

Safeguards Planning Document

Environment and Social Management System Framework
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Proposed Equity Investment India: Public-Private Partnership for Renewable Energy Development

The draft Environment and Social Management System is subject to review by the investors of the Joint Venture Company. The views expressed herein do not necessarily represent those of ADB's Board of Directors, Management, or staff, and may be preliminary in nature.

GUIDELINES FOR ESTABLISHING THE ENVIRONMENTAL AND SOCIAL MANAGEMENT SYSTEM

A. Guiding Principles

1. After incorporation, the Joint Venture Company (JVC) will formulate a corporate policy for environmental and social management and establish an environmental and social management system (ESMS) consistent with the safeguard policy principles and requirements of the ADB. Guiding principles are:

- (i) Compliance by the JVC with ADB's applicable environmental and social safeguard policies,¹ and the environmental and social laws and policies (including labor,² land acquisition, and resettlement and rehabilitation) of India;
- (ii) Integration of environmental and social safeguard compliance of investments in the JVC's due diligence and risk assessment;
- (iii) Establishment of a process and/or system for screening, categorization/classification, and assessment, to identify and monitor adverse environmental and social impacts of the JVC's projects;
- (iv) Identification of appropriate mitigation and compensation measures to minimize adverse impacts in line with international best practices and applicable environmental and social safeguard requirements;
- (v) Public disclosure of environmental and social impact information;
- (vi) Promotion of investee compliance with applicable environmental and social safeguards, including resettlement laws and standards in India, through appropriate documentation of environmental and social impact studies, approvals by authorities, and site visits as appropriate;
- (vii) Where applicable, prompt collaboration to prepare a corrective action plan in the case of breach of relevant ADB environmental and social policy requirements and Government of India laws, social policies and standards; and
- (viii) Appropriate JVC staffing to implement the ESMS.

¹ ADB has three safeguard policies: Environment Policy (2002), Indigenous Peoples (IP) Policy (1998), and Involuntary Resettlement (IR) Policy (1995). ADB investees are legally obligated to comply with these policies.

² In addition to the three aforementioned policies, ADB also has a Social Protection Strategy, which recommends best practices on labor markets, social insurance, social assistance, micro- and area-based schemes, and child protection. Although compliance with the Social Protection Strategy is not a legal requirement of the JVC, it is a desirable extension of the JVC's approach to environmental and social protections. Additional guidance on the Social Protection Strategy is available from <http://www.adb.org/SocialProtection>.

B. Environmental and Social Management System

2. The JVC will establish and adopt an ESMS consistent with the JVC's environmental and social safeguard policies. The ESMS will include (i) policy signed by senior management, (ii) environmental management capability, (iii) environmental assessment and review procedures for subprojects, and (iv) environmental monitoring and reporting.

1. Environmental and Social Management System Policy

3. As part of the process of establishing an ESMS, the JVC will prepare and adopt an environmental and social safeguard policy statement signed by senior management which mentions, among other things:

- (i) That the JVC's projects will be consistent with the its policies on environment, involuntary resettlement, indigenous peoples/scheduled tribes (IP/STs),³ and other social and disclosure policy requirements;
- (ii) That the JVC will actively observe all applicable Indian national, state and local environmental and social requirements, particularly those governing land acquisition, compensation, resettlement and rehabilitation, and indigenous peoples;
- (iii) That it will also follow internationally recognized labor practices consistent with national labor laws and regulations; and
- (iv) That if the JVC contravenes applicable environmental and social safeguard requirements, it will take action to understand the reasons for non-compliance and shall discuss corrective actions acceptable to the relevant authorities.

4. Wherever the relevant projects of the JVC involve involuntary resettlement⁴ impact, the JVC will satisfy itself that it has: (i) avoided involuntary resettlement wherever feasible; (ii) minimized resettlement where population displacement is unavoidable; and (iii) ensured that affected persons⁵ have been compensated and assisted through replacement of land, housing, infrastructure, resources, income sources, and services, in cash or in kind, so that their economic and social circumstances will be at least restored to the pre-project level. All compensation is based on the principle of replacement cost.

5. Wherever the projects of the JVC affect IP/STs, the JVC will satisfy itself that it has: (i) avoided negative impact on IP/STs where possible; (ii) provided adequate and appropriate

³ Indigenous people or scheduled tribes including tribal populations are regarded as those with a social or cultural identity distinct from the dominant or the mainstream society, which makes them vulnerable to being disadvantaged in the process of development.

⁴ ADB defines "involuntary resettlement" as social and economic impacts that are permanent or temporary and are caused: (i) by acquisition of land and other fixed assets, (ii) by change in the use of land, or (iii) restrictions imposed on land as a result of an ADB operation.

⁵ The term "affected person" includes any people, households, firms, or private institutions that, on account of changes that result from the project, will have their: (i) standard of living adversely affected; (ii) right, title, or interest in any house, land (including residential, commercial, agricultural, forest, or grazing land), water resources, or any other movable or fixed assets acquired, possessed, restricted, or otherwise adversely affected, in full or in part, permanently or temporarily; or (iii) business, occupation, place of work or residence, or habitat adversely affected, with or without displacement.

compensation when negative impact is unavoidable; and (iii) ensured that development initiatives affecting indigenous peoples are effective and sustainable, and are compatible in substance and structure with their cultures and social and economic institutions, and commensurate with their needs, aspirations, and demands.

2. Environmental and Social Management System Procedures

6. **Screening.** Before making any specific investment, the JVC will verify to ADB that the proposed project is not on ADB's list of prohibited investments (Attachment 1). The JVC will undertake an initial assessment of whether the project, in the reasonable opinion of the JVC, have a potential to have adverse environmental or social impacts or may involve land acquisition or involuntary resettlement, or affect IP/STs. These issues will continue to be assessed during the investment due diligence process, in order to ensure that the relevant project complies with the environmental and social requirements of India. The JVC will develop and implement a rigorous screening system to assess whether the proposed projects have adequately addressed environmental and social safeguards. (Examples of screening checklists are available in Attachments 2 and 3.)⁶

7. Projects are categorized by the significance of their environmental, involuntary resettlement, and indigenous peoples impacts. Significance is determined by scrutinizing the type, location, scale, nature, and magnitude of a project's potential impacts. The environmental and social safeguard categories that ADB uses are as follows:

a. Environmental

- (i) **Category A.** Projects with anticipated significant adverse impact on the environment. These include the following types of projects: thermal and hydro power plants; irrigation systems; roads, bridges, tunnels, railways, and airports; forestry; farming; general construction; waste processing and disposal facilities (landfill, transfer station and incineration); mining, oil extraction and refinery; iron, steel, and metals production; chemical plant installation; skin and hide processing, and tanneries; sawdust processing, and pulp and paper production; and establishment of artificial lakes or reservoirs. Category A projects will require an adequately prepared environmental impact assessment (EIA) (outline available in Attachment 4) with environmental management plan (EMP) and environmental monitoring program (EMoP).
- (ii) **Category B.** Projects with anticipated insignificant adverse impacts on the environment.⁷ These include projects with minor environmental impacts, such as transmission lines and substations; wind power projects; rehabilitation projects of power plants, factories, or roads within the same corridor or footprint; and other developments anticipating insignificant adverse impacts. Category B projects will require the preparation of an initial environmental examination (IEE) (outline available in Attachment 5) with an environmental mitigation and monitoring program. Any project listed (by type) as Category B, but deemed to be of significant anticipated environmental impact, can be determined to be a Category A project by the JVC.

⁶ These screening checklists are not exhaustive, but provide a basis for development of a JVC's specific screening.

⁷ Under ADB's Environment Policy (2002), a project is classified as Category B if its potential environmental and social impacts are less adverse than those of Category A projects. Typically, impacts are site-specific, few if any of them are irreversible, and mitigation measures are readily available.

