



**INITIATION PLAN TEMPLATE
FOR A GEF PROJECT PREPARATION GRANT (PPG)**

Project Title: Removing Barriers to Energy-Efficiency in the Cape Verdean Built Environment and for Appliances

Country: Cape Verde

Expected CP Outcome(s)/Indicator (s):

COUNTRY PROGRAMME / UNDAF OUTCOMES #4: Institutions reinforce environmental governance and integrate principles of environmental sustainability, climate change and disaster relief reduction; public and private institutions adopt a holistic approach to conservation and protection of critical habitats and biodiversity.

Outcome indicator: % of public resources allocated to environment; Number of key sector strategies integrating environmental dimension.

Related strategic plan focus areas: Energy and environment for sustainable development and green growth

Initiation Plan Start Date: 23 August 2013

Initiation Plan End Date: 23 August 2014

CCPD (Country Common Programme Document)
Component # 4.

ATLAS Project Award: 00075997

ATLAS Project ID: 00087601

PIMS Project ID: 4996

Management Arrangement: NIM

Total budget: 72,600 US\$

Allocated resources:

- GEF 72,600 US\$
- LDCF US\$
- SCCF US\$
- NPIF US\$
- Government US\$
- UNDP US\$

AGREED BY UNDP RESIDENT REPRESENTATIVE

Resident Representative

Signature

Date:

9th/September/2013

Ms. Ulrika Richardson-Golinski

A. Brief Description of Initiation Plan:

This initiation plan is for the development of a full-sized project document for Cape Verde's "Removing Barriers to Energy-Efficiency in the Cape Verdean Built Environment and for Appliances" project.

Energy-Efficiency has been identified by the Government of Cape Verde as a key area in which important cost savings can be made and GHG emissions can be reduced in accordance with national plans and priorities. The PANA II (National Action Plan for the Environment) mentions energy-efficiency and renewable energy as important tools to promote sustainable development in Cape Verde. However, despite recent progress in the promotion of renewable energy in the country, Cape Verde has yet to resolve its basic energy problems. Reliability has emerged as a major public concern, even though the country performs better than most of the continent in terms of indicators such as blackouts and coverage.

Electricity costs are astronomically high meaning that energy-efficiency is an important tool to promote cost savings and greenhouse gas emissions reductions. For the third quarter of 2011, the regulated price of electricity for residential customers is US\$ 0.44 cents per kWh. Water rate average costs run between US\$ 3.26 and \$6.05/m³ for usage under 6 m³ and over 10 m³, respectively. The World Bank estimates Cape Verde's cost of electricity to be the highest in Africa and amongst the highest in the world. This means that improvements in energy-efficiency, which lead to significant cost savings, will be especially attractive in Cape Verde as compared to other countries where electricity costs are lower. The problem that this project aims to address is the absence of legislation and nationally coordinated policies in Cape Verde to address the issue of energy-efficiency.

This project aims to remove barriers to the adoption of measures to support energy efficiency in Cape Verde focused on the public sector and on imported appliances into Cape Verde. Despite the fact that investments in energy-efficiency is economically very attractive in Cape Verde, investments in energy-efficiency have been slow to take off due to a number of legal, regulatory, institutional, policy, financial, and awareness barriers.

The project will work in three different components:

1. Enabling Policy, Institutional, and Legislative Framework for Energy-Efficiency in Buildings
2. Energy-Efficiency improvements through Standards & Labeling for appliances
3. Energy efficiency solutions in a selection of public buildings through selected pilot demonstration projects

This Project Preparation Grant (PPG) period includes preparation of the project planning, technical assessments and analyses of national and sub-national situations, and preparation of the UNDP-GEF compliant project document. This Initiation Plan will focus on the PPG phase of twelve months which would help to prepare the ground for the implementation of the full scale project. During this preparatory phase, one international consultant and a national technical team will be engaged to produce results under each activity as per the Total Budget and Work Plan. The PPG will be carried out in close collaboration with the Directorate General of Energy (at the Ministry of Tourism, Industry and Energy) and the Directorate General of Environment (DGA), relevant National Committees and Technical Working Groups (TWGs) and other key stakeholders identified in the approved Project Identification Form (PIF).

