If "No", do security plans exist for some of the areas within the project area, i.e. a security plan exists for one protected area, but the contents of this plan do not apply or are not relevant to other parts of the project area? For example, one national park which has high value wildlife species may have developed a security plan to protect its rhinos or elephants, but these security measures are only applicable to that national park.</p>	<p><b>Yes</b>, the Applicant agrees to develop and implement a <b>security plan</b> that includes all the components of the project area, within the context of and complementary to the existing plans.</p> <p><b>No</b>, - the Applicant agrees to develop and implement a <b>security plan</b> that includes all the components of the project area.</p>	
<p><i>Different LE agencies operating within different areas of the TFCA may have developed in different ways and over different time periods with varying extent of resources. available to them. This will result in LE agencies being at different levels of development/maturity at the time of this proposal being drafted. One of the ways of measuring the maturity of a LE agency, is by looking at the structures and processes that they have developed for their operations and whether these are well documented and available. Some of the most important documents in this regard are the Code of Conduct/Ethics and the security plan. The quality of these documents and the extent to which they have been rolled-out and operationalised are one of the indicators of the maturity level of the LE operations of the agency. LE risks are likely to be lower with a mature agency.</i></p>			
<p><b>MANDATES, ROLES AND RESPONSIBILITIES</b></p>			
LE.7	<p>Would any of the TFCA FF funding for TRA Law Enforcement be used for enforcement of existing access restrictions and/or for enforcement of new access restrictions as result of TFCA FF funded activities?</p>	<p><b>Yes</b>, please describe; <b>Applicant to fill in the questionnaire on TRA Access Restrictions</b></p> <p><b>No</b> <b>unknown</b>, Applicant to check with and fill in the questionnaire on TRA Access Restrictions as appropriate</p>	<p>@for these cases, SOP for evictions/evacuations to be developed</p>
<p><i>To respond to the question above, please focus on enforcement of access restrictions in terms of natural resource use by local communities, including indigenous peoples and other vulnerable and traditional communities;</i></p>			
LE.8	<p>Does your organisation (the Applicant) have a full mandate over the LE agencies that will be involved in project activities?</p>	<p><b>Yes</b>, please describe and then proceed to question LE.9</p> <p><b>No</b>, proceed to question LE.8</p>	
LE.9	<p>If "No", describe which of the agencies listed in <b>Table 3-1.</b> is the lead LE agency? What is the relationship between Applicant and lead agency? Is there any contract or MoU in place between the applicant and the lead agency?</p>	<p><b>Yes</b></p> <p><b>No</b></p> <p><b>Unknown</b></p>	

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	<p><i>It is important to explain the relationship between the different LE agencies which operate within the project area. For example, if a government wildlife department as well as a community conservation organization are both operational in the project area, it might be that the community rangers operate on a mandate provided to them by the government agency. This could imply that any code of conduct or SOPs that are in place for the government agency would also apply to the community rangers. The means by which one LE group related to other LE groups could be defined by legislation or by an agreement between the two groups. If these relationships exist, they need to be explained here.</i></p>		
LE.10	Do LE agencies working in the project area meet regularly to plan and coordinate LE activities?	<b>Yes, formal planning and coordination at regular intervals</b> <b>No joint planning or coordination</b> <b>Informal as and when needed</b> <b>Unknown</b>	@for these cases, SOP for evictions/evacuations to be developed
LE.11	Is there a possibility of the LE agency (-ies) included in this proposal undertaking activities (e.g. joint patrols) with other LE agencies not included here (e.g., the military)?	<p>a) Please explain whether human rights, community relations or conflict resolution, gender- based violence and sexual harassment are incorporated in the basic training of all LE officers?</p> <p>b) Which international human rights standards (e.g. the Voluntary Principles on Security and Human Rights) are referenced in training curriculum</p>	
<b>HUMAN RIGHTS IN TRAINING</b>			
LE.12	<p>a) Please explain whether human rights, community relations or conflict resolution, gender- based violence and sexual harassment are incorporated in the basic training of all LE officers?</p> <p>b) Which international human rights standards (e.g. the Voluntary Principles on Security and Human Rights) are referenced in training curriculum</p>	<b>Yes, Human Rights incorporated:</b> Applicant is required to provide evidence (e.g. training plans or materials) <b>No</b> <b>Unknown,</b> <b>Yes, International Standards referenced:</b> Applicant is required to provide evidence (e.g. training plans) <b>No</b> <b>Other</b>	



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INCIDENTS IN PROJECT AREA		
LE.13	Have there been any reported incidents between the project area LE officers (both private and public) and neighbouring communities which have e.g., raised concerns about excessive use of force by LE officers?	<b>Yes</b> , proceed to question LE.14 <b>No</b> , proceed to question LE.15 <b>Unknown</b> , proceed to question LE.15
<i>Excessive use of force refers to the way in which LE officers carry out activities where they come into physical contact with a member of the public. This could be when they restrain a person to prevent them from carrying out an inappropriate act, undertake a house or vehicle search or arrest a person for an illegal activity</i>		
LE.14	If "Yes", are any of these transboundary in nature? Please briefly describe the incidents including who was responsible for the investigations and its outcomes.	<b>Yes</b> , please describe <b>No</b> <b>Unknown</b> ,
<i>TFCAs incorporate more than one country and resources which are sometime shared. Within this context, LE actions carried out by officers from one country on citizens of a neighbouring country can lead to tensions and conflicts. Did the incident involve people and LE officers from different neighbouring countries? For example, LE officers from one country arrest fishermen from another country while doing a patrol along a river which forms the boundary between the two countries?</i>		
LE.15	Have community members reported concerns related to gender-based violence and harassment (GBVH) or any other violence against the project's law enforcement officers (both public and private)?	<b>Yes</b> , please describe <b>No</b> <b>Unknown</b> ,
COMMUNITY LIASON AND COLLABORATION WITH LOCAL COMMUNITIES		
LE.16	Does your organization and/or other agencies undertaking LE activities in the project area, conduct any community engagement/outreach to engage on law enforcement operations?	<b>Yes</b> , please describe and provide documentation <b>No</b> <b>Unknown</b> ,
LE.17	Is your organization working with unpaid community or local volunteers? If so, what activities will be supported and what training will be provided?	<b>Yes</b> , please describe and provide documentation <b>No</b> <b>Unknown</b> ,



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LE.18	Have there been any reported incidents between the project area LE officers (both private and public) and neighbouring communities which have e.g., raised concerns about excessive use of force by LE officers?	<p>Yes, please describe and provide documentation</p> <p>No</p> <p>Unknown,</p>	
LABOUR CONDITIONS, OCCUPATIONAL HEALTH AND SAFETY OF LE PERSONNEL			
LE.19	Are there special provisions (e.g a LE officer safety and security plan) to provide standards and guidance for the unique working conditions of LE Officers including e.g. occupational health and safety plans?	<p>Yes, please describe and provide documentation</p> <p>No</p> <p>Unknown,</p>	
LE.20	Does training cover first aid and/or occupational health and safety issues and procedures? Does it include the safe use and maintenance of vehicles?		
LE.21	Have there been threats to LE personnel or any violent incidents in this context over the last 5 years? Have any LE personnel been harmed or killed?	<p>Yes, please describe and provide documentation</p> <p>No</p> <p>Unknown,</p>	

