



**Sistemi i Menaxhimit Mjedisor dhe Social (ESMS)
i Fondit Global Klimatik Nënkombëtar**

DRAFT [2 March 2020]

PËRMBAJTJA

LISTA E AKRONIMEVE

1 HYRJE

2 SNCF GLOBAL - POLITIKA MJEDISORE DHE SOCIALE

3 SISTEMI I MENAXHIMIT MJEDISOR DHE SOCIAL (ESMS) - QËLLIMI DHE ZBATUESHMËRIA

4 ORGANIZIMI DHE PËRGJEGJËSITË

5 SHQYRTIMI DHE KATEGORIZIMI I RREZIKUT TË MUNDSHËM

6 PROJEKT TË ZHVILLIMIT / MARRDHËNIET ME SEKTORIN BANKAR

7 NDERSHMËRIA PËR SHKAK TË INVESTIMEVE

8 MARRËVESHJA E INVESTIMEVE DHE VEPRIMET KORRIGJUESE PËR TË ARRITUR PAJTUESHMËRINË

9 MONITORIMI, MBIKËQYRJA, RAPORTIMI

10 REGJISTRIME, DOKUMENTIM DHE KONTROLL I CILËSISË

11 RAPORTE VJETORE TË MONITORIMIT (AMR)

SHTOJCA 1: LISTA GLOBALE E PËRJASHTIMEVE SNCF

SHTOJCA 2: STANDARDET E PERFORMANCËS SË IFC

SHTOJCA 3: LISTAT E KONTROLLIT TREGUES GJATË KUJDESIT TË DUHUR: KONTRAKTORËT / PARTNERËT E PROJEKTIT

SHTOJCA 4: FORMA E KËSHILLTARËVE PËR NJË SHQYRTIM TË E&S

SHTOJCA 5: MBLEDHJA E LISTAVE TË KONTROLLIT PËR MBLEDHJEN (I) VAZHDO / JO DHE (II) TAKIMI PËRFUNDIMTAR I VENDIMIT PËR INVESTIME

SHTOJCA 6: LISTAT E KONTROLLIT TË STANDARDEVE TË PERFORMANCËS

SHTOJCA 7: FORMATI I PËRMBLEDHJES SË RISHIKIMIT MJEDISOR DHE SHOQËROR (ESRS)

SHTOJCA 8: SHEMBULLI I PLANIT TË VEPRIMIT MJEDISOR DHE SOCIAL (ESAP)

SHTOJCA 9: FORMATI I RAPORTIT VJETOR GLOBAL TË MONITORIMIT
TË SNCF INVESTITORËVE

SHTOJCA 10: LISTA E SNCF GLOBALE E KONSULENTËVE TË JASHTËM (QË DUHET TË
PLOTËSOHET)

SHTOJCA 11: MEKANIZMI GLOBAL I ANKESAVE SNCF NË NIVELIN E FONDEVE

SHTOJCA 12: MEKANIZMI GLOBAL I ANKESAVE SNCF NË NIVELIN E PROJEKTIT

SHTOJCA 13: FLETA E INFORMACIONIT GLOBAL PËR PROJEKTIN SNCF (QË DO TË
PËRFUNDOJË)

SHTOJCA 14: TEMLIMI I SHQYRTIMIT PERIODIK TË ESMS GLOBAL SNCF (QË DO TË
PËRFUNDOJË)

SHTOJCA 15: PLANI GLOBAL I ZBATIMIT I ESMS I SNCF (QË DUHET TË
PËRFUNDOJË) 68

SHTOJCA 16 : Korniza e Angazhimit të SNCF-it LOBAL GJYQSOR
DHE STRATEGJIA E VAZHDIMIT TT PRGJITHSHME TAKE ANKESAVE T ANKESAVE 70

SHTOJCA 17 : G lobal SNCF Veprimit për Zhvendosje PLAN, PLANI jetesën Restaurimi A ND
indigjene PEOPLE'S KUADRI 74

SHTOJCA 18 : KUSHTET e SNCF-it LOBAL TF REFERENC FORS P FORR BIODIVERSITETIN OSE
PLANIN E MENAXHIMIT TRE ZONS S PRO MBROJTSISHME 81

LISTA E AKRONIMEVE

Raporti Vjetor i Monitorimit të AMR -së
Mbështetje e Komunitetit të gjerë BCS
BTOR Kthehu tek Raporti i Zyrës
PKD Com Plani Zhvillimor bashkësie
Konventa CITES për Tregtinë Ndërkombëtare në Llojet e Rrezikuara të faunës së egër dhe Flo-
rës
Përpyjekja për shkak të DD
Instituti i Financave për Zhvillimin e DFI
Mjedisi E&S dhe Sociali
Mjedisi, Shëndeti dhe Siguria EHS
Udhëzimet EHS Udhëzimet e Përgjithshme të BBG-së dhe Industrisë EHS
Vlerësimi i Ndikimit në Mjedis në VNM
Banka Evropiane e Investimeve e BEI- së
Parimet e ekuatorit të PE
Institucionet e Financimit të Parimeve të Ekuatorit EPFI
Inxhinieri EPC , Prokurimi, Ndërtimi
PVMS Akti Social Mjedisor dhe Plan jon (për të identifikuar boshllëqet dhe për të siguruar
compl i siguracionit me vendotimeve)
Mjedisi ESG , Social dhe Qeverisja
Vlerësimi i ndikimit mjedisor dhe social të VNMS -së
ESM M P Menaxhimit Mjedisor dhe Social dhe Monitorim Plan (aris ing nga një VNM ose
VNMS)
ESMS Mjedisi Sistemi i Menaxhimit Mendor dhe Social
Përmbledhja e Rishikimit Mjedisor dhe Social të ESRs
Ndërmjetësi Financiar FI
Konsultime Falas, Paraprak dhe të Informuara të FPIC
FSC Këshilli Drejtimi Forest
Standard i artë G S 4GG për qëllimet globale
Burimet njerëzore njerëzore
Komiteti i Investimeve në IC
Korporata Ndërkombëtare e Financave e IFC
Institucioni Financiar Ndërkombëtar IFI
Organizata Ndërkombëtare e Punës e ILO
Popuj indigjenë IP
Plani i zhvillimit të popujve indigjenë të IPDP
Organizata Ndërkombëtare ISO për Stard dardizimin
KfW Kreditanstalt für Wiederaufbau (Banka Gjermane e Zhvillimit)
L & FS Jeta dhe Siguria nga Zjarri
Plani i rivendosjes së jetesës LRP
Incidentet e humbura të kohës LTI
Monitorimi, Raportimi dhe Verifikimi i MRV -së
Organizata jo qeveritare e OJQ - ve
Operacionet dhe mirëmbajtja e O&M
Shëndetin dhe Sigurinë në Punë të OHS
Këshilltarët e Kryeqytetit PCALP Pegasus
Pajisjet mbrojtëse personale të PPE
PRI Parimet e KB për investime me përgjegjësi