During the initiation plan period, a number of studies and stakeholder consultations will be undertaken with the view to further develop the approved project concept (see GEF PIF attached in Annex 1) into a fully formulated project document. The final output of the initiation plan will be a UNDP-GEF project document and GEF CEO endorsement template ready for submission to UNDP and GEF.

B. Project preparation activities:

A. Component A: Technical review

I. Baseline studies:

The baseline situation envisages no new legal framework to promote energy efficiency requiring energy audits and a system of energy passports for minimum energy performance standards. In the business-as-usual scenario it is quite clear that greenhouse gas emissions in the public and appliances sectors are going to continue to rise and that domestic appliances may continue to be imported into Cape Verde which do not even meet basic minimum energy efficiency standards. There are a lot of other ongoing initiatives related to renewable energy currently ongoing and planned in Cape Verde. The government of Cape Verde has plans go 100% renewable energy by 2030. It makes sense therefore to focus on energy-efficiency, an area with significant potential for energy savings which up until now has been largely neglected.

II. Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal:

The UNDP environmental and social pre-screening procedures for projects will be applied in order to:

- ✓ Enhance the environmental and social sustainability of the proposed project. This aspect of screening focuses on the environmental and social benefits of a project. Gender and socio-economic assessment methodologies will be applied to ensure project benefits contribute to gender equality goals.
- ✓ Identify and manage environmental and social risks that could be associated with the proposed project. This aspect of screening focuses on the possible environmental and social costs of an intervention and may point to the need for environmental and social review and management. Climate change and other disaster risks will be considering as part of the environmental assessment.

See attached pre-screening, Annex 3

III. Identification of specific sites for intervention

The project will be working at the national scale for all the aspects related with policy design, regulatory and institutional framework revision to ensure an enabling environment for energy efficiency. In regards to the demonstration of energy efficiency measures through demonstration projects the project preparation phase will allow to establish the criteria for site selection and according to those criteria identify together stakeholders the "champions' islands/sites" to promote and benefit from those types of pilot projects.

IV. Integration with development plans, policies, budgets and complementary projects: (add a few sentences)

V.

The project focus on developing the policy, institutional, and legislative framework needed to support energy efficiency in Cape Verde including through the introduction of a new law on energy-savings. The new law on energy savings is expected to introduce such concepts as mandatory energy audits, minimum energy performance standards for public buildings, energy passports, and a system of monitoring, reporting, and enforcement of standards as well as procedures for labeling and certification of appliances. A new building code will be introduced into Cape Verde which will define minimum energy performance standards for new buildings.

The process for obtaining a construction permit will be modified to take into account and consider energy-efficiency considerations. In addition, a multi-year Government Action Plan on Energy-Efficiency will be developed and adopted. Another important activity under component one will be the development of an inventory and database management system for energy-efficiency in all public buildings in the country. The database is important because experience shows that monitoring and reporting is a key task that needs to be undertaken in order to promote energy efficiency properly. The key outcome from this work will be that EE policies and legislation and secondary regulations are adopted and put in place and strengthened regulatory framework results.

VI. **Completion of GEF focal area tracking tool:** GEF Climate change mitigation tracking tool as part of the project document preparation and will serve as a baseline for future monitoring of GHG (green house gases) emissions avoided.

VII. **Stakeholder consultations during technical review:**

Mobilize and engage stakeholders during project design. Negotiate partnerships with on-going projects to align their activities and the project to build synergies. Document these consultations.

B. **Component B: Institutional arrangements, monitoring and evaluation**

The outputs of Component A will be used as technical input to Component B for the formulation of the UNDP-GEF project document.