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#	QUESTION	LAW	ESMP REFERENCE <sup>9</sup>	POSSIBLE RISKS TO CONSIDER/GUIDANCE	COMMENTS
3.3	Does the project ensure that all persons working for the project; including persons directly employed or contracted as well as community labour are working on free basis and not under any form of coercion?	Yes No Unknown	D.1 – Labour standards	The employer can't retain salary, benefits, property or documents to force personal to work. Workers should have the right to leave workplace after completing their workdays.	
3.4	Does the project intend to employ community labour?	Yes No Unknown	A.4 – Code of Conduct D.1 – Labour standards D.2 – Local recruitment D.3 – Transport D.4 – Community interaction D.5 – Damage to people and property	Community work is only to be performed on voluntary basis, with free and informed consent of the workers, who must have the possibility to freely revoke the consent at any time.  Working time need to consider occupation of community, particularly agricultural work or other seasonal activities related to livelihood.	
3.5	Will temporary worker accommodation be erected on site?	Yes No Unknown	C.7 – First aid C.9 – Hygiene, accommodation and food D.5 – Damage to people and property	Worker's accommodation needs to be managed through adequate policies to ensure the health, safety and well-being of workers, including the consideration of social and cultural needs.	
3.6	Are more than 20 workers external to the project host community expected due to the demand for construction workforce?  Or  Are more than 50 workers to be mobilized on the project at once?	Yes No Unknown	A.4 – Code of Conduct C.40 – Hygiene, accommodation and food D.1 – Labour standards D.2 – Local recruitment	Community and workers' health, safety and wellbeing need to be protected by the project.	

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#	QUESTION	LAW	ESMP REFERENCE <sup>9</sup>	POSSIBLE RISKS TO CONSIDER/GUIDANCE	COMMENTS
3.7	Does the project include works in height (above 1m such as construction of roofs, pylons, trees cutting, use of scaffoldings, etc.?)	Yes No Unknown	A.4 – Code of Conduct  A.5 – ESHS Training  C.2 – Accident reporting  C.4 – Emergency prevention  C.7 – First aid	Risks linked with work at heights needs to be minimized through appropriated PPE (harnesses)	This would not fall under this guidance and require specific provisions which are not part of this document (e.g., the scaffolding requirements/ specifications).
3.8	Does the project include excavation works (trenches, pit digging or similar) below 120cm deep?	Yes No Unknown	A.5 – ESHS Training  C.2 – Accident reporting  C.4 – Emergency prevention  C.7 – First aid	To prevent risk of soil collapsing and burying workers, no worker should be authorized to work alone.	This would not fall under this guidance and require specific provisions which are not part of this document
3.9	Will heavy machinery (e.g., excavators, cranes, trucks, jackhammers) be used for construction activities?	Yes No Unknown	A.5 – ESHS Training  B.3 – Pollution prevention  B.6 – Noise and Vibrations  C.2 – Accident reporting  C.3 – PPE  C.7 – First aid C.4 – Emergency prevention	To prevent risk of accidents no worker should be authorized to work alone, and adequate training needs to be provided.	
3.10	Will the work include activities in confined spaces such as pits, septic tanks etc.?	Yes No Unknown	A.5 – ESHS Training  C.2 – Accident reporting  C.4 – Emergency prevention  C.7 – First aid	To prevent risk of accidents no worker should be authorized to work alone, and adequate training needs to be provided.	

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#	QUESTION	LAW	ESMP REFERENCE <sup>9</sup>	POSSIBLE RISKS TO CONSIDER/GUIDANCE	COMMENTS
3.11	Will the project activities involve the handling of hazardous materials/contaminants?	Yes No Unknown	A.4 – ESHS Training C.2 – Accident reporting C.4 – Emergency prevention C.7 – First aid	To prevent risk of accidents no worker should be authorized to work alone, and adequate training needs to be provided.	

Table 3-1 LE activities in project areas within the TFCA

NAME OF PROJECT AREA	STATUS OF AREA	LE AGENCY / ies OPERATIONAL IN AREA	ACTIVITIES THAT WILL BE IMPLEMENTED IN THIS AREA

Table 3-2 LE activities and available safeguards

TYPE OF LE ACTIVITY	NAME OF SAFEGUARD	BRIEF DESCRIPTION	STATUS OF THE SAFEGUARD (e.g., developed, partly developed, implemented partly implemented and explain)	LE AGENCY TO WHOM SAFEGUARD APPLIES (e.g., all or list the LE agencies that apply)

### 3. TRA 2: ACCESS RESTRICTIONS IN THE CONSERVATION CONTEXT

This section helps the applicant identify and communicate the potential risks and impacts to communities associated with Access Restrictions resulting from TFCA FF funded activities. The General Guidance Note on Access Restrictions can be used to properly understand the range of access restrictions that could result from TFCA FF funded activities. This information will help TFCA FF understand how access to certain resources (housing, land, natural resources etc.) may be impacted by the proposed project. This has direct implications on human livelihoods and well-being and can even inform the TFCA FF on how affected individuals/groups have or will have control over determining such restrictions.

The table below is divided into the following sub-categories:

- Access restriction avoidance and minimization
- Access restriction impacts
- Land ownership and tenure
- Indigenous peoples / sub-Saharan African historically underserved traditional local communities
- Baseline information
- Access restriction safeguard requirements
- Responsibilities for managing access restriction impacts.

#	QUESTIONS	ANSWER	PLEASE SPECIFY:
	<b>ACCESS RESTRICTION AVOIDANCE AND MINIMIZATION</b>		
3b.1	Do proposed project and/ project activities involve an extensive area and complex setup in terms of access restrictions?	Yes No Unknown	
3b.2	Have technical or design alternatives been assessed to avoid or, where avoidance is not possible, minimize access restriction impacts while still achieving conservation objectives? If "Yes," has this been documented?	Yes No Unknown	
	Clearly list any efforts that have been made to avoid or minimize access restriction and displacement impacts while balancing conservation objectives and other proposed benefits of Facility funded activities. For guidance on legacy issues and forced evictions, refer to Section 3.3.1 of the <b>TFCA FF ESMS Access Restriction Guidance Note</b> .		

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3b.3	<p>Are there other potential alternatives which could be assessed to avoid or, where avoidance is not possible, minimize access restriction impacts?</p> <p>Do these alternatives still achieve conservation objectives? If "Yes," has this been documented?</p>	<p>Yes</p> <p>No</p> <p>Unknown</p>	
<p><i>Clearly list any additional alternatives that may be considered in the future to further avoid or minimize access restriction and displacement impacts while balancing conservation objectives and other proposed benefits of Facility funded activities.</i></p> <p><i>For guidance on legacy issues and forced evictions, refer to Section 3.3.1 of the <b>TFCA FF ESMS Access Restriction Guidance Note</b>.</i></p>			
<p><b>AGE RESTRICTION IMPACTS</b></p>			
3b.4	<p>Do proposed project and/ project activities <b>directly cause</b> physical displacement of people from their households, communities, territories, customary, and / or ancestral domains?</p> <p>If "Yes",</p> <p>What is the approximate number of households / people that will be physically displaced?</p> <p>Have these households / people been documented?</p> <p>Is there any need to update this information?</p>	<p>Yes</p> <p>No</p> <p>Unknown</p>	
<p><i>Describe any instances in which Facility funded activities would directly cause access restrictions that lead to individuals / households / communities relocating due to loss of structures / residential land. Facility funded activities directly cause physical displacement when access restrictions associated with the activity in and of themselves are the reason for the displacement (e.g., a new PA is created, or an existing PA expanded into areas in which people currently live which requires them to relocate).</i></p> <p><i>Where these potential impacts are identified, describe the extent of displacement both in terms of the number of affected individuals / households / communities (if known) as well as the type of asset(s) impacted. Specify how impacts were determined and whether there is any need to update this information.</i></p> <p><i>For guidance on legacy issues and forced evictions, refer to Section 3.2 of the <b>TFCA FF ESMS Access Restriction Guidance Note</b>.</i></p>			
3b.5	<p>Do proposed project and/ project activities indirectly contribute to physical displacement of people from their households, communities, territories, customary, and / or ancestral domains?</p> <p>If "Yes",</p> <p>What is the approximate number of households / people that will be physically displaced?</p> <p>Have these households / people been documented?</p> <p>Is there any need to update this information?</p>	<p>Yes</p> <p>No</p> <p>Unknown</p>	