- (iii) **Category C.** Projects with no anticipated adverse environmental impacts. Category C projects require no impact assessment studies.

b. Social

- (i) **Category A.** Projects where 200 or more people will experience major involuntary resettlement impacts, which are defined as being physically displaced from housing, or losing 10% or more of their productive (income-generating) assets. A full resettlement plan (outline available in Attachment 6) is required for Category A projects. A project's impact is also significant if it positively or negatively: (i) affects IP/STs' customary rights of use and access to land and natural resources; (ii) changes IP/STs' socioeconomic status; (iii) affects IP/STs' cultural and communal integrity; (iv) affects IP/STs' health, education, livelihood, and social security status; or (v) alters or undermines the recognition of indigenous knowledge. For projects significantly affecting IP/STs, an Indigenous Peoples/Scheduled Tribes Development Plan (IPDP/STDP) is prepared. (outline available in Attachment 7).
- (ii) **Category B.** Projects where fewer than 200 people will experience major involuntary resettlement impacts. Category B projects require a short resettlement plan (outline available in Attachment 8). Projects that are expected to have limited impacts on IP/STs require a specific action favorable to indigenous peoples in the project design or in related plans (e.g. a resettlement plan).
- (iii) **Category C.** No indigenous peoples or involuntary resettlement impacts are expected. Category C projects require no plans.

8. **Impact Assessment and Safeguards Planning.** In the event that the JVC determines that the relevant project may have a potential significant adverse environmental or social impact, or may involve involuntary resettlement or affect indigenous people, it will, prior to providing any financial assistance:

- (i) Consult with and assist in providing advisory or other services related to safeguards to such client; and
- (ii) Where the project has significant impacts on the environment, review/prepare a feasibility study, to include an environmental and social assessment, which addresses the following key environmental and social issues:
 - a. Environmental and socioeconomic impacts of the investment including careful consideration of gender issues in the conduct of social analysis and/or consultation with women's groups during preparation, and ensuring women's participation and/or receipt of benefits;
 - b. Requirements under relevant Indian laws and regulations, and applicable international agreements, including but not limited to laws and regulations governing land acquisition, compensation, resettlement and indigenous peoples;
 - c. Sustainable development and use of renewable natural resources;

- d. Protection of human health, cultural properties, and biodiversity, including endangered species and sensitive ecosystems;
- e. Land acquisition and land use;
- f. Impact on IP/STs and communities;
- g. Cumulative environmental and social impacts of existing, proposed, and anticipated future investments;
- h. Disclosure of impacts and mitigation measures to and participation of affected parties in the design, and review of mitigation and rehabilitation measures;
- i. Consideration of environmentally, socially, and economically feasible alternatives; and
- j. Pollution prevention and waste minimization, pollution controls (liquid effluents and air emissions), and solid and chemical waste management.

9. For "greenfield" development or rehabilitation and/or expansion of existing facilities, the JVC will conduct screening, categorization and environmental due diligence to determine the required level of environmental assessment for each sub-project. During implementation of the sub-project, the JVC will be required to comply with required EMP and EMoP indicated in the EIA or IEE. Whenever an EIA is required, a summary EIA must be prepared and posted on ADB's website for a specific period of time before ADB may approve such project.⁸⁹

10. In the event that "greenfield" development is involved, the JVC will determine whether indigenous peoples will be affected and land acquisition and involuntary resettlement may be involved. In the event that the JVC is not able to reasonably satisfy itself that the project complies with all applicable environmental and social requirements of the Indian national and local government, and that IP/STs are not affected and involuntary resettlements are not involved, the JVC will:

- (i) Decline to invest in such project; or
- (ii) Implements an agreed corrective action plan within a specified period of time; or
- (iii) If involuntary resettlement and/or impacts on IP/STs cannot be avoided, the JVC will prepare and submit a resettlement plan (RP) and/or IPDP/STDP, prepared in accordance with the policy as outlined under section 3. The RP and/or IPDP/EMDP will need to satisfy the JVC that impacts on IP/STs are mitigated and involuntary resettlement is minimized, and that affected people will receive compensation at replacement cost. (The scope and coverage of full and short RPs and IPDP/STDPs are available in Attachments 6, 7, and 8.) During implementation of the investment, the JVC will monitor implementation of RPs and IPDPs/STDPs, and ensure that such plans are publicly available.

11. In the event that the project involves rehabilitation and/or expansion of existing facilities, the JVC Manager will conduct due diligence to determine if there are any outstanding compensation or involuntary resettlement issues, unaddressed adverse impacts on ethnic

⁸ This time limit is presently stipulated as 120 days.

⁹ Examples of SEIA reports are available at <http://www.adb.org/Projects/reports.asp?key=reprs&val=ERD>.

minorities, unresolved grievances, or related areas of reputational risk to the JVC and to ADB. If there are any outstanding involuntary resettlement and ethnic minority issues, the JVC will inform ADB and prepare corrective measures in the form of a retrofit plan to achieve compliance with ADB's social safeguard policy requirements. The retrofit plan should be disclosed to affected persons and submitted to ADB for review and approval.

12. Wherever a resettlement plan is required, affected persons will be fully informed and consulted on compensation and resettlement options, including relocation sites, and socioeconomic rehabilitation. Pertinent resettlement information¹⁰ will be disclosed to the affected persons at key points, and specific opportunities will be provided for them to participate in choosing, planning, and implementing options. The information will be disclosed in a manner that is accessible to the affected people where there are differing levels of literacy. Grievance redress mechanisms for affected persons with adequate representation of affected people and with adequate multi-gender presence will be established in each resettlement plan. The plan will be made available to the affected persons before its implementation in their own language(s), with details on their entitlements.

13. Whenever an IPDP or STDP is required, adequate consultations will be held with indigenous peoples or ethnic minorities during its preparation. They will be informed of the mitigation measures proposed and their views will be taken into account in finalizing the plan. The IPDP or EMDP will be translated into the language of the indigenous peoples or ethnic minorities and made available to them before implementation. The disclosure will be in a manner accessible to the affected people where there are differing levels of literacy. Indigenous people or ethnic minority institutions and organizations in the affected area will also be involved in implementing the IPDP or EMDP and in resolving any disputes that arise.

14. Draft resettlement plans or IPDPs or STDPs will be made publicly available. ADB will review and approve the necessary resettlement plans as they are prepared, and, once they are finalized, will disclose these on its website before implementation. Plans may be revised after submission in response to: (i) requests for revision during the review process, or (ii) changes in design during implementation. Such revised plans will also be made available to the affected people, in a form and language they can understand, and in English on ADB's website.

15. **Reporting.** The JVC will report commensurately to the significance of environmental and social impacts (e.g. semi-annual reports in case of significant impacts). (Outlines for environmental and social safeguards monitoring reports are available in Attachment 9 and 10.) The environmental and social monitoring reports will be submitted to the JVC. The JVC will prepare and submit to ADB an annual environmental and social performance report, (outline available in Attachment 11), with respect to investments made by the JVC, summarizing:

- (i) Environmental and social impacts of projects undertaken by the JVC, including progress and performance for each project under its environmental management plan, RP, and/or IPDP/STDP;
- (ii) Any areas of non-compliance or other issues arising from the environmental and social safeguards, including resettlement (for each individual investment), and a description of any prospective investments where such policies may be triggered; and

¹⁰ In accordance with ADB's *Public Communications Policy* (2005), resettlement information should include measurement of losses, detailed asset valuations, entitlements and special provisions, grievance procedures, timing of payments, and displacement schedule.

- (iii) Periodic reviews of the ESMS, striving for continual improvement.

C. Environmental and Social Management System Capacity

16. The ESMS will be established through:

- (i) Integration of environmental and social safeguard aspects in the appraisal, approval, and monitoring process; and
- (ii) Adequate staffing of the JVC with personnel appropriately qualified to undertake the functions associated with the ESMS.

17. An appropriate number of qualified staff members of the JVC will be assigned to operate the ESMS.

18. The JVC will ensure that at least one of its senior representatives receives environmental and social safeguard training under a recognized program.