- I. **Finalization of project results framework:** The preparation phase will allow for further definition of the results framework with appropriate objective-level and outcome-level quantitative and qualitative SMART (specific, measurable, attainable, relevant and Time-bound) indicators, and end-of-project targets. Special attention will be made to include socio-economic and sex disaggregated indicators.
- II. **Definition of monitoring and evaluation (M&E):** A detailed M&E work plan will be developed in consultation with national implementing partners, including clear identification of responsibilities and accountabilities, as well as an appropriate M&E budget. The plan will be based on the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- III. **Define sustainability plan:** The sustainability plan will outline the principles and guidelines for ensuring the long-term sustainability of project achievements. It will also outline an exit strategy, seeking the continuation of key activities/achievements without the need of long-term international financing.
- IV. **Definition of management arrangements:** The organisational structure governing the project will be decided. This will include identification of the project board.
- V. **Stakeholder consultations during Component B:** Involve key agencies in the development of the project strategy to ensure a strong national ownership. In close collaboration with key government representatives and other stakeholders ensure full participation in the development of the project results framework and ensure agreement on the project objectives and outcomes. Undertake consultations to secure agreement(s) on project implementation arrangements; including roles, responsibilities, and accountabilities of lead and partner agencies. Document these consultations.

C. Component C: Financial planning and co-financing investments:

- I. Prepare a detailed multi-year budget following the standard template provided in the UNDP-GEF project document template and detailed budget notes that reflects the mandatory requirements of the GEF M&E Policy.
- II. Explore multilateral and bilateral co-financing opportunities: Undertake series of consultations with partners to ensure a coherent and sustainable financing package for the project including post- GEF grant phase. Co-financing identified in PIF will be re-appraised and confirm.
- III. Ensure completion of required official endorsement letters: An official endorsement letter will be prepared by the GEF Operational Focal Point of the Government. A co-financing guarantee will be collected from participating government institutions, bilateral development partners, multilateral development partners and NGOs who wish to provide cash or in kind contributions to the project.
- IV. Stakeholder consultations during Component C: stakeholder consultation will be conducted by a series of individual interviews and group meetings. The objective is to ensure that an efficient governance framework is designed for project implementation. Institutional participation in project governing bodies (technical committees & steering committees) will be defined and responsibilities of each member will be determined.

D. Component D: Validation workshop

A validation workshop will gather representatives from all relevant stakeholders to present discuss and validate the final draft project document. Draft PRODOC will be distributed beforehand for analysis and consideration and all relevant stakeholders will be invited to participate. Comments, suggestions, critics and feedback from the workshop will be shared with participants and all comments will be addressed by the consultant in charge of formulation of the PRODOC and approved by project partners.

6. Project preparation activities work plan, timeframe, responsibilities and budget:

PPG Activity	Timeframe (in months) ¹								Responsibility	Budget US\$
	1	2	3	4	5	6	7	8		
Component A									IC, National Team DGE	32,500
Component B									IC, National Team DGE	21,000
Component C									IC, National Team, DGE, UNDP CO	3,000
Component D									DGE, UNDP CO	12,100

D. Total Budget and Work Plan :

Award ID:	00075997
Award Title:	Energy Efficiency
Business Unit:	CPV10
Project Title:	Removing Barriers to Energy-Efficiency in the Cape Verdean Built Environment and for Appliances
Project ID:	00087601
Implementing Partner (Executing Agency)	DGE (General Directorate of Energy) / DGA (General Directorate of Environment)

GEF Outcome/Atlas Activity	Responsible Party/	Fund ID	Donor Name	Atlas Budgetary		ATLAS Budget Description	Amount US\$
				Account Code			
Project preparation grant to finalize the UNDP-GEF project document for project "Removing Barriers to Energy-Efficiency in the Cape Verdean Built Environment and for Appliances"	DGE	62000	GEF TRUSTEE	71200	International Consultants ²	32,500	
				71300	Local Consultants ³	16,000	
				71600	Travel ⁴	9000	
				72500	Supplies ⁵	2,000	
				74500	Miscellaneous Expenses ⁵	1,000	
				75700	Trainings, workshop and conferences ⁷	12,100	
PROJECT TOTAL						72,600	

- ¹ If an FSP project please add additional six months noting 18 month deadline between GEF approval of the PIF and GEF CEO endorsement of the project document
- ² Covers 45 working days of an International consultant and two missions to Cape Verde, but does not include travel
- ³ Covers 80 working days of consultancy support from national consultants @ \$200/day
- ⁴ Covers the travel cost of international consultant to and from Cape Verde and any travel cost that may be required in Cape Verde
- ⁵ Covers the cost of providing refreshments and drinks and snacks at stakeholder consultation meetings to be held during the two missions of the international consultant (\$1,000 x 2)
- ⁶ Covers miscellaneous costs related to the need to hire venues for stakeholder consultations or other miscellaneous costs

Annex 1: GEF CEO PIF approval letter



Naoko Ishii, PhD
Chief Executive Officer and Chairperson

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August 23, 2013

Ms. Adriana Dinu
Deputy GEF Executive Coordinator
United Nations Development Programme
One United Nations Plaza
304 East 45th St.
FF Bldg., 10th floor
New York, NY 10017

Dear Ms. Dinu:

I am pleased to inform you that I have approved the medium-sized project concept detailed below. I have also approved your request for project preparation grant.