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	<p>Describe any instances in which Facility funded activities would indirectly contribute to access restrictions that lead to individuals / households / communities relocating due to loss of structures / residential land. Facility funded activities indirectly contribute to physical displacement when access restrictions related to the activity strengthen or intensify already existing restrictions which change how individuals / households / communities access a resource (e.g., support to strengthen existing regulations leads to the removal of informal inhabitants within a PA). Where these potential impacts are identified, describe the extent of displacement both in terms of the number of affected individuals / households / communities (if known) as well as the type of asset(s) impacted. Specify how impacts were determined and whether there is any need to update this information.</p> <p>For guidance on legacy issues and forced evictions, refer to Section 3.2 of the <b>TFCA FF ESMS Access Restriction Guidance Note</b>.</p>			
<p><b>3b.6</b></p>	<table border="1"> <tr> <td data-bbox="226 405 987 772"> <p>Are proposed project and/ project activities otherwise linked to physical displacement of people from their households, communities, territories, customary, and / or ancestral domains?</p> <p>If "Yes",</p> <p>Describe the contractual relationship to the entity(ies) undertaking physical displacement.</p> <p>Describe the circumstances requiring physical displacement.</p> <p>What is the approximate number of households / people that will be physically displaced?</p> <p>Have these households / people been documented?</p> <p>Is there any need to update this information?</p> </td> <td data-bbox="987 405 1256 772"> <p><b>Yes</b></p> <p><b>No</b></p> <p><b>Unknown</b></p> </td> <td data-bbox="1256 405 2085 772"></td> </tr> </table>	<p>Are proposed project and/ project activities otherwise linked to physical displacement of people from their households, communities, territories, customary, and / or ancestral domains?</p> <p>If "Yes",</p> <p>Describe the contractual relationship to the entity(ies) undertaking physical displacement.</p> <p>Describe the circumstances requiring physical displacement.</p> <p>What is the approximate number of households / people that will be physically displaced?</p> <p>Have these households / people been documented?</p> <p>Is there any need to update this information?</p>	<p><b>Yes</b></p> <p><b>No</b></p> <p><b>Unknown</b></p>	
<p>Are proposed project and/ project activities otherwise linked to physical displacement of people from their households, communities, territories, customary, and / or ancestral domains?</p> <p>If "Yes",</p> <p>Describe the contractual relationship to the entity(ies) undertaking physical displacement.</p> <p>Describe the circumstances requiring physical displacement.</p> <p>What is the approximate number of households / people that will be physically displaced?</p> <p>Have these households / people been documented?</p> <p>Is there any need to update this information?</p>	<p><b>Yes</b></p> <p><b>No</b></p> <p><b>Unknown</b></p>			
	<p>Describe any instances in which Facility funded activities would directly cause access restrictions that lead to individuals / households / communities relocating due to loss of structures / residential land. Facility funded activities directly cause physical displacement when access restrictions associated with the activity in and of themselves are the reason for the displacement (e.g., a new PA is created, or an existing PA expanded into areas in which people currently live which requires them to relocate). Where these potential impacts are identified, describe the extent of displacement both in terms of the number of affected individuals / households / communities (if known) as well as the type of asset(s) impacted. Specify how impacts were determined and whether there is any need to update this information.</p> <p>For guidance on legacy issues and forced evictions, refer to Section 3.2 of the <b>TFCA FF ESMS Access Restriction Guidance Note</b>.</p>			
<p><b>3b.7</b></p>	<table border="1"> <tr> <td data-bbox="226 986 987 1225"> <p>Is there a risk that physical displacement from proposed project and/ project activities could result in the forced evictions (either permanent or temporary) of individuals, families, and / or communities should they refuse to move?</p> <p>If "Yes"</p> <p>What measures will be implemented to avoid forced evictions?</p> <p>Who would be responsible for forced evictions?</p> <p>Who would decide whether to undertake forced evictions?</p> </td> <td data-bbox="987 986 1256 1225"> <p><b>Yes</b></p> <p><b>No</b></p> <p><b>Unknown</b></p> </td> <td data-bbox="1256 986 2085 1225"></td> </tr> </table>	<p>Is there a risk that physical displacement from proposed project and/ project activities could result in the forced evictions (either permanent or temporary) of individuals, families, and / or communities should they refuse to move?</p> <p>If "Yes"</p> <p>What measures will be implemented to avoid forced evictions?</p> <p>Who would be responsible for forced evictions?</p> <p>Who would decide whether to undertake forced evictions?</p>	<p><b>Yes</b></p> <p><b>No</b></p> <p><b>Unknown</b></p>	
<p>Is there a risk that physical displacement from proposed project and/ project activities could result in the forced evictions (either permanent or temporary) of individuals, families, and / or communities should they refuse to move?</p> <p>If "Yes"</p> <p>What measures will be implemented to avoid forced evictions?</p> <p>Who would be responsible for forced evictions?</p> <p>Who would decide whether to undertake forced evictions?</p>	<p><b>Yes</b></p> <p><b>No</b></p> <p><b>Unknown</b></p>			
	<p>Forced evictions include any permanent or temporary removal of individuals, families, and / or communities from the homes and / or land they occupy against their will without provision of, and access to, appropriate forms of legal and other protection.</p> <p>Facility funded activities may be at risk of forced evictions where entities resort to compulsory acquisition or eminent domain in lieu of negotiated settlements or if negotiated settlements fail. Where this may be a possibility, describe who would be responsible for deciding to resort to forced evictions as well as what measures have been put in place to prevent this from happening.</p> <p>For further guidance on issues related to forced evictions, see Section 3.3.2.3 of the of the <b>TFCA FF ESMS Access Restriction Guidance Note</b>.</p>			