Standardet e Performancës së IFC të PS
R20 R20 - Rajonet e veprimit të klimës
Plani i Veprimit për Rivendosjen e RAP
SDG s Qëllimet e zhvillimit të qëndrueshëm
Kushtet e referencës TOR
Kombet e Bashkuara të Kombeve të Bashkuara
Kompleksi Global i Kombeve të Bashkuara UNGC
Banka Botërore e BB
Grupi i Bankës Botërore të WBG

1 HYRJE

Fondi Global i Klimës Subnacionale (Global SnCF) është një fond ombrellë për vendosjen e qasjes së Zinxhirit të Vlerës R20 . Fondi do të realizojë në shkallë më lart zbatimin e projekteve me madhësi të mesme, të ulët të karbonit dhe të infrastrukturës elastike ndaj klimës me fokus në vendet në zhvillim dhe ato më pak të zhvilluara. SNCF Global do të investojë në optimizimin e mbeturinave, të ripërtëritshme të energjisë , të energjisë e f projekteve ficient ndriçimit dhe projekte të ujit dhe kanalizimeve , në mënyrë që të ngjitej në kontributet lokale në planet klimatike kombëtare dhe në nivel kombëtar Përcaktimi D Co n tributions, sipas Marrëveshjes së Klimës Parisit. Për të identifikuar projektet, R20 jo-fitimprurës - Rajonet e Veprimit të Klimës (R20) do të bashkojë aktorë publik dhe privatë, vendorë dhe ndërkombëtarë për të identifikuar, strukturuar dhe zhvilluar bankabilitetin një tubacion projektsh për t'u shqyrtuar nga Fondi. Grant-financuar nga Asistenca Teknike (AT) i koordinuar nga R20 do të përdoret për të f i studimeve të fizibilitetit Nance.

Si pjesë e angazhimit të saj për të shëndoshë E & menaxhimin e rrezikut S, përgjegjëso p erations dhe zhvillimin e qëndrueshëm, Fondi do të operojë një Enviro n mendore dhe Menaxhimi Social System (ESMS) në përputhje me R E quirements dhe standardet e institucioneve për zhvillim Financave (DFIs) dhe në veçanti ato të Fondit të Gjellbër të Klimës dhe Performancës së IFC Stan d ards. SNCF Global do të synojë të jenë të certifikuara në përputhje me SDGs, d E projekte veloping në linjë me Gold standard për të qëllimet globale (GS4GG), dhe punën e raportimit kundrejt kriterëve të ndikimit të projekteve specifike . Kështu, Fondi do të kontribuojë në disa Qëllime të Zhvillimit të Qëndrueshëm ("SDG"), në veçanti SDG 13, (Veprimi i Klimës), SDG 7 (qasja në energji të pastër), SDG 8 (krijimi i vendeve të punës), SDG 11 (komunitete të qëndrueshme) dhe SDG 3 (shëndet i mirë dhe mirëqenie).

Prezantimi

Fondi Global i Klimës Nënkombëtar (ose "Fondi") është i angazhuar për të trajtuar ndryshimin e klimës dhe për të ndërtuar një ekonomi të gjelbër globale përmes veprimeve në nivelin nën-kombëtar (rajone, provinca, qytete). Global SNCF pranon se qeveritë nën-kombëtare në mbarë botën janë duke demonstruar vlerën e fast-ndjekja kalimin në përfshirëse, shoqëritë elastike të ulët të karbonit që mund të na ndihmojë të arritur objektivat e Agjendës së 2030 për zhvillim të qëndrueshëm, su s Objektivave tainable Zhvillimit (SDG), dhe Marrëveshja e Parisit për Klimën.

Ambiciet e të SNCF Global janë për të investuar në optimizimin e mbeturinave, të ripërtëritshme të energjisë , efikas të energjisë ndriçim , dhe ujë dhe kanalizimeve projekte në nivel nën-kombëtar që kuptimplotë co n haraç të SDGs dhe të lejojë për raportim të besueshëm dhe të verifikueshme të gjithë jetës së projektet e infrastrukturës.

SNCF globale menaxhohet nga Pegasi Capital Advisors, një SHBA të bazuar pr i vate, alternative firmë menaxhimit të aseteve, në partneritet me R20 - Rajoneve të Veprimit Klimatike, një OJQ me bazë në Zvicër, i cili siguron projektin "marrëveshje-rjedhë" në formë e projekteve të investimeve, të gatshëm për të infrastrukturës, monitoron dhe r e portet në Mjedisor dhe Social (e & S) punën dhe ndikimet SDG. Fondi do të punojë sa më shumë që të jetë e mundur me zhvilluesit lokal dhe sponsorët e tjerë të projektit për të promovuar kapacitetet lokale.

Pegasus Capital, LP . (PCALP) është një firmë private e themeluar dhe e udhëhequr nga Craig Cogut. Që nga fillimi në vitin 1996, PCALP ka investuar në pesë fondet e kapitalit privat dhe aktualisht menaxhon afërsisht 1 \$. 5 miliardë pasuri. Firma investon në kompanitë në kuadër të sektorëve Wellness se qëndrueshmërisë dhe po shohim k ing kapitalit strategjik të rritjes.