PROHIBITED INVESTMENT ACTIVITIES

- A. Production or activities involving harmful or exploitative forms of forced labor¹¹/child labor;¹²
- B. Production of or trade in any product or activity deemed illegal under host country laws or regulations;
- C. Production of or trade in any product or activity that contravenes any international conventions and agreements to which the host country is a party, and which have the force of law in the host country;
- D. Production of or trade in weapons and munitions, including paramilitary materials;
- E. Production of or trade in alcoholic beverages (excluding beer and wine);¹³
- F. Production of or trade in tobacco;³
- G. Gambling, casinos, and equivalent enterprises;³
- H. Trade in wildlife or wildlife products regulated under the Convention on International Trade in Endangered Species (CITES) of Wild Fauna and Flora;¹⁴
- I. Production of or trade in radioactive materials, including nuclear reactors and components thereof;¹⁵
- J. Production of or trade in or use of unbonded asbestos fibers;¹⁶
- K. Commercial logging operations or the purchase of logging equipment for use in primary tropical moist forest;
- L. Production, commercial-scale use, trade, storage, or transport of products containing polychlorinated biphenyls;¹⁷ and hazardous chemicals¹⁸;
- M. Production of or trade in pharmaceuticals¹⁹, pesticides/herbicides²⁰, or ozone-depleting substances²¹ subject to international phase-outs or bans;
- N. Transboundary trade in waste or waste products²², except for non-hazardous waste destined for recycling;
- O. Marine and coastal fishing practices, such as large-scale pelagic drift net fishing and fine mesh net fishing, harmful to unwanted vulnerable and protected species in large numbers and damaging to the marine biodiversity and habitats; and
- P. Production or activities that impinge on the lands owned, or claimed under adjudication, by indigenous peoples, without full documented consent of such peoples.

¹¹ Forced labor means all work or service not voluntarily performed, that is extracted from an individual under threat of force or penalty.

¹² Child labor means the employment of children whose age is below the host country's statutory minimum age of employment or employment of children in contravention of International Labor Organization Convention No. 138 "Minimum Age Convention" (www.ilo.org).

¹³ This does not apply if the activity concerned is ancillary to a sponsor's/project's (or subproject's) primary operations.

¹⁴ A list of CITES is available from www.cites.org.

¹⁵ This does not apply to the purchase of medical equipment, quality control (measurement) equipment, and any equipment where ADB considers the radioactive source to be trivial and/or adequately shielded.

¹⁶ This does not apply to the purchase and use of bonded asbestos cement sheeting where the asbestos content is less than 20%.

¹⁷ A group of highly toxic chemicals, polychlorinated biphenyls, are likely to be found in oil-filled electrical transformers, capacitors, and switchgear dating from 1950 to 1985.

¹⁸ A list of hazardous chemicals is available from www.pic.int.

¹⁹ A list of pharmaceutical products subject to phase-outs or bans is available from www.who.int.

²⁰ A list of pesticides and herbicides subject to phase-outs or bans is available from www.pic.int

²¹ A list of the chemical compounds that react with and deplete stratospheric ozone, resulting in the widely publicized ozone holes is listed in the Montreal Protocol, together with target reduction and phase out dates. <http://www.unep.org/ozone/montreal.shtml>.

²² As defined by the Basel Convention. See www.basel.int.

Environmental Assessment (EA) Checklist²³**Instructions:**

- ☐ This checklist should be prepared by the appropriate staff of the JVC for review and evaluation.
- ☐ The EA checklist will determine the significance of potential environmental impacts related to the project or activity.
- ☐ The JVC's representative will conduct site visits to collect and validate additional information provided in this EA checklist.
- ☐ Use the "remarks" section for relevant information and mitigating measures to be undertaken.

Project Title:	
Name of Company / Address / Contact Person:	
Type of Renewable Energy Project	(Briefly describe operation and/or production processes.)
Investment Details (amount, terms, etc.)	

SCREENING QUESTIONS	Yes	No	REMARKS
A. Purpose of Financing			
▪ Supporting existing business/project or related growth			
▪ Setting up of additional/new facilities on existing sites			
▪ Expansion or modernization of existing facilities on existing site/footprint			
▪ Acquisition of new sites/sites or facilities/land required			
B. Project Location Will the project			
▪ be located at or near an environmentally sensitive area? (national park, wetland, or wildlife habitats)			
▪ involve impairment of historical/cultural monuments and other areas and loss/damage to these sites?			
▪ involve encroachment into sensitive ecosystems (e.g. protected areas or terrestrial wildlife habitats)?			
C. Potential Environmental Impacts Will the project			
▪ cause aesthetic degradation and property value loss due to establishment of facilities?			

²³ Major indicators provided but the checklist should be adapted to the specific project or activity. More details are available from the following sources: IFC Environmental, Health and Safety Guidelines, 2007 (which has replaced most elements of the World Bank Pollution Prevention and Abatement Handbook, 1999); World Bank Environmental Assessment Sourcebook (1991) and Updates; ADB Environment Assessment Guidelines, 2003.

SCREENING QUESTIONS	Yes	No	REMARKS
▪ alter the pattern of land use or cause land use conflicts?			
▪ trigger dislocation or involuntary resettlement of people?			
▪ involve short-term construction impacts (e.g. noise and vibration, dust, erosion, or silt run-off)?			
▪ generate fugitive dust during transportation, unloading, storage of fuel and/or raw materials for processing, and polluted runoff from storage of these fuel and/or materials?			
▪ cause air pollution resulting from emissions of project operation process?			
▪ create noise disturbance during operation due to the proximity of settlements or receptors?			
▪ cause pollution to surface or ground water bodies from the project's construction or operations, sanitary sewage, sludge, residues and miscellaneous discharges?			
▪ lead to the generation and transport of solid, hazardous and toxic waste?			
▪ cause public health and safety hazards from operation (discharge of wastes, and / or due to poor air quality, noise and odor from emissions, etc.?)			
D. Potential environmental benefits Will the project			
▪ apply new technology or equipment that will lead to cleaner energy? Renewable energy technology?			
▪ improve water and energy efficiency during operation processes?			
E. Does the company have occupational health and safety arrangements and procedures appropriate to the activity within the work area and surrounding communities?			(If yes, please give details.)
F. Are there environmental permits / approvals required, specific to the activity, such as EA approval, permits for discharge of wastewater, chemical storage, water extraction, air emissions, etc.?			(If yes, please describe, and ensure that compliance has been/can be achieved.)

OVERALL ENVIRONMENTAL IMPACT RATING - CATEGORIES <input type="checkbox"/> High Significance - A <input type="checkbox"/> Medium/Low Significance - B <input type="checkbox"/> Insignificant - C	Prepared by: (JVC/Staff) Name and Signature: _____ Designation: _____ Date: _____
	Approved by: (JVC Environment and Social Manager) Name and Signature: _____ Designation: _____ Date: _____