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3b.8	<p>Is displacement involuntary (e.g., government enforcement of PA regulations)? If physical displacement is voluntary, describe the extent to which the following have been undertaken and documented:</p> <p>All stakeholders been effectively identified, informed, and consulted. All impacted stakeholders have given their consent without pressure, fear of retribution or intimidation, or expropriation by the State. All impacted stakeholders have been free to withhold their consent without pressure, fear of retribution or intimidation, or expropriation by the State. All voluntary restrictions, land donations, etc, have been adequately documented, signed, and witnessed. There is an adequate and functioning grievance mechanism in place to address any issues with the voluntary access restriction process. All impacts been identified and addressed through the participatory design of appropriate mitigation measures. There are adequate management plans in place to manage, monitor and evaluate voluntary access restrictions and related impacts, including any mitigation measures.</p>	<p><b>Yes</b> <b>No</b> <b>Unknown</b></p>	
<p><i>Physical displacement is involuntary if affected persons / communities do not have the right to refuse the land acquisition or restrictions on land use that result in displacement (even if they have agreed to being displaced). Displacement can only be considered voluntary when affected persons / communities have agreed to being displaced and where they retain the right to refuse should they withdraw their consent. For further guidance on issues related to voluntary and involuntary displacement, see Section 3.3.3 of the of the <b>TFCA FF ESMS Access Restriction Guidance Note</b>.</i></p>			
3b.9	<p>Do proposed project and/ project activities directly cause potential economic displacement of people or communities? If "Yes," What is the approximate number of communities, households, and / or individuals who may be displaced? What is the nature of displacement (e.g., loss of access, change in access – example: change in seasonal access, change from unregulated to regulated access, change in access to a resource)? What is the resource(s) potentially being displaced (e.g., farm and agricultural land, grazing land, forests and / or areas of natural resource collection, migratory or other access routes, fishing and / or hunting grounds, employment, commercial structures and / or areas of commercial activities)? Have these households / people and impacts been documented? If "Yes", Is there any need to update this information? Are there any options to avoid or minimize economic displacement while still achieving conservation objectives?</p>	<p><b>Yes</b> <b>No</b> <b>Unknown</b></p>	

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	<p><i>Describe any instances in which Facility funded activities would directly cause access restrictions that lead to individuals / households / communities to lose or lose access to any resource contributing to income and / or livelihood. This may include (but not be limited to): structures supporting livelihood activities, forests / products, grazing lands, water sources, fishing or hunting grounds, migratory or other access routes, farms and agricultural land, structures and / or areas of commercial activities, cultural heritage sites, and / or other areas of natural resource collection. Be sure to include any impacts to assets that support tertiary or secondary activities which may seem small or insignificant.</i></p> <p><i>Facility funded activities directly cause economic displacement when access restrictions associated with the activity in and of themselves are the reason for the displacement (e.g., a new PA is created, or an existing PA expanded into areas in which people currently farm).</i></p> <p><i>Where these potential impacts are identified, describe the extent of displacement both in terms of the number of affected individuals / households / communities (if known) as well as the type of income / livelihood asset(s) impacted. Specify how impacts were determined and whether there is any need to update this information.</i></p> <p><i>For further guidance and examples of economic displacement and / or determining direct cause, refer to Section 3.2 of the <b>TFCA FF ESMS Access Restriction Guidance Note</b>.</i></p>		
3b.10	<p>Do proposed project and/ project activities <b>indirectly contribute</b> to potential economic displacement of people or communities?</p> <p>If "Yes,"</p> <p>What is the approximate number of communities, households, and / or individuals who may be displaced?</p> <p>What is the nature of displacement (e.g., loss of access, change in access – example: change in seasonal access, change from unregulated to regulated access, change in access to a resource)?</p> <p>What is the resource(s) potentially being displaced (e.g., farm and agricultural land, grazing land, forests and / or areas of natural resource collection, migratory or other access routes, fishing and / or hunting grounds, employment, commercial structures and / or areas of commercial activities)?</p> <p>Have these households / people and impacts been documented?</p> <p>If "Yes", Is there any need to update this information?</p> <p>Are there any options to avoid or minimize economic displacement while still achieving conservation objectives?</p>	<p><b>Yes</b></p> <p><b>No</b></p> <p><b>Unknown</b></p>	
	<p><i>Describe any instances in which Facility funded activities would indirectly contribute to access restrictions that lead to individuals / households / communities to lose or lose access to any resource contributing to income and / or livelihood. This may include (but not be limited to): structures supporting livelihood activities, forests / products, grazing lands, water sources, fishing or hunting grounds, migratory or other access routes, farms and agricultural land, structures and / or areas of commercial activities, cultural heritage sites, and / or other areas of natural resource collection. Be sure to include any impacts to assets that support tertiary or secondary activities which may seem small or insignificant.</i></p> <p><i>Facility funded activities indirectly contribute to economic displacement when access restrictions associated with the activity in and of themselves are the reason for the displacement (e.g., support to strengthen existing regulations leads to the removal of informal livestock grazing within a PA).</i></p> <p><i>Where these potential impacts are identified, describe the extent of displacement both in terms of the number of affected individuals / households / communities (if known) as well as the type of income / livelihood asset(s) impacted. Specify how impacts were determined and whether there is any need to update this information.</i></p> <p><i>For further guidance and examples of physical displacement and / or determining indirect contribution, refer to Section 3.2 of the <b>TFCA FF ESMS Access Restriction Guidance Note</b>.</i></p>		

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3b.11	<p>Are proposed project and/ project activities otherwise linked to economic displacement of people from their households, communities, territories, customary, and / or ancestral domains?</p> <p>If "Yes,"</p> <p>Describe the contractual relationship to the entity(ies) undertaking physical displacement.</p> <p>Describe the circumstances requiring physical displacement.</p> <p>What is the approximate number of communities, households, and / or individuals who may be displaced?</p> <p>What is the nature of displacement (e.g., loss of access, change in access – example: change in seasonal access, change from unregulated to regulated access, change in access to a resource)?</p> <p>What is the resource(s) potentially being displaced (e.g., farm and agricultural land, grazing land, forests and / or areas of natural resource collection, migratory or other access routes, fishing and / or hunting grounds, employment, commercial structures and / or areas of commercial activities)?</p> <p>Have these households / people and impacts been documented?</p> <p>If "Yes", Is there any need to update this information?</p> <p>Are there any options to avoid or minimize economic displacement while still achieving conservation objectives?</p>	<p>Yes</p> <p>No</p> <p>Unknown</p>	
3b.12	<p>Is informal use of protected natural resources and/or encroachment to areas of restricted access occurring in the project area?</p>	<p>Yes</p> <p>No</p> <p>Unknown</p>	
3b.13	<p>Has the Applicant worked with stakeholders to identify their livelihoods, and livelihood and community development needs and priorities?</p> <p>If "Yes", has this been documented and validated with stakeholders?</p>	<p>Yes</p> <p>No</p> <p>Unknown</p>	