R20 - Rajonet e Aksionit Klimatik është një organizatë jo-fitimprurëse ndërkombëtare e themeluar në vitin 2011 nga ish Guvernatori i Kalifornisë, Arnold Schwarzenegger, në bashkëpunim me United Nations dhe një numër Rajonesh kryesore, Banka Zhvillimi, kompani të teknologjisë së pastër , Akademia dhe OJQ-të, për të mbështetur qeveritë nën-kombëtare në të gjithë botën për të zhvilluar dhe financuar jeshilen përmes projekteve të një strukture. Përmes qasjes së saj të zinxhirit të vlerës unike, R20 mobilizon, lidh dhe Bashkëpunim me o normat me një gamë të gjerë aktorësh për të përshpejtuar tranzicionin në shoqëri inkluzive, elastik dhe të ulët të karbonit. R20 është me seli në Gjenevë dhe që nga themelimi ka punuar në projekte në Afrikën e Veriut, Afrikën Sub-Sahariane, Azinë Lindore dhe Amerikën Latine.

Parimet dhe vlerat

SNCF Global është në përputhje të plotë me të, dhe kontribuon në, si R20 dhe PCALP 's përkatësi s gjatë seancave të mbajtura dhe objektivat, të cilat janë për të përshpejtuar investimet nën-kombëtare të infrastrukturës në ekonominë e gjelbër (R20) dhe për të krijuar vlera themelore dhe ndikimit të qëndrueshëm për ndërmarrjet që adresojnë qëndrueshmërinë e suit përmes strukturave kreative të investimeve (PCALP).

SnCF Global është e angazhuar për investime të përgjegjshme dhe pret këtë angazhim të njëjtë nga institucionet partnere të saj.

SNCF Global prioritet menaxhimin efektiv të E & V dhe S Shoqerore (E & S) rreziqet dhe ndikimet e lidhura me investimet e saj. SnCF Global është veçanërisht i shqetësuar me zvogëlimin e gazrave të serrës (GHG); mbrojtja e biodiversitetit dhe burimeve natyrore; respektimi i trashëgimisë kulturore dhe popujve indigjenë; integrimi gjinor; standardet e punës dhe kushtet e punës, si dhe punonjës 'shëndetin dhe sigurinë; shëndetin dhe sigurinë e komunitetit; parandalimi i ndotjes; dhe evitimi i zhvendosjes së pavullnetshme ose humbjen e jetesës. Si i tillë, ai SnCF Global nuk do të investojë në projekte me rrezik të lartë (të ashtuquajturat projekte të kategorisë A), dhe do të kufizohet në projekte me rreziqe mesatare deri të ulta (Kategoria B dhe C).

SnCF Global gjithashtu i jep përparësi projekteve që në mënyrë të konsiderueshme dhe të matshme kontribuojnë për SDG-të, veçanërisht SDG 13 (Veprim klimatik), SDG 7 (Energji të përbalueshme dhe të pastër), SDG 8 (Puna e Duhur dhe Rritja Ekonomike), dhe SDG 11 (Qytetet dhe Komunitetet e Qëndrueshme).

SNCF Global është e angazhuar për mbajtjen, zbatimin dhe përmirësimin e vazhdueshëm të një dokumenti komentues Mjedisor dhe Sistemi i Menaxhimit Social (ESMS) për të siguruar zbatimin e kësaj politike. Të ESMS përfshijnë një E & S sistem kategorizimit që është në përputhje me praktikën ekuivalente të Bankës Gjermane për Zhvillim (KfW), Korporatën Ndërkombëtare Financiare (IFC), Bankën Europiane të Investimeve (BEI) dhe të tjera Development Finance Institutions (DFIs).

Fushëveprimi dhe zbatueshmëria

SnCF Global është përqendruar në ujërat dhe kanalizimet, optimizimin e mbeturinave, energjinë e rinovueshme dhe projektet e ndriçimit efikas të energjisë që zhvillohen dhe zbatohen në nivelin nën-kombëtar, dhe që bien në Kategorinë B (rrezik të mesëm) ose Kategorinë C (rrezik të ulët).

Kjo E & S Politika vlen për t'u aplikuar Global SNCF, si dhe për kompanitë e portofolit të saj / projektet.

Lista e Përfshirjeve

SNCF Global ka miratuar një listë të përjashtimit që përputhet me zhvillimin e Financave. Instancat e përjashtimit neto, duke përfshirë IFC, KfW, BEI, Bankën Europiane për Rindërtim dhe zhvillimin përmes (BERZH), etj Global SNCF Lista e Përfshirjeve në mënyrë të qartë ndalon investimet në rrezik të lartë (kategoria A) projekte. Global SNCF kërkon partnerët e saj për të kryer aktivitetet e tyre në përputhje me ligjin kombëtar, dhe në përputhje me Standardet e Performancës IFC (VV) dhe mirë që kanë praktikë ndërkombëtare industri, duke përfshirë edhe të rëndësishme të Grupit të Bankës Botërore të Mjedisorit Shëndetit dhe Sigurisë (EHS) Udhëzimet dhe parimet dhe standardet e përfshira në Bashkimin Evropian (BE-së) nën legjislacionin mëndësor, ku është e aplikueshme. Fondi është e angazhuar edhe për të tetë konventat kryesore të Organizatës Ndërkombëtare të Punës (ILO) dhe Bill Ndërkombëtare të Drejtave të Njeriut, çelësi për vizionet e cilat janë pasqyruar në standardet relevante të Performancës IFC. (Shihni ESMS Shtojcën 1 për listën e plotë globale të përjashtimeve të SnCF).