Decision Sought:	Project Identification Form (PIF) and Project Preparation Grant (PPG) Approval
GEFSEC ID:	5344
Agency ID:	4996 (UNDP)
Agency(ies):	UNDP
Focal Area:	Climate Change
Project Type:	Medium Size Project
Country(ies):	Cape Verde
Name of Project:	Removing Barriers to Energy-Efficiency in the Cape Verdean Built Environment and for Appliances
Indicative GEF Project Grant:	\$1,918,400
Indicative Agency Fee:	\$182,248
PPG Grant:	\$72,600
PPG Agency Fee:	\$6,897
Funding Source:	GEF Trust Fund

This PIF and PPG approvals are subject to the comments made by the GEF Secretariat in the attached document. It is also based on the understanding that the project is in conformity with GEF focal areas strategies and in line with GEF policies and procedures.

Annex 2: Summary of Consultants Financed by the Initiation Plan

Summary Tasks to be Performed
Local Consultants
The National Consultant will carry out the following tasks
<ul style="list-style-type: none">- Organization of meeting agenda (for 2 missions)- Assistance with identifying specific sites for demo project interventions- Provide detailed statistics and information on energy saving potential and GHG emissions reduction potential from energy savings projects- Assistance with risk analysis/risk assessments reports- Detailed comments on baseline report- Detailed support for CO2 calculations- Detailed comments for UNDP project document- Detailed comments for GEF Request for CEO endorsement- Detailed comments for GEF Tracking Tool- Assistance with securing of all co-financing letters
International consultants
The International Energy-Efficiency Expert will carry out the following tasks:-
<ul style="list-style-type: none">- Detailed Baseline Report- Project Results Framework (draft and final)- Detailed CO2 emission reduction calculations- UNDP Project Document (draft and final)- GEF Request for CEO Endorsement (draft and final)- GEF Tracking Tool (draft and final)

ENVIRONMENTAL AND SOCIAL SCREENING SUMMARY

Name of Proposed Project: Cape Verde Removing Barriers to EE in the Cape Verdean Built Environment and for appliances

A. Environmental and Social Screening Outcome

- Category 1. No further action is needed
- Category 2. Further review and management is needed. There are possible environmental and social benefits, impacts, and/or risks associated with the project (or specific project component), but these are predominantly indirect or very long-term and so extremely difficult or impossible to directly identify and assess.
- Category 3. Further review and management is needed, and it is possible to identify these with a reasonable degree of certainty. If Category 3, select one or more of the following sub-categories:
- Category 3a: Impacts and risks are limited in scale and can be identified with a reasonable degree of certainty and can often be handled through application of standard best practice, but require some minimal or targeted further review and assessment to identify and evaluate whether there is a need for a full environmental and social assessment (in which case the project would move to Category 3b). See Section 3 of the Review and Management Guidance.
 - Category 3b: Impacts and risks may well be significant, and so full environmental and social assessment is required. In these cases, a scoping exercise will need to be conducted to identify the level and approach of assessment that is most appropriate. See Section 3 of Review and Management Guidance.

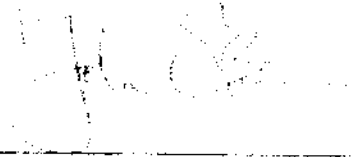
B. Environmental and Social Issues (for projects requiring further environmental and social review and management)

Energy Efficiency has even greater impact and benefits for the poor where high energy prices and costs can be a much higher percentage of household income. By reducing energy costs and improving energy-efficiency, the lives of the poor are greatly improved. UNDP has a mandate to promote and support poverty alleviation. For this reason, the implementation of this project will be designed in such a way as to promote greater opportunities for marginal social and economic groups and to promote poverty alleviation.