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LAND OWNERSHIP AND TENURE		
3b.14	Based on the access restriction impacts identified, what kinds of land ownership, land tenure, and / or land use rights will be affected by proposed Facility funded activities?  If "Yes", has this been documented?	<p>Yes</p> <p>No</p> <p>Unknown</p>
<p><i>If known, describe impacts to both formally held land ownership and use rights, as well as traditional ownership and use rights, which may or may not be formally recorded (e.g., traditional use of an area by pastoralists for access or grazing). Rights may be held at a household or community level. This should also include to Indigenous Peoples' rights.</i></p>		
3b.15	Have different formal and informal usage and ownership rights that marginalized groups may have to access or traverse land for farming and/or pastoralism recognized in and outside the project area(s) been documented?	<p>Yes</p> <p>No</p> <p>Unknown</p>
3b.16	Is there a risk that proposed project and/or project activities might negatively affect current tenure arrangements or community-based property rights to natural resources, land/water areas, or territories through measures other than access restrictions?	<p>Yes</p> <p>No</p> <p>Unknown</p>
<p><i>Describe proposed activity which would directly cause access restrictions that lead to individuals / households / communities relocating due to loss of structures / residential land. Where these potential impacts are identified, describe the extent of displacement both in terms of the number of affected individuals / households / communities as well as the type of asset(s) impacted. Specify how impacts were determined and whether there is any need to update this information.</i></p> <p><i>For further guidance and examples of physical displacement and / or determining direct cause, refer to Section 3 of the <b>TFCA FF ESMS Access Restriction Guidance Note</b>.</i></p>		
INDIGENOUS PEOPLES/ SUB-SAHARAN AFRICAN HISTORICALLY UNDERSERVED TRADITIONAL LOCAL COMMUNITIES		
3b.17	Is there a risk that proposed project and/or project activities could result in access restrictions or activities which would (i) affect land and natural resources subject to traditional ownership or under customary use or occupation (as per definition of ESS 7); (ii) cause relocation of Indigenous Peoples/Sub Saharan African Historically Underserved Traditional Local Communities from land and natural resources subject to traditional ownership or under customary use or occupation or (iii) have significant impacts on Indigenous Peoples/Sub Saharan African Historically Underserved Traditional Local Communities' cultural heritage that is material to the identity and/or cultural, ceremonial, or spiritual aspects of the affected Indigenous Peoples/Sub Saharan African Historically Underserved Traditional Local Communities' lives?	<p>Yes</p> <p>No</p> <p>Unknown</p>

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	<p>Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities are inextricably linked to the land on which they live and the natural resources on which they depend. They are therefore particularly vulnerable if their land and resources are transformed, encroached upon, or significantly degraded. Projects may also undermine language use, cultural practices, institutional arrangements, and religious or spiritual beliefs that Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities view as essential to their identity or well-being. However, projects may also create important opportunities for Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities to improve their quality of life and well-being. For further guidance regarding Indigenous Communities and the process of Free, Prior and Informed Consent, refer to <b>TFCAFF ESMS Guidance Note on Free, Prior and Informed Consent</b>.</p>		
	<b>BASELINE INFORMATION</b>		
<b>3b.18</b>	Have all settlements and structures which may potentially be affected been quantified and documented (e.g., formal, informal, villages, standalone housing)?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
<b>3b.19</b>	Has the pre-project standard of living of all identified communities and households been documented?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
<b>3b.20</b>	Has the Applicant documented the current livelihood activities of all identified communities and households?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
	<b>ACCESS RESTRICTION SAFEGUARD REQUIREMENTS</b>		
<b>3b.21</b>	<p>Is a management plan, required by national legislation to manage the impacts associated with access restrictions?</p> <p>If "Yes," please specify the type of management plan required and how the Applicant will ensure this plan meets Facility requirements.</p> <p>If a social management plan is not required by national legislation, please specify any type of management plan envisaged by the Applicant.</p>	<b>Yes</b> <b>No</b> <b>Unknown</b>	
	<p>Specify the type of management plan required to manage access restrictions resulting in physical and / or economic displacement. While access restriction impacts are typically managed through a Process Framework, similar social management plans such as Land Use Plans or Community Based Natural Resource Management Plans may be suitable depending on the scale and complexity of impact given that these plans meet all Facility mitigation requirements.</p> <p>For further guidance on determining the type of appropriate management plan (e.g., Process Framework or similar) as well as the Facility requirements for a Process Framework, refer to Section 3.3.4 of the <b>TFCA FF ESMS Access Restriction Guidance Note</b>.</p>		

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3b.22	<p>Has a management plan already been developed for proposed project and/or project activities?</p> <p>If "Yes," does the plan meet Facility standards as stipulated in the Guidance Note?</p> <p>Did the development of the plan actively involve affected communities in the design and implementation of any physical and / or economic displacement mitigations (e.g., resettlement sites and housing, replacement land, compensation)?</p> <p>Are eligibility criteria established that define who is entitled to benefits or compensation?</p> <p>Are they transparent and fair (e.g., in proportion to their losses and to their needs if they are poor and vulnerable)?</p> <p>Has this been documented?</p>	<p>Yes</p> <p>No</p> <p>Unknown</p>	
<p><i>If a management plan already exists to manage access restriction impacts related to Facility funded activities, confirm that the Plan meets all Facility requirements. While there is no one Plan template, <b>Annex A</b> of the <b>TFCA FF ESMS Access Restriction Guidance Note</b> details the key elements which must be incorporated. Any gaps in meeting these requirements must be identified and filled through subsequent planning.</i></p> <p><i>For further guidance on Facility requirements for a Process Frameworks or similar Social Management Plan, refer to Part II of the <b>TFCA FF ESMS Access Restriction Guidance Note</b>.</i></p>			
3b.23	<p>Have any potentially vulnerable groups who will be impacted by access restrictions been identified and documented? Examples: Indigenous peoples, marginalized groups, women</p> <p>Have appropriate mitigations for these impacts been developed and documented?</p>	<p>Yes</p> <p>No</p> <p>Unknown</p>	
<p><i>See Section 5 of the Access Restriction Guidance Note for guidance around vulnerable groups and / or appropriate mitigations which may be applied.</i></p>			
<p><b>RESPONSIBILITIES FOR MANAGING ACCESS RESTRICTION IMPACTS</b></p>			
3b.24	<p>Who is responsible for managing access restriction impacts directly caused by proposed project and/or project activities (e.g., resettlement, compensation)?</p>	<p>Yes</p> <p>No</p> <p>Unknown</p>	
<p><i>Depending on the type of impact as well as host country legal requirements or other contextual circumstances, responsibility may lie with the Applicant, government agency, or other entity. For additional explanation and examples to determine responsibility for managing access restriction impacts, please refer to the <b>TFCA FF ESMS Access Restriction Guidance Note</b>.</i></p>			
3b.25	<p>Where responsibility for resettlement and compensation lies with third parties (e.g., government), what actions will be undertaken to ensure this process meets Facility requirements?</p>	<p>Yes</p> <p>No</p> <p>Unknown</p>	



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	<p>Where responsibility for access restrictions (e.g., resettlement and compensation) lies with a third party such as government or other entity, the Applicant is responsible for collaborating to the extent permitted to ensure measures meet FF requirements.</p> <p>Where third parties do not meet FF requirements, the Applicant is responsible for preparing a supplemental PF or similar social management plan to bridge any identified gaps.</p> <p>Where proposed FF funded activities contribute or are linked to access restriction impacts, Applicants must undertake best efforts and leverage to work with other entity(ies) to ensure that measures meet the FF's requirements.</p> <p>For additional explanation and examples, please refer to the <b>TFCA FF ESMS Access Restriction Guidance Note</b>.</p>	
<b>3b.26</b>	Has a budget been prepared for managing access restriction impacts? What mechanisms are or will be put in place to ensure there are sufficient financial resources for managing access restriction impacts?	<p><b>Yes</b></p> <p><b>No</b></p> <p><b>Unknown</b></p>

#### 4. TRA 3: HUMAN-WILDLIFE CONFLICTS

This section lays out the questions for the applicant to identify risks and impacts related to human-wildlife conflict (HWC). Understanding these risks/impacts are particularly important for human security and safety, as well as land and resource management – the applicant should be able to identify if any animals pose threats to humans in any ways. The table highlights questions related to the project context and impact, baseline information of the project areas, institutional capacity, and mitigation measures.