Global SnCF planifikon të zbatojë Standardet e Performancës së IFC për të përmbushur kërkesat e EIB, KfW dhe Fondit të Klimës së Gjellbër (GCF), duke respektuar gjithashtu rregullat e vendit pritës, dhe plotësisht e ekspektot kompanitë / projektet e tij të portofolit për të bërë të njëjtën gjë. SNCF Global ka angazhuar veten edhe për Parimet e Ekuatorit (PE) për të lehtësuar investimet private të Parimet e Ekuatorit Financiarit Institutions (EPFIs), të Kombeve të Bashkuara (OKB-së) Global Compact, si dhe Udhëzimet e Parimet për Rreziqet e cilit drejtojnë Investimeve (UNPRI). SNCF Global është e angazhuar për punë realiste dhe Pragmatike në drejtim të zbatimit të këtyre standardeve me kalimin e kohës.

Zbatimi i politikave

Me qëllim të zbatimit të politikës, t ai Global SNCF ka zhvilluar një Sistem Menaxhimit Mjedisor dhe Social (ESMS) për të siguruar që politika është zbatuar plotësisht të gjithë zinxhirit të vlerës (identifikimi i projektit, zhvillimi, investimet, monitorimit dhe raportimit).

Kuadri i ESMS përfshin elementët e mëposhtëm:

- Politika E&S
- Procedurat, të cilat janë plotësisht të integruara me ciklin e përgjithshëm të investimeve të fondit
 - Shqyrtimi i transaksioneve (përfshirë listën e përjashtimit)
 - Kategorizimi i rrezikut
 - E & S kujdes i duhur
- Tools
- Materialet udhëzuese dhe protokollet e raportimit

Global SNCF-së unike Raportimi monitorimin dhe verifikimin (MRV) dhe certifikimi një p qasje shumë-disiplinore

Global SNCF është e angazhuar për dërgimin e progres domethënës drejt SDGs dhe Paris (cl i ndryshimit mate) Marrëveshja, dhe për këtë arsye është duke punuar drejt një certifikimit të nivelit fondi nga *Gold standard për qëllimet globale* (GS4GG), një standard të zhvillimit tërësor krijuar për të siguruar që veprimi i klimës (zbutje dhe adaptim) gjithashtu kontribuon për SDG-të në një mënyrë të matshme, të verifikueshme dhe të vërtetueshme. Duke aplikuar kërkesat e GS4GG MRV , fondi do të dallojë veten si një udhëheqës në këtë fushë.

Përgjegjësitë e E&S

Bordi i Drejtorëve i SnCF Global ka përgjegjësi të përgjithshme për përcaktimin e kësaj politike dhe mbikëqyrjen e zbatimit të tij. Bordi ka identifikuar një menaxher të kualifikuar E&S (ESM) për të menaxhuar zbatimin e Politikës E&S dhe ESMS dhe të raportojë në bord në lidhje me punën e ESMS (shiko përgjegjësitë e mëtutjeshme të ESM në kapitullin 4 të ESMS).

Bordi i Drejtorëve është përgjegjës për të siguruar se ka një buxhet dhe r duhura E burimet për të zbatuar këtë politikë.

Raportimi dhe përgjegjësia

Global SNCF 's Bordi i drejtorëve dhe aksionarëve (ose partnerët) do të marrin raporte periodike mbi zbatimin dhe efektivitetin e ESMS të Fondit dhe përputhshmërinë e tij me këtë E & S Politikës.

SnCF Global synon të vë në dispozicion të publikut informacionin përkatës për E&S përmes faqes së saj të dedikuar në uebfaqen e PCALP , dhe në botimet e saj. Kjo përfshin botimin e politikës E&S në faqen në internet SnCF dhe futjen e informacionit përmbledhës në raportin e tij vjetor. Përveç kësaj, raportet ESS e projekteve individuale do të zbulohet për publikun duke i publikuar ato në PCALP ne b faqes (www.pcalp.com).

SnCF Global ka një Mekanizëm të Ankesave që i lejon palëve të treta të ngrenë shqetësime në lidhje me pajtueshmërinë e Fondit me këtë politikë dhe / ose ndikimet E&S të projekteve të tij të financuara. Mekanizmi i ankesave do të jetë i arritshëm përmes faqes Global SnCF . Më tej SNCF Global do të r e fashikull të gjitha projektet për të zbatuar një mekanizëm të ankesave , në veçanti në lidhje me performancën mjedisore dhe sociale , e cila do të jetë në proporcion me rreziqet dhe ndikimet e projektit.

miratim

Kjo E & Politikë S dhe ESMS kanë qenë përkohësisht miratuar nga Global SNCF Board të Drejtoreve .

3 SISTEMI I MENAXHIMIT MJEDISOR DHE SOCIAL (ESMS) - QËLLIMI DHE ZBATUESHMËRIA

SnCF Global është e angazhuar në menaxhimin dhe performancën e rrezikut mjedisor dhe social, duke filluar me operimet e veta. Punonjësit e të SNCF Global për këtë arsye janë të udhëzuar nga E brendshëm të fondit & S dhe Burimeve Njerëzore politikave, të cilat janë miratuar nga PCALP dhe janë në përputhje me IFC PS2. Këto politika të brendshme sigurojnë që stafi Global SnCF të trajtohet në mënyrë të drejtë, të pajisen me kushte të sigurta të punës dhe të praktikojnë mbrojtje të mjedisit sipas ligjeve të vendit pritës. Kopjet e këtyre politikave të brendshme janë në dispozicion sipas kërkesës.