C. Next Steps (for projects requiring further environmental and social review and management):

No further action required.

D. Sign Off

A handwritten signature in black ink, appearing to read "John O'Brien", written over a horizontal line.

Project Manager: john.obrien

Signed Date: 2013-05-20

ENVIRONMENTAL AND SOCIAL SCREENING CHECKLIST

Name of Proposed Project: Cape Verde Removing Barriers to EE in the Cape Verdean Built Environment and for appliances

QUESTION 1

Has a combined environmental and social assessment/review that covers the proposed project already been completed by implementing partners or donor(s)?

Answer to Question 1: No

QUESTION 2

Do ALL outputs and activities described ONLY fall in the Project Document fall within the following categories?

1. Procurement (In which case UNDP's Procurement Ethics and Environmental Procurement Guide need to be complied with)
2. Report preparation
3. Training
4. Event/workshop/meeting/conference (refer to Green Meeting Guide)
5. Communication and dissemination of results

Answer to Question 2: No

QUESTION 3

Does the proposed project include activities and outputs that support upstream planning processes that potentially pose environmental and social impacts or are vulnerable to environmental and social change (refer to Table 3.1 for examples)? (Note that upstream planning processes can occur at global, regional, national, local and sectoral levels)

Evaluation Result of Checklist Table 3.1: Yes

TABLE 3.1 EXAMPLES OF UPSTREAM PLANNING PROCESSES WITH POTENTIAL DOWNSTREAM ENVIRONMENTAL AND SOCIAL IMPACTS

1. Support for the elaboration or revision of global-level strategies, policies, plans, and programmes. For example, capacity development and support related to international negotiations and agreements. Other examples might include a global water governance project or a global MDG project.	No
2. Support for the elaboration or revision of regional-level strategies, policies and plans, and programmes. For example, capacity development and support related to transboundary programmes and planning (river basin management, migration, international waters, energy development and access, climate change adaptation etc.).	Yes
3. Support for the elaboration or revision of national-level strategies, policies, plans and programmes. For example, capacity development and support related to national development policies, plans, strategies and budgets, MDG-based plans and strategies (e.g. PRS/PRSPs, NAMAs), sector plans.	Yes
4. Support for the elaboration or revision of sub-national/local-level strategies, policies, plans and programmes. For example, capacity development and support for district and local level development plans and regulatory frameworks, urban plans, land use development plans, sector plans, provincial development plans, provision of services, investment funds, technical guidelines and methods, stakeholder engagement.	Yes

QUESTION 4

Does the proposed project include the implementation of downstream activities that potentially pose environmental and social impacts or are vulnerable to environmental and social change?
Evaluation Result of Checklist Table 4.1: Yes

TABLE 4.1 ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT	
1. Biodiversity and Natural Resources	
1.1 Would the proposed project result in the conversion or degradation of modified habitat, natural habitat or critical habitat?	No
1.2 Are any development activities proposed within a legally protected area (e.g. natural reserve, national park) for the protection or conservation of biodiversity?	No
1.3 Would the proposed project pose a risk of introducing invasive alien species?	No

1.4 Would the proposed project pose a risk of introducing invasive alien species?	No
1.5 Does the project involve the production and harvesting of fish populations or other aquatic species without an accepted system of independent certification to ensure sustainability (e.g. the Marine Stewardship Council certification system, or certifications, standards, or processes established or accepted by the relevant National Environmental Authority)?	No
1.6 Does the project involve significant extraction, diversion or containment of surface or ground water? For example, construction of dams, reservoirs, river basin developments, groundwater extraction.	No
1.7 Does the project pose a risk of degrading soils?	No
2. Pollution	
2.1 Would the proposed project result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and transboundary impacts?	No
2.2 Would the proposed project result in the generation of waste that cannot be recovered, reused, or disposed of in an environmentally and socially sound manner?	No
2.3 Will the proposed project involve the manufacture, trade, release, and/or use of chemicals and hazardous materials subject to international action bans or phase-outs? For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Convention on Persistent Organic Pollutants, or the Montreal Protocol.	No
2.4 Is there a potential for the release, in the environment, of hazardous materials resulting from their production, transportation, handling, storage and use for project activities?	No
2.5 Will the proposed project involve the application of pesticides that have a known negative effect on the environment or human health?	No
3. Climate Change	
3.1 Will the proposed project result in significant greenhouse gas emissions? The Environment and Social Screening Procedure Guidance provides additional guidance for answering this question.	No
3.2 Is the proposed project likely to directly or indirectly increase environmental and social vulnerability to climate change now or in the future (also known as maladaptive practices)? You can refer to the Environment and Social Screening Procedure Guidance to help you answer this question. For example, a project that would involve indirectly removing mangroves from coastal zones or encouraging land use plans that would suggest building houses on floodplains could increase the surrounding population's vulnerability to climate change, specifically flooding.	No
4. Social Equity and Equality	