This TRA differentiates between projects where proposed activities could potentially and/or possibly indirectly result in new HWC and projects which are only proposing activities to manage and mitigate existing HWC. Projects which could potentially result in new HWC should answer questions 1 to 12 and questions 20 to 23. Projects aimed at mitigating and managing HWC should answer questions 1 to 7 and questions 13 to 23.

#	QUESTIONS	ANSWER	PLEASE PROVIDE DETAILS:
	<b>PROJECT CONTEXT</b>		
<b>HW1</b>	Are there communities living within the project area or adjacent to the project area?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
	<i>TFCAs are composed of a variety of types of protected areas with different protection status. Some national parks have communities living within their boundaries whilst others have no communities inside the park but people living in the adjacent areas or buffer zones. In some cases, intensive farming activities are found along the boundary of a high density wildlife area. It is important to understand where people are living since this is where the interface between people and wildlife occurs.</i>		
<b>HW2</b>	Is there documented evidence of existing HWC incidents?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
	<i>In order to understand the impact of HWC, documented evidence is needed. This documented evidence should come from a systematic monitoring process rather than anecdotal evidence captured, for example, in workshop or progress reports. Unless it comes from a system where actual incidents are investigated and recorded, this data can be extremely unreliable.</i>		
<b>HW3</b>	If HWC does already occur, which of the following categories of HWC occur?	<b>Damage to crops and gardens</b> <b>Damage to infrastructure</b> <b>Killing of large livestock</b> <b>Killing of small livestock</b> <b>Injury or death of people</b>	
	<i>In TFCAs, it is likely that all of the categories listed occur. For this question, consider the incidents that are known to occur in the project area where the activities will be implemented. Also, tick only the most significant categories.</i>		

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<b>HW4</b>	Is there an organized response to HWC incidents?	<b>Yes</b> <b>No</b>	
	If yes, who is responsible for carrying out the response actions?	<b>Individual residents/farmers</b> <b>Traditional leadership structures</b> <b>Community organization representatives/ employees</b> <b>Government agencies</b>	
<i>Response actions could be the responsibility of various stakeholders involved. For this question, please tick who is responsible for actually going to the site of an incident and helping the resident/farmer to respond to the problem. For example, in some GMAs in Zambia, individuals in the community are trained as blasters and when an elephant raids a crop field, the blaster is called and he chases away the elephants, hopefully before they have caused too much damage.</i>			
	Do protocols or SOPs exist for requesting and carrying out response actions? Do these protocols or SOPs consider the safety of the responders and individuals involved in the incident?	<b>Yes</b> <b>No</b> <b>Partially</b>	List exiting protocols or SOPs
<i>Responding to a HWC incident can be a very risky undertaking for the individuals involved. Since responders as well as the farmer and onlookers are usually involved, it is important for everyone to know what the processes are and what can be reasonably expected from the responders. If the response team knows the procedures and roles and responsibilities, as well as the community who they are assisting, then the risks for the responders as well as the community is minimized.</i>			
<b>HW5</b>	Does the project area have an approved and implemented HWC management plan?	<b>Yes</b> <b>No</b> <b>Part of general management plan</b> <b>Other</b>	If yes, please list the documents and submit these documents as attachments to your proposal
<i>Some protected area management plans (sometimes called general management plans) refer to HWC in one of the sections but often this does not provide details regarding HWC management actions but rather guiding principles. These plans generally do include a zonation map which is the basis of a HWC management plan. For this question, only tick "yes" if there is a detailed and dedicated HWC plan which includes zonation, guiding principles, specific local-level interventions that are recommended, monitoring systems etc. These documents will provide the information needed for the TFCA FF to review the proposed mitigation activities and ensure that these are aligned with the guidelines already in place for the project area.</i>			
<b>HW6</b>	Does the TFCA have strategies, protocols, action plans in place to mitigate the impacts, encourage co-existence or reduce losses due to conflict with wildlife?	<b>Yes</b> <b>No</b> <b>Unknown</b>	If yes, list these documents here
<i>Since the wildlife species that could be responsible for HWC move within a landscape and thus move across national borders within TFCAs, TFCAs are facilitating the alignment of management strategies of these species by the various Partner States. Some TFCAs are also developing strategies or guidelines for the mitigation of HWC and encouraging co-existence. If these exist, it is important to review the proposed activities within this context.</i>			

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<b>HW7</b>	Does the government of the country in which the project activities will take place have approved legislation, policies or strategies to address HWC?	<b>Yes</b> <b>No</b>	If yes, list these documents here
<i>Some governments have dedicated policies and strategies for managing and mitigating HWC. Some governments make provision for compensation to be paid for losses whilst others do not. It is important to have this context when screening the proposal and considering the planned activities. Providing these documents will provide the information needed for the TFCA FF to review the proposed activities and ensure that these are aligned with the guidelines already in place.</i>			
<b>HW8</b>	List the project activities which could result in new or increased HWC? For each listed activity, explain why you consider that increased or new HWC may result from this activity.	<b>Yes</b> <b>No</b> <b>Unknown</b>	Provide list
<i>Not all of the proposed activities have the potential to result in new or increased HWC. Please identify the activities that you consider could have the potential to result in new or increased HWC.</i>			
<b>HW9</b>	Will these activities be limited to targeted localities within the project area or will they be implemented over the whole project area?	<b>Limited localities</b> <b>Less than half of project area</b> <b>More than half of project area</b> <b>Whole area</b>	Insert or attach map
<i>When considering the possible HWC risks associated with the activities, the extent of the area affected by the activities will contribute to assessing the extent of the risk. Please provide a map if activities will take place in targeted localities. Please ensure that the map shows villages and settlements in relation to the targeted localities. Please ensure that the names of towns, villages or zones on the map correspond to the places referenced in the proposal and the description of the activities.</i>			
<b>HW10</b>	Have consultations with affected communities been held regarding the proposed activities? Are they aware of the potential for new or increased HWC?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
<i>Consultation with local communities is an essential aspect of due diligence when preparing for the implementation of new activities. Whilst the focus of these consultations is often on the positive impacts that the new activities could bring, it is imperative to ensure that local communities are also aware of the risks and the measures that will be put in place to minimize these risks.</i>			
<b>HW11</b>	Have the proposed activities been reviewed and discussed with the organizations responsible for responding to HWC incidents? Are they aware that these activities have the potential for resulting in new or increased HWC?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
<i>Increases in HWC incidents will have implications for the agencies responsible for responding to incidents. It is important to ensure that the responders have the capacity and resources to cope with additional support if needed. This is especially important if their availability and resources are going to be required as part of the proposed mitigation strategy for potential impacts</i>			
<b>HW12</b>	Have activities to mitigate possible impacts (increase in HWC incidents) been included in the project activities and provided for in the budget?	<b>Yes</b> <b>No</b>	Please list activities and amounts budgeted