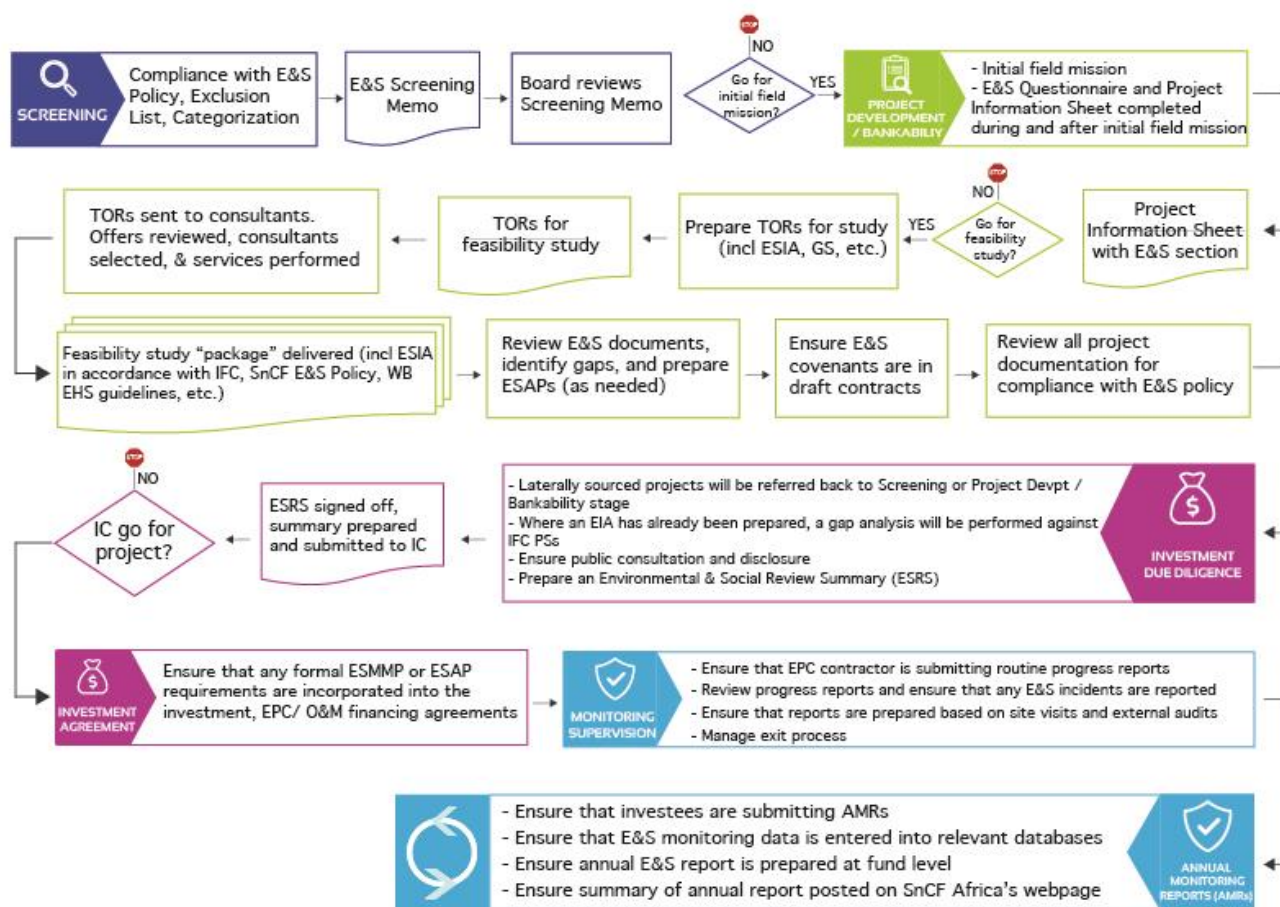
Th është ESMS përbëhet nga një seri e procedurave që do të ndiqen për të siguruar që Global SNCF investim takohen Global SNCF's Mjedisor dhe S Shoqerore (E & S) P eklarat. Kjo përfshin një proces për shfaqjen e investimeve potenciale kundër Lista Përrjashtimit para një vendimi / No Go, për të e n sigurtë se asnjë investim është bërë në projekte apo kompanitë që janë të operojnë me përjashtuara aktiv i lidhjeve. Procesi i shqyrtimit lejon kategorizimin e përkohshëm të propozuar projekte në high her, të mesme dhe rrezik më të ulët (Kategoria A, B ose C respektivisht) projekte dhe që më pas përcakton përjashtimin e-rrezik të lartë (Kategoria A) projekte. Global SNCF do të përjashtojë projektet e Kategorisë A duke shmangur veprimtaritë me rreziqe të mëdha negative mjedisore dhe sociale që janë të pakthyeshme ose të paparë, dhe unë n përgjithësi, Global SNCF do të shmangë projekte që shkaktojnë IFC PS 5-8 (p.sh. blerja e tokës dhe zhvendosja e pavullnetshme, humbje e madhe e biodiversitetit, dhe projektet që përfshijnë In komunitetet digenous apo vendet e trashëgimisë kulturore). Global SNCF do të përqendrohet në projects që bien në kategori të mesme ose me rrezik të ulët (B ose C) vetëm; këto projekte do të përmbahen në nivelin e E & S due diligence kërkohet dhe nënshtrohen e nevojshme për veprimet për të minimizuar ndikimet e mundshme. Të gjitha projektet e financuara nga të SNCF Global duhet të përputhet me kërkesat e vendit pritës rregullatore, të rëndësishme Standardet e IFC Performance dhe të mirë praktikë të industrisë, përkatësisht Udhëzimet EHS e Grupit të Bankës Botërore.

ESMS mbulon vlerësimin fillestar të projektit, zhvillimin e projektit, ndërtimin dhe operimet, deri në daljen e projektit (nga fondi) dhe mbulon sa vijon:

- Vlerësimi fillestar dhe shqyrtimi
- Kategorizimi i rreziqeve të mundshme të E&S
- Vlerësimi i detajuar i projektit / kujdesi i duhur dhe përcaktimi i standardeve të E&S
- Identifikimi i masave zbutëse, monitoruese dhe menaxhuese që kërkohen për të siguruar përputhjen me standardet e duhura
- Konsultimi dhe angazhimi i informuar i palëve të interesuara
- Mekanizmi i ankesave
- Përfshirja e kërkesave të E&S në dokumentacionin ligjor të projektit
- Monitorimi i performancës së projektit për të siguruar përputhjen me standardet deri në pr o projektit që dalja
- Raportimi i brendshëm në të E & S kryerjen e projekteve të financuara në Global SNCF
- Raportim i jashtëm për palët e interesuara

Përmbledhja e procesit (shiko diagramin e rrjedhës më poshtë):

Summary of process (see flowchart diagram below):



4 ORGANIZIMI DHE PËRGJEGJËSITË

SnCF Global ka një menaxher të caktuar E & S (ESM) i cili ka mbikëqyrje për zbatimin e ESMS. ESM ka qasje në mjediset e korporatave PCALP dhe R20 dhe burimet e qëndrueshmërisë, si dhe çdo specialist dhe konsulent të huaj shtesë lokal / ndërkombëtar të kërkuar, për të siguruar që investimet janë ndërmarrë në përputhje me politikën E&S.