Social Safeguards Screening Checklist

SCREENING QUESTIONS	YES	NO	REMARKS
A. Involuntary Resettlement Impacts			
▪ Will land acquisition result in: (a) loss of housing and other non-land assets, or (b) loss of incomes/livelihoods?			Depending on significance of impacts, prepare a full or short resettlement plan (RP).
▪ Will access to common property resources (e.g. community facilities, public grazing lands, forest, etc.) be restricted by the construction?			If there is restricted access, such assets may need to be replaced or alternate routes acceptable to communities may be provided. Such measures will be outlined in the RP.
▪ Are there any non-titled people who live or earn their livelihood at the site or within the right-of-way?			If yes, prepare an RP.
▪ Will there be loss of housing?			If yes, prepare an RP.
▪ Will there be loss of agricultural plots?			If yes, prepare an RP.
▪ Will there be losses of crops, trees, and fixed assets?			If yes, prepare an RP.
▪ Will there be loss of businesses or enterprises?			If yes, prepare an RP.
▪ Will there be loss of incomes and livelihoods?			If yes, prepare an RP.
▪ Will any social or economic activities be affected by land use-related changes?			If yes, prepare an RP.
▪ If involuntary resettlement impacts are expected:			
– Are local laws and regulations compatible with ADB's Involuntary Resettlement policy?			If there are gaps, project-specific resettlement principles need to be incorporated in the RP.
– Will coordination between the sponsor and government agencies be required to deal with land acquisition?			If yes, institutional arrangements need to be described in the RP.
– Does the sponsor have sufficient skilled staff to undertake resettlement planning and implementation?			If no, capacity-building requirements need to be described in the RP or resettlement framework.
– Are training and capacity-building interventions required prior to resettlement planning and implementation?			
B. Indigenous Peoples (IP) / Scheduled Tribes (ST) Concerns			
▪ Identification of IPs/STs in the project area. Are there population groups who: <ul style="list-style-type: none"> – have been living in the project location before modern states or territories were created and before modern borders were defined? – maintain cultural and social identities separate from mainstream or dominant societies and cultures? – self-identify, or are identified by law or by others as part of a distinct indigenous cultural group or ethnic minority? 			If specific sites and impacts are not known but IPs/STs are present in the area, an Indigenous Peoples Framework is required. This will guide the preparation of Indigenous Peoples/Ethnic Minority Development Plans (IPDPs/EMDP).

SCREENING QUESTIONS	YES	NO	REMARKS
<ul style="list-style-type: none"> – have a linguistic identity different from that of the mainstream society? – have social, cultural, economic and political traditions and institutions distinct from the mainstream culture? – have economic systems oriented more towards traditional systems of production than towards mainstream systems? – maintain attachments to traditional habitats and ancestral territories and the natural resources in these habitats and territories? – have established a presence and separate social cultural identity? 			
▪ Do IPs/STs maintain distinctive customs or economic activities that may make them vulnerable to hardship?			If there are significant/adverse perceptible impacts on IPs/STs, prepare an IPDP/EMDP.
▪ Will the project restrict IPs/STs' economic and social activity and/or make them particularly vulnerable in the context of project?			If yes, prepare an IPDP/EMDP.
▪ Will the project change their socioeconomic and cultural integrity?			If yes, prepare an IPDP/EMDP.
▪ Will the project disrupt their community life?			If yes, prepare an IPDP/EMDP.
▪ Will the project positively affect their health, education, livelihood, or social security status?			If yes, prepare an IPDP/EMDP.
▪ Will the project negatively affect their health, education, livelihood, or social security status?			If yes, prepare an IPDP/EMDP.
▪ Will the project alter or undermine the recognition of their knowledge, preclude customary behaviors, or undermine customary institutions?			If yes, prepare an IPDP/EMDP.
▪ In the case that there is no disruption of indigenous community life as a whole, will there be loss of housing, strips of land, crops, trees, and/or other fixed assets owned or controlled by individual indigenous households?			If relocation is required, a combined IPDP/EMDP and RP may be prepared.

OVERALL SOCIAL SAFEGUARDS IMPACT RATING – CATEGORIES	Prepared by: (JVC/Staff)	
	Name and Signature: _____	
	Designation: _____	
	Date: _____	
<input type="checkbox"/> Significant Impact - A <input type="checkbox"/> Medium/Limited Impact - B <input type="checkbox"/> No impact - C	Approved by: (JVC Environment and Social Manager)	
	Name and Signature: _____	
	Designation: _____	
	Date: _____	

Outline of an Environmental Impact Assessment (EIA) Report

- A. Introduction
- B. Description of the Project
- C. Description of the Environment
- D. Alternatives
- E. Anticipated Environmental Impacts and Mitigation Measures
- F. Economic Assessment
- G. Environmental Management Plan
- H. Public Involvement and Disclosure
- I. Conclusions

A. Introduction

1. This section usually includes the following:

- (i) Purpose of the report, including: (a) identification of the project and its proponent; (b) brief description of the nature, size, and location of the project and its importance to the country; and (c) any other pertinent background information;
- (ii) Stage of project preparation (i.e. pre-feasibility study, feasibility study, detailed engineering design preparation, etc.);
- (iii) Extent of the environmental impact assessment (EIA) study, including the scope of the study, magnitude of effort, and persons/expertise or agency performing the study and corresponding person-months; and
- (iv) Brief outline of the contents of the report, including any special techniques or methods used for identifying issues, assessing impacts, and designing environmental protection measures.

B. Description of the Project

2. The project should be described in terms of its basic activities, location, layout, and schedule (in terms of the project cycle). This section of the EIA report should provide sufficient details on the following:

- (i) Type of project;
- (ii) Need for project;
- (iii) Location (use maps showing general location, specific location, project boundary and project site layout);
- (iv) Size or magnitude of operation, including any associated activities required by or for the project;
- (v) Proposed schedule for approval and implementation; and
- (vi) Description of the project including drawings showing project layout, components of project, etc.

3. This information should be of the same type and extent as is included in feasibility reports for proposed projects, in order to give a clear picture of the project and its operations.

C. Description of the Environment

4. This section contains a description of the study area to provide a clear picture of the existing environmental resources and values within which the impacts must be considered. Detailed methodology to gather information, including data sources, should also be briefly described. As much as possible, the

baseline information should be presented in maps, figures, and tables. The baseline environmental information area should include:

- (i) **Physical resources** (e.g.): atmosphere (e.g. air quality and climate), topography and soils, surface water, groundwater, geology/ seismology;
- (ii) **Ecological resources** (e.g.): fisheries, aquatic biology, wildlife, forests, rare or endangered species, protected areas, coastal resources
- (iii) **Economic development** (e.g.): industries; infrastructure facilities (e.g. water supply, sewerage, flood control); transportation (roads, harbors, airports, and navigation); land use (e.g. dedicated area uses); power sources and transmission; agricultural development, mineral development, and tourism facilities; and
- (iv) **Social and cultural resources** (e.g.): population and communities (e.g. numbers, locations, composition, employment); health facilities; education facilities; socio-economic conditions (e.g. community structure, family structure, social well being); physical or cultural heritage; current use of lands and resources for traditional purposes by Indigenous Peoples; structures or sites that are of historical, archaeological, paleontological, or architectural significance.

D. Alternatives

5. The consideration of alternatives is one of the more proactive aspects of environmental assessment - enhancing the project design through examining options instead of only focusing on the more defensive task of reducing adverse impacts of a single design. This calls for the systematic comparison of feasible alternatives for the proposed project site, technology, and operational alternatives. Alternatives should be compared in terms of their potential environmental impacts, capital and recurrent costs, suitability under local conditions, and institutional, training and monitoring requirements. For each alternative, the environmental costs and benefits should be quantified to the extent possible, economic values should be attached where feasible, and the basis for the selected alternative should be stated.

6. Examining alternative means of carrying out a project involves answering the following three questions: (i) what are the alternatives?; (ii) what are the environmental impacts associated with each alternative?; and (iii) what is the rationale for selecting the preferred alternative? For example, a road connecting two points can follow a number of different routes. In this case, the EIA report must describe the process taken to select the most appropriate route based on a set of pre-determined criteria. The consideration of alternatives and the selection criteria used to identify the preferred alternatives must include environmental factors. The information going into the decision and the decision-making process must be documented in the EIA report. For example, if "alternative means" refers to site selection for a large hydroelectric dam, the location of each alternative would have to be described, the environmental impacts of each alternative defined and the criteria and analysis of site selection presented.

7. Since the selection of alternatives can involve detailed technical analysis that includes more than just environmental factors, it may be preferable to present the details of this analysis as an appendix and include only the results and summary of this selection process in the body of the report. For example, a table listing the alternatives on one axis, and the criteria, such as reliability, cost, performance, inherent environmental effects, and necessary mitigation measures, on the other axis may provide an effective summary.

8. **Alternatives to the project.** In some instances it will be necessary to consider "alternatives to" the project. The EIA report should describe how the project fits into this larger strategic planning context. This context helps justify the project and demonstrates the requirements that may constrain the alternatives that are feasible or permitted.