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	<i>Whilst it might not be possible to anticipate the full extent of the potential negative impacts, provision should be made to respond to these impacts if they do occur. It might not be possible to provide detailed mitigation plans at this stage, but provision of capacity and resources must be included in the proposal and be available in order to respond when appropriate.</i>		
	<b>PROJECT ACTIVITIES AND IMPACTS (MANAGEMENT AND MITIGATION OF HWC)</b>		
<b>HW13</b>	Which of the following categories of HWC are being addressed by project activities?	<b>Damage to crops and gardens</b> <b>Damage to infrastructure</b> <b>Killing of large livestock</b> <b>Killing of small livestock</b> <b>Other</b>	Explain the category of HWC being targeted if "other" is selected.
	<i>In TFCAs, it is likely that all of the categories listed occur. For this question, consider the incidents that are known to occur in the project area where the activities will be implemented. Also, tick only the categories that the proposed activities will be targeting. If the conflicts which you are targeting through the proposed interventions does not fit into one of the listed categories, please briefly describe the targeted conflicts and list the activities you are proposing to address these.</i>		
<b>HW14</b>	Are the proposed HWC project activities aligned with the existing HWC management plans/zonation plans for the project area?	<b>Yes</b> <b>No</b> <b>Partially</b>	
	<i>One of the objectives of the screening process is to ensure that the proposed HWC project activities aligned with the existing HWC management plans/zonation plans for the project area. This will be done by reviewing the proposed activities against the existing documentation submitted.</i>		
<b>HW15</b>	Are the proposed HWC project activities aligned with the national HWC management plans/zonation plans?	<b>Yes</b> <b>No</b> <b>Partially</b>	
	<i>One of the objectives of the screening process is to ensure that the proposed HWC project activities aligned with the national HWC management plans/zonation plans for the project area. This will be done by reviewing the proposed activities against the national approaches and guidelines.</i>		
<b>HW16</b>	Have the mitigation measures (proposed for implementation by this project) already been tested in the area, have been shown to be appropriate for the area and accepted by the residents?	<b>Yes</b> <b>No</b> <b>Partially</b>	
	<i>If mitigation measures are going to be rolled out extensively in the project area, then it is important that these measures are appropriate and accepted. If all of the measures are new and innovative, then the response to this question may be "no". The response of "partially" would imply that some of the proposed measures are new and innovative.</i>		
<b>HW17</b>	Will the project activities be implemented uniformly throughout the project area or limited to targeted localities within the project area? Please provide a map of activities will take place. Please ensure that the map shows villages and settlements in relation to the targeted localities.	<b>Yes</b> <b>No</b>	Describe and motivate for new or innovative mitigation measures

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	<i>New (to the area and its residents) and innovative measures have the possibility of presenting better options for mitigating HWC but are often met with resistance. It is important to consider how this resistance can be managed e.g. by additional consultation or information sharing or by starting with a demonstration site before rolling it out to other sites. In order to appreciate which of the proposed measures are new and innovative, please guide the TFCA FF to these activities and provide a short explanation of why it would be worthwhile to apply them in the project area.</i>		
HW18	Will the project activities be implemented uniformly throughout the project area or limited to targeted localities within the project area? Please provide a map of activities will take place. Please ensure that the map shows villages and settlements in relation to the targeted localities.	<b>Whole area</b> <b>Targeted localities</b>	Insert or attach map
	<i>In order to assess risk, the TFCA FF needs to understand where the activities will take place as well as the reach of the impacts. HWC mitigation measures are usually site specific. For example, if you are building lion proof livestock enclosures, it is important to understand whether these will be constructed for each household in a village or only one will be constructed for all the villagers to share. If only 10 enclosures are to be funded, then how will they be distributed within the project area? Please ensure that the names of towns, villages or zones on the map correspond to the places referenced in the proposal and the description of the activities.</i>		
HW19	Have consultations with affected communities as well as specific beneficiaries been held regarding the proposed activities? Are they in agreement with the proposed measures?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
	<i>Consultation with local communities is an essential aspect of due diligence when preparing for the implementation of new activities. Mitigation measures will only be successfully implemented if the affected communities have the information and understanding of the proposed measures and support the implementation process.</i>		
	<b>MONITORING INCIDENTS AND MITIGATION MEASURES</b>		
HW20	Is there a systematic process for the collection and recording of data on HWC incidents in the project area?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
	<i>In order to determine whether there has been an increase in HWC incidents, there is a need to know the current levels of incidents. This data should come from a systematic monitoring process rather than anecdotal evidence. Unless it comes from a system where actual incidents are observed and recorded, this data can be extremely unreliable.</i>		
	If yes, then who is responsible for the data collection and analysis?		Please explain process and responsibilities of data collection and analysis
	<i>Please explain whether individuals directly involved in the project activities are involved in the collection of this data or will the project be dependent on accessing data from third parties i.e. either community structures (CBOs) or government or other support agencies.</i>		
HW21	How will incidents be monitored, documented and data analysed in the project area during the implementation of this project? Will existing processes be used (as explained above) or will new specific processes be implemented at target sites? Please explain.	<b>Existing processes</b> <b>New processes</b> <b>Unknown</b>	Please describe processes

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	<i>Will project specific monitoring systems be developed and implemented? If so, what will this entail? If existing processes will be used, it is important to consider whether it will be possible to extract site specific data and whether the data collected will provide the required level of detail.</i>		
<b>HW22</b>	Will it be possible (from the monitoring data collected) to attribute any increase in incidents to project activities?	<b>Yes</b>  <b>No</b>	Please explain
	<i>Attribution is always a challenge in complex natural ecosystems since more than one factor could contribute to changes in levels of HWC. When monitoring data is analysed and impacts of the applied measures assessed, other contributing factors need to be considered. In some cases, attribution to project activities is not always possible.</i>		
<b>HW23</b>	Who will undertake the monitoring of the efficacy of the measures implemented?	<b>Applicant</b> <b>Project partners</b> <b>Other</b>	Please explain
	<i>Assessment of the efficacy of the measures should not only be measured by the reduction of conflict incidents or reduced losses or reduced damage, but also by whether the measures were sufficiently robust and durable, accepted by the beneficiaries as being effect and accepted by the wider stakeholder group as being appropriate. Ease of access to materials and services for maintenance should also be considered especially with regard to mitigation measures that involve sophisticated technology. Thus, the monitoring data (discussed above) will be one component of the assessment of efficacy.</i>		



## 5. TRA 4: INFRASTRUCTURE CONSTRUCTION AND PHYSICAL INTERVENTIONS

The following questions help the applicant to identify specific risks and impacts surrounding physical interventions, namely infrastructure construction. This section is crucial for identifying intended land use, acquisition, necessary infrastructure that will be developed and the consequent social and environmental effects. The information provided will also be highly useful for developing the full ESIA, ESMP, and ESCOP.

The questions below address the topics:

- Project footprint, land ownership and tenure
- Environmental permitting
- Contractor management
- Environment
- Occupational health and safety
- Labour and working conditions

The Guidance Note on Infrastructure Construction and Small Interventions can be used to properly understand the range and extent of risks that could result from TFCA FF funded activities. Furthermore, it provides guidance on required safeguards (e.g., ESMP, ESCOP) to support the Applicant within the development and implementation process of the project activities.