Përgjegjësitë e ESM përfshijnë:

- Mbikëqyr zbatimin e ESMS dhe rishikimet periodike, përmirësimet dhe ndryshimet e tij;
- Raportim i rregullt tek bordi Global SnCF në lidhje me punën e ESMS
- Të sigurojë që çdo projekt ka qenë i shfaqur kundër Global SNCF E & S Politikë, Përgjashtimi Lista, dhe se projekti i propozuar ka qenë e kategorizuar për E potencial dhe rrezik S;
- Sigurohuni që termat e referencës së VNMS-së përputhen me Politikën Globale E&S të SnCF;
- Durim projekt për shkak zell, të sigurojë që Global SNCF E & S procedurat e shqyrtimit, guid siguracionit dhe listat e kontrollit janë ndjekur dhe se e projektit mjedisi al perfo r Manc e / pajtueshmëria kundër kërkesat e zbatueshme është vlerësuar;
- Të sigurojë që projektet në portofol janë të mbikëqyrur dhe monitoruar kundër në vazhdim e sipër compliance me kërkesat e zbatueshme;
- Rishikoni të gjitha raportet e paraqitura të monitorimit të projektit E&S
- Përgatitja e një vjetore nvironment dhe sociale r performance APORTI V JETOR, bazuar në periodike monitorimit raportit s para krahasim nga të investuarit kompanitë, dhe E të tjera & S raporteve që mund të kërkohej;
- Sigurimi i shiut për investimet në politikën dhe procedurat e E & S;
- Puna me Global SNCF dhe PCALP dhe R20 lartë m Menaxhmentit të siguruar që burime të mjaftueshme janë në dispozicion për të efektshme zbatuar situata e E & S politikat dhe procedurat;
- Mbani një dosje të konsulentëve dhe specialistëve të kualifikuar mjedisorë, të cilët mund të thirren për të ndihmuar në kryerjen e rishikimeve mjedisore, auditimeve dhe VNMS; (shiko Shtojcën 10)
- Të siguruar që një mekanizmi i ankesave është në vend dhe se komentet janë të menaxhuara në bashkëpunim mpliance me Global SNCF E & Politikë S; (shiko Shtojcat es 11 dhe 12)
- Duke siguruar që projekti E & S dokumente janë menaxhuar siç duhet dhe ngritur në R20 ma skedar n sistem menaxhimi

5 SKANIMI DHE KATEGORIZIMI I RREZIKUT TË MUNDSHËM

Ky seksion vlen për rishikimin e hershëm të E&S të projekteve dhe miratimin për të vazhduar me projektin si rezultat i takimit të hershëm të vendimit Go / No Go. Kjo përfshin listën e përjashtimit shqyrtimit, identifikimin fillestar të rrezikut, E potencial & çështje S, caktimin e vendotimeve në fuqi, një ssignment e E përkohshme & S categorization dhe komunikimin e gjetjeve ndaj menaxherit të projektit.

Siç u përmend në seksionet 2 dhe 3 më lart, SnCF Global do të investojë vetëm në projekte me rrezik të mesëm dhe të ulët (Category B ose C). Këto lloje të projektit kanë ndikime të pafavorshme, të cilat Global SnCF pret që të jenë specifike të zonës, të pakta në numër dhe të lehtësohen lehtësisht. Examples e B dhe C lloje të projekteve në Global SNCF portofolit përfshijnë mbetjet përmirësuar sorting, riciklimin e bimëve, të ujit e mbeturinave treatment bimët, të vogla diellore dhe të erës fermave, bujqësisë rigjeneruese dhe energji-efikas lighthouse projekte (shih listën e plotë në tabelën e kategorizimit të rrezikut më poshtë). Global SNCF do të gjithmonë të synojë të projekteve të shmangur që shkaktjnë IFC VV 5-8 (p.sh. blerja e tokës dhe zhvendosja e pavullnetshme, humbja e madhe e biodiversitetit, dhe projektet që përfshijnë komunitetet indigjene apo vendet e trashëgimisë kulturore). Disa nga rreziqet tipike mesatare të lidhura potencialisht me llojet e projektit Global SnCF përfshijnë zhvendosjen ekonomike (p.sh. për mbledhësit e mbeturinave informale), kushtet e pasigurta të punës, ose dëmtimin e burimeve natyrore (p.sh. gjatë ndërtimit të fermave diellore dhe të erës, ose projekteve të tjera të infrastrukturës), dhe komuniteti skepticizmi të reja të teknologjive të perceptuar të jetë i pasigurt (p.sh. gjatë prezantimit të romanit teknologjive të trajtimit të ujërave të zeza). Për të shmangur këto rreziqe nga fillimi, dhe për të siguruar se ndikimet janë site-specifike, i kthyeshtë, ose lehtësisht të zbutet, Global SNCF do të sigurojë një angazhim ctive komunitetit dhe konsultimet e palëve të interesuara (shih Një nnex 16 në G vjetër S tandard Udhëzimet e palëve të interesit), një ESMS e duhur për secilin investitor, si dhe një VNMS për të gjitha projektet e Category B (shiko Shtojcën 2 për kushtet e referencës për ESIA për projektet e Kategorisë B). Shtojca 16 e përshkruan kornizën angazhimit palëve të interesuara relevante të mjedisore dhe sociale rreziqeve, dhe vazhduar strategjinë e martesës palëve të interesuara se projektet do të ndjekë, including pasi PR o Përmes projekteve janë zbatuar. SnCF Global përfshin një Mekanizëm për Kthimin e Ankesave (GRM) në nivelin e fondit dhe të projektit për të lejuar palët e interesuara dhe komunitetet mundësinë për të siguruar feedback, dhe për të marrë përgjigje për atë feedback. Anekset 11 dhe 12 përshkruajnë GRM në detaje.