9. However, in the case of potentially controversial projects, there may be public concern that the project does not represent the best way to achieve stated development objectives. In addition, segments of the public may react negatively if they perceive that the EIA report has not considered alternatives to the project, or the preferred alternative is proceeding based on flawed assumptions. Therefore, if controversy is expected surrounding the fundamental reasons for the project, the EIA report should include a discussion of alternatives to the project.

10. One alternative that should receive special attention is the "no go" alternative. In some cases, this may be the only alternative to the project that can be realistically considered.

E. Anticipated Environmental Impacts and Mitigation Measures

11. **Review characteristics of each environmental impact.** This section will evaluate the project's expected impacts (in as quantified terms as possible) on each resource or value, and applicable sectoral environmental guidelines wherever any significant impact is expected (including environmental risk assessment, where appropriate). Environmental impacts to be investigated will include those: (i) due to project location; (ii) caused by possible accidents; (iii) related to design; and (iv) during construction, regular operations, and final decommissioning or rehabilitation of a completed project. Where adverse effects are indicated, discuss measures for minimizing and/or offsetting these, and opportunities for enhancing natural environmental values will be explored. Both direct and indirect effects will be considered, and the region of influence indicated. This analysis is the key presentation in the report and if not sufficiently completed it may be necessary to delay the project until the analysis can be completed. It is necessary to present a reasonably complete picture of both the human use and quality of life gains to result from the project due to the utilization, alteration, and impairment of the natural resources affected by the project, so that fair evaluation of the net worth of the project could be made.

12. **Mitigating adverse effects.** For each significant adverse environmental impact, the report will carefully explain how the project plan/design minimizes the adverse effects and in addition how the project plan/design, to the extent feasible, includes provision for offsetting or compensating of adverse effects and for positive enhancement of benefits or environmental quality. Where substantial cost of mitigation measures is involved, alternative measures and costs will be explored.

13. **Irreversible and irretrievable impacts.** The EIA report will identify the extent to which the proposed project would irreversibly curtail the potential uses of the environment. For example, highways that cut through stream corridors, wetlands, or a natural estuary can result in irretrievable damage to those sensitive ecosystems. Other impacts that may be irreversible include alteration of historic sites, and expenditure of construction materials and fuels. Also, projects through estuaries, marshes, etc., may permanently impair the area's natural ecology; or elimination of recreation areas and parklands can precipitate drastic changes in the project area's social and economic character.

14. **Temporary effects during project construction.** In the event the construction phase of the project involves special environmental impacts (to be terminated on completion of construction), these will be separately discussed including proposed remedial measures.

F. Economic Assessment

15. This section may be drawn from the economic analysis conducted as part of the project feasibility study. It should include the following elements which should be integrated into the overall economic analysis of the project: (i) costs and benefits of environmental impacts; (ii) costs, benefits, and cost-effectiveness of mitigation measures; and (iii) discussion of impacts that have not been expressed in monetary values, in quantitative terms where possible (e.g. weight of volume estimates of pollutants).

G. Environmental Management Plan

16. The environmental management plan (EMP) describes how the mitigation and other measures to enhance the benefits of environmental protection will be implemented. It explains how the measures will

be managed, who will implement them, and when and where they will be implemented. The following elements should be described in the EMP: (i) implementation of mitigation measures during project design; (ii) implementation of mitigation measures by contractors, and how impact prevention will be incorporated in the materials procurement; (iii) social development program (e.g., resettlement plan, community training, etc.); (iv) contingency response plan for natural or other disasters, and project contingencies; and (v) environmental management and monitoring costs including mitigation costs.

17. The environmental monitoring plan describes the monitoring activities to ensure that adverse environmental impacts will be minimized, and the EMP implemented. The environmental monitoring plan will cover selected parameters to indicate the level of environmental impacts. It also describes how, when, and where the monitoring activities will be undertaken; who will carry them out; and who should receive the monitoring report. More importantly, it includes a proposal to carry out environmental compliance monitoring activities. The present capacity of the investee to implement the EMP should be described and implementation costs clearly identified.

H. Public Consultation and Information Disclosure

18. This section will: (i) describe the process undertaken to involve the public in project design and recommended measures for continuing public participation; (ii) summarize major comments received from beneficiaries, local officials, community leaders, NGOs, and others, and describe how these comments were addressed; (iii) list milestones in public involvement (e.g. dates, attendance, topics of public meetings), and recipients of the report and other project-related documents; (iv) describe compliance with relevant regulatory requirements for public participation; (v) if possible summarize public acceptance or opinion on the proposed project; and (vi) describe other related materials or activities (e.g. press releases, notifications, etc.) as part of the effort to gain public participation. This section will provide a summary of information disclosed to-date, and procedures for future disclosure.

I. Conclusions

19. The EIA report will present the conclusions of the study including: (i) gains which justify project implementation; (ii) explanation of how adverse effects could be minimized or offset, and compensated to make these impacts acceptable; (iii) explanation of use of any irreplaceable resources; and (iv) provisions for follow-up surveillance and monitoring.

Outline of an Initial Environmental Examination (IEE) Report

- A. Introduction
- B. Description of the Project
- C. Description of the Environment
- D. Screening of Potential Environmental Impacts and Mitigation Measures
- E. Institutional Requirements and Environmental Monitoring Plan
- F. Public Consultation and Information Disclosure
- G. Findings and Recommendation
- H. Conclusions

A. Introduction

1. This section usually includes the following:
 - (i) Purpose of the report, including: (a) identification of the project and project proponent; (b) brief description of the nature, size, and location of the project and of its importance to the country; and (c) any other pertinent background information; and
 - (ii) Extent of the IEE study: scope of study, magnitude of effort, person or agency performing the study, and acknowledgement.

B. Description of the Project

2. Furnish sufficient details to give a brief but clear picture of the following (include only applicable items):
 - (i) Type of project;
 - (ii) Category of project;
 - (iii) Need for project;
 - (iii) Location (use maps showing general location, specific location, and project site);
 - (iv) Size or magnitude of operation;
 - (v) Proposed schedule for implementation; and
 - (vi) Descriptions of the project, including drawings showing project layout, and project components.
3. This information should be of the same type and extent as is included in feasibility reports for proposed projects to give a clear picture of the project and its operations.

C. Description of the Environment

3. Furnish sufficient information to give a brief but clear picture of the existing environmental resources in the area affected by the project, including the following (to the extent applicable):
 - (i) **Physical resources** (e.g.): atmosphere (e.g. air quality and climate), topography and soils, surface water, groundwater, geology / seismology;
 - (ii) **Ecological resources** (e.g.): fisheries, aquatic biology, wildlife, forests, rare or endangered species, protected areas, coastal resources
 - (iii) **Economic development** (e.g.): industries; infrastructure facilities (e.g. water supply, sewerage, flood control); transportation (roads, harbors, airports, and navigation); land use

(e.g. dedicated area uses); power sources and transmission; agricultural development, mineral development, and tourism facilities; and

- (iv) **Social and cultural resources** (e.g.): population and communities (e.g. numbers, locations, composition, employment); health facilities; education facilities; socio-economic conditions (e.g. community structure, family structure, social well being); physical or cultural heritage; current use of lands and resources for traditional purposes by Indigenous Peoples; structures or sites that are of historical, archaeological, paleontological, or architectural significance.

D. Screening of Potential Environmental Impacts and Mitigation Measures

4. Using the checklist of environmental parameters for different sector projects, this section will screen out “no significant impacts” from those with significant adverse impact by reviewing each relevant parameter in the EA checklist. Mitigation measures, where appropriate, will also be recommended to address environmental problems arising due to project location, and related to project design, construction, and operations. Potential environmental enhancement measures and additional considerations will also be covered.