4.1 Would the proposed project have environmental and social impacts that could negatively affect indigenous people or other vulnerable groups?	No
4.2 Is the project likely to significantly impact gender equality and women's empowerment ?	No
4.3 Is the proposed project likely to directly or indirectly increase social inequalities now or in the future?	No
4.4 Will the proposed project have variable impacts on women and men, different ethnic groups, social classes?	Yes
4.5 Have there been challenges in engaging women and other certain key groups of stakeholders in the project design process?	No
4.6 Will the project have specific human rights implications for vulnerable groups?	No
5. Demographics	
5.1 Is the project likely to result in a substantial influx of people into the affected community(ies)?	No
5.2 Would the proposed project result in substantial voluntary or involuntary resettlement of populations? For example, projects with environmental and social benefits (e.g. protected areas, climate change adaptation) that impact human settlements, and certain disadvantaged groups within these settlements in particular.	No
5.3 Would the proposed project lead to significant population density increase which could affect the environmental and social sustainability of the project? For example, a project aiming at financing tourism infrastructure in a specific area (e.g. coastal zone, mountain) could lead to significant population density increase which could have serious environmental and social impacts (e.g. destruction of the area's ecology, noise pollution, waste management problems, greater work burden on women).	No
6. Culture	
6.1 Is the project likely to significantly affect the cultural traditions of affected communities, including gender-based roles?	No
6.2 Will the proposed project result in physical interventions (during construction or implementation) that would affect areas that have known physical or cultural significance to indigenous groups and other communities with settled recognized cultural claims?	No
6.3 Would the proposed project produce a physical "splintering" of a community? For example, through the construction of a road, powerline, or dam that divides a community.	No
7. Health and Safety	
7.1 Would the proposed project be susceptible to or lead to increased vulnerability to earthquakes,	No

subsidence, landslides, erosion, flooding or extreme climatic conditions? For example, development projects located within a floodplain or landslide prone area.	
7.2 Will the project result in increased health risks as a result of a change in living and working conditions? In particular, will it have the potential to lead to an increase in HIV/AIDS infection?	No
7.3 Will the proposed project require additional health services including testing?	No
8. Socio-Economics	
8.1 Is the proposed project likely to have impacts that could affect women's and men's ability to use, develop and protect natural resources and other natural capital assets? For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their development, livelihoods, and well-being?	No
8.2 Is the proposed project likely to significantly affect land tenure arrangements and/or traditional cultural ownership patterns?	No
8.3 Is the proposed project likely to negatively affect the income levels or employment opportunities of vulnerable groups?	No
9. Cumulative and/or Secondary Impacts	
9.1 Is the proposed project location subject to currently approved land use plans (e.g. roads, settlements) which could affect the environmental and social sustainability of the project? For example, future plans for urban growth, industrial development, transportation infrastructure, etc.	No
9.2 Would the proposed project result in secondary or consequential development which could lead to environmental and social effects, or would it have potential to generate cumulative impacts with other known existing or planned activities in the area? For example, a new road through forested land will generate direct environmental and social impacts through the cutting of forest and earthworks associated with construction and potential relocation of inhabitants. These are direct impacts. In addition, however, the new road would likely also bring new commercial and domestic development (houses, shops, businesses). In turn, these will generate indirect impacts. (Sometimes these are termed "secondary" or "consequential" impacts). Or if there are similar developments planned in the same forested area then cumulative impacts need to be considered.	No