Specifike të punës dhe kushtet e punës, PS 2 kërkesa do të plotësohen duke siguruar që të gjitha unë n vestees keni një ESMS në vend që pasqyron SNCF ESMS Global, dhe se udhëzimet Banka Botërore EHS janë ndjekur. Zbulimi i hershëm i rrezikut të punëtorëve do të konsiderohet gjatë kujdesit të duhur përmes përdorimit të Aneksi 2 pyetje dhe Shtojca 3 listë përzgjedhjes, e cila do të nga ana ndihmë në MIT I porta rreziqet para se të zbatimit të projektit.

Siç u tha më herët, Lista Globale e Përjashtimit e SnCF ndalon qartë investimet në projekte me rrezik të lartë (Kategoria A) dhe do të shmangë aktivitetet me rreziqe të pafavorshme mjedisore dhe sociale që janë të pakthyeshtë ose të pashembullt, përfshirë projektet që mund të shkaktjnë IFC PS 5 - 8. Në rast të pamundur që çdo aktivitet i SnCF Global të shkaktjë zhvendosje të pavullnetshme, marrjen e tokës, zhvendosje fizike ose ekonomike, do të miratohet një kornizë e politikave të rivendosjes. Ju lutemi referojuni Aneksit 17 për termat e referencës për planin e blerjes së tokës, planin e veprimit të rivendosjes dhe planin e restaurimit të jetesës.

Siç u tha më herët, List Përjashtimi Global SNCF ndalon në mënyrë të qartë projects prekin njerëzit indigjene ose që përfshijnë komunitetet indigjene. Sidoqoftë, në rast të pamundur që çdo aktivitet global i SnCF të shkaktjë rreziqe që lidhen me popujt autoktonë, do të miratohet një

kornizë e planifikimit të popujve indigjenë . Ju lutemi, referojuni Shtojcës 17 për kushtet e referencës për një plan indigjen të popujve. Në mënyrë të ngjashme, në përputhje me listën e përjashtimeve, projektet që dëmtojnë biodiversitetin ose zonat natyrore të mbrojtura do të shmangen. Në rast nuk ka gjasa që ndonjë Global SNCF shkakton aktiviteti humbja e biodivers i TY apo zonat e mbrojtura, një biodiversitet ose plan të menaxhimit të zonave të mbrojtura do të jenë të përgatitur. Ju lutemi referojuni Aneksit 18 për termat e referencës për një plan të menaxhimit të biodiversitetit / zonës së mbrojtur.

Hapat e mëposhtëm përshkruajnë procesin e shqyrtimit dhe kategorizimit të SnCF Global.

Hapi 1: P propozohen p rojects janë shfaqur kundër Global SNCF E & S Politikë dhe exc listën lusion (shih Aneksin 1) në Poi hershme n t e angazhimit për të përcaktuar nëse projekti është i pranueshëm. Nëse kjo unë n Volves një aktivitet përjashtuar (duke përfshirë një kategori të një projekti të dukshme) , apo projekti nuk është në bashkëpunim m pliance me E & S Politikës së , atëherë projekti nuk do të konsiderohet ndonjë më tej .

Hapi 2: Për projekte jo në listën e përjashtimit, i ESM do të sigurojë që një fillestar vlerësimi i mundshëm E & S rrezikon të bëhet në bazë të projektit i nformation ofruar nga menaxheri i projektit në atë fazë , dhe një vizitë vend ku është e aplikueshme . U këndojnë mostër listë e plotë e dhënë në Shtojcën 5 , E S M do të sigurojë që një përkohshëm c ategory (ose B ose C) është caktuar për projektin dhe listën e parashikuar rëndësishëm E & S rreziqe. Qëllimi i kësaj është që të përcaktojë nivelin e përpjekjeve në vlerësimin e E & S rrezikun gjatë preparatio n të projekteve, si dhe shtrirja e detajuar E & S zell për shkak kërkohet të informojë Go / No Go vendim takim s . T ai c ategory e përgjithshëm të projektit rrezikut është accordi Këngë për tabelën e mëposhtme :

Kategorizimi i rrezikut E & S

kategori		Klasifikimi tipik për infrastrukturën
A	Aktivitetet e biznesit me potencial të konsiderueshme rreziqet negative mjedisore ose sociale dhe / ose ndikimet që janë të ndryshme, të pakthyeshme, apo të pritura dhe c edented.	<u>Mbeturinat :</u> - Zonat me komunitete të mëdha prekëse të prekshme - Mbetje të mëdha për energji - Incenerim (me oksigjen) - Deponitë - Menaxhimi i mbeturinave të rrezikshme - Menaxhimi i mbeturinave spitalore <u>Energjia e rinovueshme:</u> - Hidrocentrale me një digë - Drejtimi i hidrocentraleve të lumenjve - Fermë e madhe diellore - Fermë e madhe me erë - Projektet që përfshijnë linja të gjata transmetimi <u>Ndriçim efikas:</u> - Zonë me biodiversitet të mbrojtur që mund të preket nga drita
B	Aktivitetet e biznesit me potencial të kufizuar rreziqet negative mjedisore ose sociale dhe / ose ndikimet që janë të paktë në numër, përgjithësisht site-specifike, në masë të madhe i kthyeshëm, dhe lehtësisht të adresohen nëpërmjet mitig një masa tion.	<u>Humbje:</u> - Përmirësimi i klasifikimit të mbeturinave - Linja e klasifikimit të MSW - Fabrika e kompostimit - Tretja Anaerobe - Fabrika e riciklimit - Piroliza dhe Gazifikimi (në mungesë të oksigjenit) <u>Bujqësia rigjeneruese :</u>