E. Institutional Requirements and Environmental Monitoring Plan

5. This section should state the impacts to be mitigated, and activities to implement the mitigation measures, including how, when, and where they will be implemented. Institutional arrangements for implementation should be described. The environmental monitoring plan will describe the impacts to be monitored, and when and where monitoring activities will be carried out, and who will carry them out. The environmental management and monitoring costs should also be described.

F. Public Consultation and Information Disclosure

6. This section will describe the process undertaken to involve the public in project design and recommended measures for continuing public participation; summarize major comments received from beneficiaries, local officials, community leaders, NGOs, and others, and describe how these comments were addressed; list milestones in public involvement such as dates, attendance, and topics of public meetings; list recipients of this document and other project-related documents; describe compliance with relevant regulatory requirements for public participation; and summarize other related materials or activities, such as press releases and notifications. This section will provide a summary of information disclosed to-date, and procedures for future disclosure.

G. Findings and Recommendations

7. This section will include an evaluation of the screening process and recommendation will be provided whether significant environmental impacts exist needing further detailed study or EIA. If there is no need for further study, the IEE itself, which at times may need to be supplemented by a special study in view of limited but significant impacts, becomes the completed environmental assessment for the project and no follow-up EIA will be needed. If an EIA is needed, then this section will include a brief terms of reference (TOR) for the needed follow-up EIA, including approximate descriptions of work tasks, professional skills required, time required, and estimated costs. The Bank's Environment Guidelines provides a guide for preparing the TOR for different projects.

H. Conclusions

8. This section will discuss the result of the IEE and justification, if any, of the need for additional study or EIA. If an IEE, or an IEE supplemented by a special study, is sufficient for the project, then the IEE with the recommended institutional and monitoring program becomes the completed EIA.

Annotated Outline of a Full Resettlement Plan (RP)

A. Executive Summary

1. An executive summary is a succinct report on the key aspects of the resettlement plan. It should cover the salient points in the resettlement plan.

B. Project Description

- (i) General description of the project, discussion of project components that result in land acquisition or involuntary resettlement or both, and identification of the project area.
- (ii) Description of alternatives considered to avoid or minimize resettlement. Include a table with quantified data and provide a rationale for the final decision and why remaining effects are unavoidable.
- (iii) State the main objectives of the RP.
- (iv) For clarity, please also indicate whether the project is based on a feasibility study and state the arrangements for updating the RP after detailed technical/engineering design and detailed measurement survey and submission ADB for review and approval.

C. Scope of Land Acquisition and Resettlement

- (i) Discuss the potential impacts of the project. Include maps of the areas or zone of impact of such components or activities.
- (ii) Describe scope of land acquisition (use maps), and why it is necessary for the main investment project.
- (iii) Summarize the key effects in terms of assets acquired and affected persons, including a table.
- (iv) Provide details of any common property resources.
- (v) Describe the consultation process with agencies responsible for land acquisition and resettlement.
- (vi) Briefly discuss the national legal framework for land acquisition including an overview of the laws, regulations and guidelines that apply to land acquisition and resettlement. Include procedural requirements, and timelines.
- (vii) **Core tables to be prepared for this section:**
 - a. Summary of land acquisition requirements and involuntary resettlement impacts of all project components
 - b. Summary of affected persons by category and severity of impacts:
 - 1. Affected persons: total number of households and total population
 - 2. Type of impacts: loss of land, structure, businesses, crops and trees, community property resources, and other categories of losses
 - 3. Severity of impacts: permanent or temporary; full or partial loss of structures/land, including number of people requiring relocation; summary of affected lands by tenure status and land use type (agricultural, commercial, residential, communal forest, etc.)
 - c. Summary of affected structures: land tenure status, and structure type / materials / size

D. Socioeconomic Information/Profile

2. The socioeconomic survey, while providing data, should be accompanied by a careful analysis/impact assessment disaggregated by gender, vulnerability, and other social groups.

- (i) Define, identify and enumerate the people to be affected.
- (ii) Describe the likely impact of land and asset acquisition on the people affected, taking into account social, cultural and economic parameters; prepare disaggregated tables.
- (iii) Discuss project impacts on the poor, indigenous/ethnic minorities, and other vulnerable groups.
- (iv) Identify gender and resettlement impacts. Identify the socio-economic situation, impacts, needs, and priorities of women. (Reference: Gender and Resettlement Checklist, 2003. Available from ADB website http://www.adb.org/Documents/Manuals/Gender_Checklists/Resettlement/default.asp.)
- (v) **Core tables to be prepared for this section:**
 - a. Socioeconomic profile of the affected persons disaggregated by gender
 - b. Vulnerability and risk analysis

E. Information Dissemination, Consultation, Participatory Approaches, and Disclosure Requirements

- (i) Identify project stakeholders, specifically primary stakeholders.
- (ii) Describe the mechanisms for consultation to be conducted during the different stages of the project cycle.
- (iii) Describe the activities undertaken to disseminate information.
- (iv) Summarize the results of consultations with affected persons (including host communities) and discuss how concerns raised and recommendations made were addressed in the RP and project design.
- (v) Confirm disclosure of draft resettlement plan to affected people and include arrangements to disclose any subsequent plans.
- (vi) **Core tables to be prepared for this section:**
 - a. Public consultation and disclosure plan
 - b. Summary of concerns raised and recommendations made during consultations disaggregated by stakeholder groups

F. Grievance Redress Mechanisms

- (i) Mechanisms for resolution of conflicts and appeals procedures.
- (ii) Describe the grievance redress framework (informal and formal channels) that will be put in place by the project proponent setting out the time frame and mechanisms for resolution of complaints about resettlement.

G. Policy and Legal Framework

- (i) Describe the national and local laws and policies that apply to the project and prepare a gap analysis indicating how the gaps will be addressed.
- (ii) Describe the principles, legal and policy commitments from the project sponsor for different categories of project impacts. Describe the principles and methodologies used for determining valuation and compensation rates at replacement costs for assets, incomes and livelihoods. Describe compensation and assistance eligibility criteria, and how and when compensation will be paid.
- (iii) Describe the land acquisition process and prepare a schedule for meeting key procedural requirements.

- (iv) **Core tables/flowcharts to be prepared for this section:**
 - a. Legislative gap analysis: comparison of ADB's Involuntary Resettlement Policy and country legal frameworks and proposed measures to bridge the gap
 - b. Flowchart of the Land Acquisition Process with outputs and timelines

H. Entitlements

- (i) Define entitlement and eligibility of affected persons. Ensure all resettlement assistance, including transaction costs, are included.
- (ii) Assistance to vulnerable groups and other special groups should be included.
- (iii) **Core table to be prepared for this section:** entitlement matrix

I. Relocation of Housing and Settlements

- (i) Description of options for relocation of housing and other structures, including replacement housing, replacement cash compensation, and/or self-selection. Ensure gender concerns and support to vulnerable groups are identified and integrated when preparing replacement housing programs.
- (ii) Description of the alternative relocation sites considered, community consultations conducted, and justification for selected sites, including details on location, environmental assessment of site, and development needs.
- (iii) Timetables for site preparation and transfer. Measures to assist with transfer and establishment at new sites.
- (iv) Legal arrangements to regularize tenure and transferring titles to resettlers, including provision of joint titles as well as plot allocation to adult children as relevant.
- (v) Transition housing should be avoided.
- (vi) Ensure location-specific considerations to protect livelihood access to public services, etc.
- (vii) Plans to provide civic infrastructure.
- (viii) Integration with host populations.