#	QUESTIONS	ANSWER, CLARIFICATION QUESTIONS, NEXT STEPS	PLEASE SPECIFY:
	<b>PROJECT FOOTPRINT AND LAND OWNERSHIP AND TENURE</b>		
IC.1	Has the Applicant identified where land will be developed for the purposes of proposed project and/or project activities? If "Yes", Will land need to be acquired or leased for the construction of the TFCA FF funded project?	Yes No Unknown	
	<i>Describe in detail the location for the development activity (e.g., inside protected areas) and where land will be acquired for specific project purposes (e.g., roads, telecommunication infrastructure or buildings, park entrance gates, offices, community infrastructure, cultural centres, visitor centres, camps and lodges, border posts, agricultural development, etc.).</i>		
IC.2	Has the land on which proposed project and/or project activities will be implemented been partly or fully voluntary donated by community and/or individuals?	Yes No Unknown	

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	<i>The Applicant must ensure that land donation is voluntary and free of constraints. Provide an evidence of voluntary donations.</i>		
IC.3	Has the land on which proposed project and/or project activities will be implemented been partly or fully voluntary donated by community and/or individuals?	Yes No Unknown	
IC.4	Do the project and/or project activity need any demolishment of buildings/ structures and/or removal of underground tanks which may end up with spillage, contamination due to asbestos, lead-based paint?	Yes No Unknown	
IC.5	Do the project and/or project construction activity footprint cause severance for the communities (e.g. physical barrier posed by the project on land, schools, shops, worship places, other neighbourhoods etc.? Responses of "Yes" will require the completion of <b>TRA specific Questionnaire - Appendix 2 (TRA 2 Access Restrictions)</b> .	Yes No Unknown	
IC.6	Do the project construction activities interact or overlap with some other construction projects in the region?	Yes No Unknown	
	<b>ENVIRONMENTAL PERMITTING</b>		
IC.7	Does the project involve activities, infrastructure development or civil works that that require a local Environmental Impact Assessment (EIA) or Impact Statement or any other similar study or permits (such as water rights, right of way, etc) prior the development?	Yes No Unknown	
	<i>Consider activities such as roads, telecommunication infrastructure or buildings, park entrance gates, offices, joint operational control centres, ranger stations, airstrips, fences, community infrastructure, cultural centres, visitor centres, camps and lodges, etc. and consult the national legal requirements within which the activities will be undertaken to determine whether an EIA is required.</i>		
IC.8	Has any stakeholder engagement/ affected persons consultation been undertaken as part of existing EIA / environmental permitting processes and have communities raised any specific concerns or issues surrounding the proposed project?	Yes No Unknown	
	<i>Describe stakeholder engagement/ affected persons consultation been undertaken and any stakeholder concerns that been raised as part of any environmental permitting process(es) to-date. Describe the key issues and how they have been addressed.</i>		

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IC.9	What is the status of current and/ or historical environmental permitting processes for the proposed project and/or project activities?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
<i>Are there any environmental permits and/ or licenses that are required but have not yet been approved/ granted for any of the proposed activities? Confirm whether permits and/ or licenses that were previously granted for proposed project activities remain valid.</i>			
<b>CONTRACTOR MANAGEMENT</b>			
IC.10	Will the proposed project and/or project activities require engagement of the subcontractors for construction related activities? If "Yes", please specify.	<b>Yes</b> <b>No</b> <b>Unknown</b>	
IC.11	Does the tendering process for the proposed project and/or project activities include specifications for environmental, social and health and safety requirements?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
<i>Detail any environmental, social and health and safety specifications included in tender documentation such as environmental protection, occupational and community health and safety, gender, equality, child protection, vulnerable people (including those with disabilities), sexual harassment, gender-based violence (GBV), sexual exploitation and abuse (SEA), HIV/AIDS awareness and prevention and wide stakeholder engagement in the planning processes, programming, and activities of the parties involved in the execution of the works.</i> <i>Detail any E&amp;S resources required by contractors such as health and safety officers, environmental officers, community liaison officers, etc. Detail the number of resources needed and any budgetary requirements.</i>			
IC.12	Do the contracts that the proposed project and/or project activities has with contractors include E&S clauses?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
<i>Describe stakeholder engagement/ affected persons consultation been undertaken and any stakeholder concerns that been raised as part of any environmental permitting process(es) to-date. Describe the key issues and how they have been addressed.</i>			
IC.13	Does the Applicant intend to monitor the contractor's environmental, social and health and safety standards and mitigation measures during the construction period?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
<i>Detail how your organisation intends to monitor contractor's performance, e.g. frequency of monitoring, reporting requirements, etc. Annex any templates developed.</i>			

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	<b>ENVIRONMENT</b>		
<b>IC.14</b>	Are there any sensitive receptors (such as sensitive habitat, schools, clinics, hospitals, worship places, etc.) located close to project planned construction site including access roads, campsites and material supply site (quarries, borrow pits)?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
	<i>Constructions activities may result in disturbances for communities and sensible human receptors. Thus disturbances should be reduced at the source. If this is not possible, the works have to undertaken so that disturbances are minimized. In any case, interaction with communities is required to find the best solution.</i>		
<b>IC.15</b>	Do the contracts that the proposed project and/or project activities has with contractors include E&S clauses?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
<b>IC.16</b>	Will natural resources (e.g. timber; water, sand, quarries) within the project area be used for construction activities in a significant quantity?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
	<i>Please describe natural resources to be use and estimated quantities. Provide safeguards to prevent competition e.g., for water resources between Project and communities.</i>		
<b>IC.17</b>	Does the Applicant intend to monitor the contractor's environmental, social and health and safety standards and mitigation measures during the construction period?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
<b>IC.18</b>	Are proposed project and/or project activities anticipated to generate or include activities with hazardous and/or non-hazardous solid wastes and/or wastewater?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
<b>IC.19</b>	Will the project and/or project activity need application of chemicals, pesticides or pesticide products or formulations that may have adverse impact on the environment or human health'?	<b>Yes</b> <b>No</b> <b>Unknown</b>	
	<i>List all chemicals that will used for the project related activities e.g., for alien invasive species removal, livelihood promotion and agriculture activities.</i>		
	<b>OCCUPATIONAL HEALTH AND SAFETY</b>		

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IC.20	Do proposed project and/or project activity include works in height (above 1 m such as construction of roofs, pylons, trees cutting, use of scaffoldings, etc.?)	Yes No Unknown	
IC.21	Do proposed project and/or project activity works underground (trenches, pit digging or similar) below 1 m deep?	Yes No Unknown	
IC.22	Will heavy machinery (e.g. excavators, cranes, trucks, jack-hammers) be used for construction activities?	Yes No Unknown	
IC.23	Is there is a potential that the proposed project activities a located in the site where might be presence of UXO/hazardous materials?	Yes No Unknown	
IC.24	Will the project engage security personnel to be present at the site during construction activities? Responses of "Yes" will require the completion of <b>TRA specific Questionnaire - Appendix 1 (TRA 1 Law Enforcement)</b> .	Yes No Unknown	
<b>LABOUR AND WORKING CONDITIONS</b>			
IC.25	Does proposed project and/or project activity require more than 50 workers mobilised for individual intervention?	Yes No Unknown	
IC.26	Is proposed project and/or project activities likely to provide accommodation for the workers? If "Yes" Do the project and/or project activity require campsite for workers?	Yes No Unknown	
<i>Detail any employee accommodation facilities to be provided. Describe detailed information on the camps to be built (sitting, design, material, capacity, options for waste management, water and sanitation, security issues, etc.) construction processes and dismantling options.</i>			
IC.27	Do proposed project and/or project activities anticipate involving local and/or neighbouring community?	Yes No Unknown	
<i>Community work is only to be performed on voluntary basis, with free and informed consent of the workers, who must have the possibility to freely revoke the consent at any time. Working time need to consider occupation of community, particularly agricultural work or other seasonal activities related to livelihood.</i>			