J. Income Restoration and Rehabilitation

- (i) Identify livelihood risks, prepare disaggregated tables based on demographic data and sources of livelihood.
- (ii) Description of income restoration programs; include multiple options to restore all types of livelihoods. A few examples include:
 - a. Project benefit-sharing
 - b. Revenue sharing arrangements
 - c. Joint-stock for equity contributions such as land
- (iii) Discuss sustainability and safety nets.
- (iv) Social safety net through social insurance / project special funds.
- (v) Special measures to support vulnerable groups.
- (vi) Gender considerations.
- (vii) Training programs should be supported by skills analysis and needs assessment.
- (ix) **Core tables to be prepared for this section:**
 - a. Livelihood restoration plans with itemized budgets and multiple options
 - b. List of training programs and affected persons' preferences
 - c. Employment opportunities

K. Resettlement Budget and Financing Plan

- (i) Itemized budget for all resettlement activities, including budget for resettlement unit, staff training, monitoring and evaluation, and preparation of RPs during investment implementation.
- (ii) Describe the flow of funds. The annual resettlement budget should show the budget-scheduled expenditure for key items.
- (iii) Include a justification for all assumptions made in calculating compensation rates and other cost estimates (taking into account both physical and cost contingencies), plus replacement value.
- (iv) Include information about the source of funding for the RP budget.
- (v) **Core tables to be prepared for this section:**
 - a. Detailed cost estimate and budget for all resettlement activities (the budget table should identify the source(s) of funding by putting each source under one column)
 - b. Flowchart: flow of funds showing source of financing and timing, particularly in the context of legal requirements.

L. Implementation Schedule

- (i) Include a detailed, time-bound, implementation schedule for all key resettlement and rehabilitation activities. (The schedule should be synchronized with the project's schedule of civil works construction).
- (ii) **Core tables to be prepared for this section:**
 - a. Implementation schedule covering all aspects of resettlement activities synchronized with civil works awards construction
 - b. Land acquisition process and timeline: Gantt chart

M. Institutional Framework for Resettlement

- (i) Main tasks and responsibilities of the groups responsible for resettlement preparation, implementation and monitoring should be described, including skills and number of staff.
- (ii) Assessment of the institutional capacity of such agencies. Arrangements to build, including technical assistance, if required. Availability of logistics, finance, staff, and other necessary hardware.
- (iii) Role of NGOs, if involved, and organizations of affected persons in resettlement planning and management. Involvement of women's groups in resettlement planning, management and operations, job creation and income generation. Arrangements to hire female staff by the resettlement agency to work with and assist women in all aspects of resettlement activities, including planning and implementation of income restoration programs.
- (iv) **Core table to be prepared for this section:** matrix of roles and responsibilities of government agencies and other organizations involved in resettlement planning and implementation

N. Monitoring and Evaluation

- (i) **Internal monitoring and evaluation:** Arrangements to monitor resettlement implementation (including indicators). Describe institutional arrangements, logistics, staff, skills, timelines, and budget allocated.
- (ii) **External monitoring and evaluation:** Arrangements to hire an external monitor. Ensure participation of affected people in internal and external monitoring and evaluation. Describe competencies, reporting arrangements, and timelines.

Outline of an Indigenous Peoples Plan

A. Background and Context

- (i) The project and project components
- (ii) Brief description of indigenous peoples/ethnic minorities (IP/EM) in the relevant project country
- (iii) Relevant legal framework
- (iv) Baseline data of IP/EM:
 - a. Maps of the area of project influence and the areas inhabited by IP/EM
 - b. Analysis of the IP/EM social structure and income sources
 - c. Inventories of the resources used by IP/EM, and technical data on their production systems
 - d. Information on cultural practices and patterns
 - e. Relationships of IP/EM to other local/national groups
- (v) Key positive project impacts on IP/EM
- (vi) Key negative project impacts on IP/EM

B. Objectives of the IPDP

- (i) Explain how ADB policy on indigenous peoples will be achieved

C. Development and/or Mitigation Activities

- (i) Describe detail of development activities
- (ii) Describe detail of mitigation activities

D. Strategy for IP/EM Participation

- (i) Describe mechanism for participation by IP/EM in planning, implementation, and evaluation
- (ii) Describe procedures for redress of grievances by IP/EM

E. Institutional Arrangements

- (i) Identify main tasks and responsibilities in planning, managing, and monitoring development, and/or mitigation activities
- (ii) Identify role of NGOs or IP/EM organizations in implementing the development and/or mitigation activities

F. Budget and Financing

- (i) Identify development and/or mitigation activity costs and funding resources

G. Supervision, Monitoring, and Evaluation

- (i) Specify arrangements for supervision, monitoring, and evaluation
- (ii) Implementation strategy and schedule
- (iii) Prepare a plan for internal monitoring of the targets of the major development and/or mitigation activities

Outline of a Short Resettlement Plan

A. Executive Summary

B. Scope of Land Acquisition and Resettlement

- (i) Alternative options, if any, considered to minimize land acquisition and its effects, and why the remaining effects are unavoidable
- (ii) Summary of key effects in terms of land acquired, assets lost, numbers of people affected, and socioeconomic data

C. Objectives, Policy Framework, and Entitlements

- (i) Comparison of host country's policy and legal framework for land acquisition and resettlement (LAR) with the ESMS and ADB's policy requirements
- (ii) Measures proposed to bridge the gap between ADB's and host country laws and policies
- (iii) Eligibility policy and entitlement matrix for all categories of loss, including compensation rates at replacement costs

D. Gender Impact and Mitigative Measures

- (i) Identify socioeconomic conditions, needs, and priorities of women
- (ii) Include measures to ensure that process of land acquisition and resettlement does not disadvantage women and that land/house titles should be in the name of both spouses

E. Consultation, Participatory Approaches, and Disclosure Requirements

- (i) Identification of project stakeholders
- (ii) Disclosure of project information
- (iii) Consultations for determining principles
- (iv) Mechanisms for stakeholder participation in planning, implementation, and monitoring and evaluation
- (v) Disclosure of RP to people affected
- (vi) Local institutions or organizations to support people affected
- (vii) Potential role of NGOs, women's groups, and community-based organizations

F. Grievance Redress Mechanisms

- (i) Mechanisms for resolution of conflicts and appeals procedures

G. Compensation, Relocation, and Income Restoration

- (i) Arrangements for valuing and disbursing compensation
- (ii) Arrangements for housing relocation (transfer, re-establishment, and integration with host populations)
- (iii) Income restoration measures

H. Institutional Framework

- (i) Main tasks and responsibilities in planning, managing, and monitoring LAR
- (ii) Ensure that: (i) women's groups are involved in resettlement planning, management and operations, job creation and income generation; and (ii) female staff should be hired by

the resettlement agency to work with and assist women in all aspects of resettlement activities.

I. Resettlement Budget and Financing

- (i) LAR costs and funding sources including arrangements for timely disbursement to affected persons

J. Implementation Schedule

- (i) Time-bound actions for projected activities to ensure that people affected are compensated and assisted before award of civil works contracts

K. Monitoring and Evaluation

- (i) Arrangements for monitoring and evaluation
- (ii) Impact on women to be monitored and evaluated separately

Suggested Scope for Environmental Monitoring Report

A. Project/Business Name and Summary Information

- (i) Location of project/business
- (ii) Nature
- (iii) Scale/size
- (iv) Date of construction/operation commencement

B. Relevant Environmental Permits or Compliance Certificates

- (i) Issued by which government agencies
- (ii) Issuance dates and duration of validity
- (iii) Permit conditions and renewal requirements

C. Incidents of Violations or Non-Compliance

- (i) Nature of non-compliance
- (ii) Violation or non-compliance based on what environmental standards and regulations
- (iii) Recorded dates and authorities
- (iv) Media or community reactions (if any)

D. Incidents of Environmental and Safety Accidents

- (i) Incident recorded dates,
- (ii) Scale of damage and injury (if any)
- (iii) Authorities in charge of investigation/recording
- (iv) Media or community reactions (if any)

E. Environmental Capacity

- (i) Staff capacities in environmental management (as relevant)
- (ii) Degree of awareness of: (i) environmental management, (ii) health and safety, (iii) environmental laws and regulations
- (iii) Training programs carried out
- (iv) Needs assessment of environmental management capacity

F. Stakeholder Consultation

- (i) Details of consultations, if any, with local communities, nongovernmental organizations, civil society groups, and other stakeholders, including affected people

G. Compliance With Environmental Qualities and Standards (national and international, as relevant)

- (i) Air
- (ii) Water (surface and ground water)
- (iii) Waste generation and management
- (iv) Noise and vibration
- (v) Other

Outline of a Social Safeguards Monitoring Report

A. Introduction

- (i) Brief project description
- (ii) List of project components with resettlement and ethnic minority impacts

B. Physical Progress of Projects with Resettlement and Indigenous Peoples/Ethnic Minority (IP/EM) Impacts

- (i) Engineering progress
- (ii) Ground clearing, land acquisition and structure demolition progress

C. Resettlement and/or Ethnic Minority Development Implementation Scope

- (i) Determination of actual scope of land acquisition and resettlement
- (ii) Determination of actual impacts to IPs/EMs
- (iii) Difference from scope of impacts from the Resettlement Plan (RP) or Indigenous Peoples Plan (IPP)/Ethnic Minority Development Plan (EMDP)

D. Institutional Arrangements

- (i) Key organizations involved in RP and or IPP/EMDP implementation
- (ii) Progress on activities implemented by other organizations
- (iii) Specific implementation arrangements for EMs

E. Compensation Rates, Payment and Assistance Delivery

- (i) Compensation rates for land, resettlement subsidies, standing crops, and trees
- (ii) Compensation for buildings and allowances for relocation
- (iii) Allocation and utilization of resettlement compensation
- (iv) Payment delivery to affected village groups and individuals
- (v) Assistance delivery to affected IPs/EMs

F. Status of Land Acquisition, Resettlement, and Reconstruction

- (i) Housing relocation and reconstruction
- (ii) Provision of replacement agricultural/commercial land
- (iii) Restoration of affected public infrastructure and facilities
- (iv) Restoration of land used for construction-related activities
- (v) Implementation progress of income restoration activities
- (vi) Support to vulnerable groups
- (vii) Implementation progress of specific measures for affected IPs/EMs

G. Consultation and Disclosure Activities and Grievance Procedures

- (i) Consultations on compensation standards and fees, relocation options, etc.
- (ii) Specific consultations conducted with IPs/EMs on the project, its impacts and assistance to IPs/EMs
- (iii) Grievances received and actions taken to address them

H. Problems and Future Work Plan

- (i) Problems encountered and solutions provided
- (ii) Future work plan (staffing, training, and work schedules)

ANNUAL ENVIRONMENTAL AND SOCIAL PERFORMANCE REPORT
FOR
[JVC's NAME]

Reporting Period: (month/year) through (month/year)
Report Completion Date: (month/day/year)

I. INTRODUCTION

1. JVC's investment profile and description of sub-project(s)/activity(ies) financed.
2. The purpose of the Environmental and Social Performance Report (ESPR) is to report on implementation of the agreed Environmental and Social Management System (ESMS) and applicable environmental management practices for sub-project(s)/activity(ies). The annual ESPR encompasses implementation by (name of JVC) of all phases of the sub-project(s)/activity(ies). It includes:
 - (i) Contact information for responsible individuals;
 - (ii) Compliance by (JVC) with applicable environmental requirements for the sub-project(s)/activity(ies);
 - (iii) Environmental and social aspects of sub-project(s)/activity(ies) under implementation;
 - (iv) Occupational health and safety performance and significant incidents; and
 - (v) Sustainable development initiatives and community relations.

II. ENVIRONMENTAL AND SOCIAL MANAGEMENT

A. ESPR Preparer

Report prepared by:	(name and title)
Telephone:	E-mail:
Signature:	Report date:

B. Environmental and Social Responsibility

3. The individual(s) below hold responsibility for environmental and social performance in the sub-project(s)/activity(ies) financed by the JVC:

(Senior) Manager(s) with responsibility for environment and social matters (name and title)

C. Environmental and Social Management

4. [Confirm the continuous assignment of a suitably qualified individual(s) who is/are responsible for implementing the ESMS, and monitoring and reporting on environmental and social management practices and compliance issues of the sub-project(s)/activity(ies).]
5. [Describe the current environmental and social management assignment and deployment of staff and procedural capacity for oversight over specific sub-project(s)/activity(ies) and their compliance with relevant safeguard requirements.]

III. COMPLIANCE BY JVC WITH THE ENVIRONMENTAL AND SOCIAL REQUIREMENTS AS SPECIFIED IN THE SHAREHOLDERS' AGREEMENT

A. Compliance with Country Requirements

6. [Describe how overall sub-project(s)/activity(ies)' operations are in compliance with applicable national and local environmental, occupational health and safety laws and regulations.]
7. [Describe any instance of inspection or review of environmental and safety compliance provisions for the sub-project(s)/activity(ies), and occasions of non-compliance in which significant fines or penalties have been imposed, operations closed down, or other actions related to sub-project(s)/activity(ies)' performance.]

8. [Highlight any new or emerging environmental issues, such as pending regulations, that could affect the environmental performance of sub-project(s)/activity(ies).]

B. Compliance with ADB's Safeguards Requirements

9. [Describe how overall sub-project(s)/activity(ies) are currently in compliance with relevant ADB environmental and social policies and guidelines.]

IV. PROGRESS OF ONGOING SUBPROJECTS/ACTIVITIES

A. Investment Pipeline

10. [Provide a list reflecting the forthcoming investment pipeline and identify which projects are expected to have environment, involuntary resettlement, and indigenous peoples/ethnic minority impacts. Describe the status of preparation of environmental and social assessments conducted, including the preparation of resettlement plans and indigenous peoples plans as required. If prior land acquisition and resettlement were undertaken, describe the process and indicate if there are outstanding issues that may undermine the project and pose a reputational risk to the JVC and to ADB.]

B. Active Investments

1. Environmental Progress

11. [Provide a summary of the progress of implementation of the sub-project(s)/activity(ies), including description, status, and completion timetable for environment-related items. Describe the status of permits and approvals. Summary information should include:

- (i) Overview of the sub-project(s)/activity(ies), including progress against schedule;
- (ii) Design changes to the sub-project(s)/activity(ies) adopted during the reporting period and reasons for those changes;
- (iii) Environmental issues and complaints arising during the reporting period;
- (iv) Information on any unanticipated environmental impacts, and remedial actions that have been taken;
- (v) Any unresolved environmental issues or grievances; and
- (vi) Status of compliance with environmental requirements (national, local, ADB or instances of non-compliance.)

2. Social Progress

12. [Provide a summary of the progress of implementation of the sub-project(s)/activity(ies), including description, status, and completion timetable for social-related items. Summary information should include:

- (i) Overview of the sub-project(s)/activity(ies) including progress against schedule;
- (ii) Alternative designs considered to avoid or minimize involuntary resettlement impacts and impacts to indigenous peoples/ethnic minorities;
- (iii) Social issues and complaints arising during the reporting period;
- (iv) Information on any unanticipated impacts, and remedial actions that have been taken;
- (v) Any unresolved social issues or grievances; and
- (vi) Status of compliance with social requirements (national, local, Strategic Investors') or instances of non-compliance.]

V. SUMMARY OF SAFETY PERFORMANCE AND ANY CORRECTIVE ACTIONS

13. [Provide a summary for the overall sub-project(s)/activity(ies) of the following:

- (i) Worker health and occupational safety: describe status of worker health and safety programs and training, any work-related accidents at the sub-project(s)/activity(ies) sites, actions taken to reduce accidents, etc.
- (ii) Accidents, fires, and other emergencies: provide a summary of any significant accidents, fires, or explosions, or major accidental releases to the environment. Include response measures taken and any improvements made to equipment or procedures as a result.]

VI. SUSTAINABLE DEVELOPMENT INITIATIVES AND COMMUNITY RELATIONS

14. [Describe any initiatives undertaken by the JVC to improve environmental performance in its activities or at the corporate level. Describe progress in formulating and implementing sustainable development initiatives in its operations. Describe any outreach or cooperative programs with the community, NGOs, etc. in the sub-project(s)/activity(ies) areas.]