		Uji dhe kanalizimet: - Impianti i trajtimit të ujërave të zeza <u>Energjia e rinovueshme:</u> - Fermë diellore (<10 MW) - Fermë me erë (<10 MW) - Sisteme mini-rrjete rurale <u>Ndriçim efikas:</u> - Projekte të reja të ndriçimit në rrugë
C	Aktivitetet e biznesit me rreziqe minimale ose aspak negative mjedisore ose sociale dhe / ose ndikime.	<u>Energjia e rinovueshme:</u> - Instalimi diellor në çati (< 1MW) <u>Ndriçim efikas:</u> - Riparimi i ndriçimit

Shfaqja dhe kategorizimi procesi i rezultateve të investimeve të propozuara në klasifikimin e p rrezikut tential. Kjo përcakton nivelin e kërkesave të E&S që duhet të kryhen si më poshtë:

- Të gjitha transaksionet e **Kategorisë A** (d.m.th. ato që mund të shkaktojnë PS -të 5-8 , ose duke shkelur listën e Excl u sion) nuk do të mbështeten, dhe si të tilla do të refuzohen për t'u konsideruar nga fondi .
- Të gjitha transaksionet e **kategorisë B** kërkohet të kenë një vlerësim zyrtar të ndikimit në mjedis dhe social (ESIA) të përgatitur në përputhje me dispozitat e IFC PS1 dhe kërkesat rregullatore të vendit pritës . VNMS do të kryhet nga një konsulent i kualifikuar dhe do të përmbajë një Plan të Monitorimit dhe Menaxhimit Mjedisor dhe Social (ESMMP). Shtojca 2 përmban një përshkrim të PS dhe kërkesat , si dhe kushtet e referencës të ESIA-s. Shtojca 6 përmban një listë kontrolli për të kontrolluar përputhshmërinë ndaj PS-ve.
- Të gjitha transaksionet e propozuara me një **Kategoria C** klasifikim do të jetë e nevojshme në përputhje me kërkesat e vendit pritës legjislative dhe rregullatore dhe kudo practica I GS R E quirements . Projektet do të monitorohen gjatë gjithë jetës së tyre për të përcaktuar nëse rreziqet mbesin të ulëta ose nëse kërkohet ndonjë vlerësim shtesë.

Hapi 3: Për projektet e aprovuara gjatë takimit fillestar të vendimit Go / No Go, ato të përcaktuara si Kategoria C pritet të jenë në përputhje me kërkesat legjislative dhe rregullatore të vendit pritës. Për ato projekte të aprovuara të përcaktuara si projekte të Kategorisë B, projekti E SM do të sigurojë që të kryhet një kujdes i detajuar i duhur , përfshirë: mosveprimin C të VNMS, çdo studim shtesë E&S, rishikim E&S të VNMS kundër PS dhe të ndërmarrë vizita të nevojshme në terren dhe konsultime me palët e interesuara. një lidhje. Kjo do të përfshijë përdorimin e këshilltarëve të jashtëm sipas nevojës.

Rolet / Përgjegjësitë e ESM

- Sigurohuni që secili projekt të jetë ekranizuar kundër Politikës Global të SnCF E&S, Lista e Përgjashtimeve , dhe më pas të kategorizuar për rrezik potencial E&S;
- Përgatitni një memorandum shqyrtimi E&S (referojuni memorandumit të shfaqjes në Shtojcën 5);
- Shqyrtoni TOR-të për VNMS
- Rishikim i vazhdueshëm i kategorizimit të rrezikut dhe rregullimit sipas nevojës;

Regjistrimet dhe dokumentacioni do të përfshijnë sa vijon:

- E & S c onsiderations formulim regjistrohen në G o / N o G o lista kontrolluese (Aneks 5) ;
- TORS për VNMS
- Kur dhe nëse kryhet një mision para-kujdesit, Misioni Scoping BTOR

6 PROJEKT TË ZHVILLIMIT / MARRDHËNIET ME SEKTORIN BANKAR

Ky seksion përshkruan E & S procedurat e duhura, të kujdesshme nga go / Nr vendimi plotësojnë para të IC d ecision m eeting . T ai Qëllimi i E & S due diligence është të:

- Identifikojnë dhe vlerësojnë E potencial & S rrezikon dhe / ose ndikimet, si negative dhe të dobishme, ass o ciated me një projekt të propozuar;
- Vizitoni sitin e projektit, zonën e ndikimit , lehtësirat shoqëruese dhe personat e prekur nga projekti ;
- Siguruar se propozuesi i projektit / investuari ka p REPAR ed një VNMS dhe ESMMP në lidhje me kërkesat e Udhëzimeve të VV dhe EHS;
- Siguroni shërbime për ndërtimin e kapaciteteve , sipas nevojës , për t'iu mundësuar zbatuesve lokalë (institucionet nën-kombëtar ose zhvilluesit e projekteve) të zbatojnë një ESMS dhe të monitorojnë rreziqet specifike të sitit
- Përcaktuar fushat e mospërputhjes me kërkesat e IFC VV dhe prov kam seancash të Udhëzimeve EHS;
- Identifikoni veprimet / informacionin e kërkuar për të adresuar pajtueshmërinë e E&S gjatë fazës së kujdesit të duhur;
- Identifikoni veprimet / informacionet që do të adresohen në dokumentacionin ligjor të kontratës;
- Përgatitni, sipas nevojës, një ESAP që përmban detyra specifike të dizajnuara për të mbyllur boshllëqet e vëzhguara në ESIA;
- Konfirmoni me avokatin e projektit, që dokumentacioni ligjor dhe kontraktual përfshin përkufizimet e duhura, besëlidhjet, klauzolat dhe elemente të lidhura për të siguruar se projekti do të jenë në përputhje me VV, EHS Udhëzimet, ligjit të vendit pritës, dhe PVMS (nëse nee d ed);
- Përgatitni një ESRS para takimit të IC

Hapi 1 : Gjatë dhe pas të parë të misionit në terren a n E & S Pyetësorit (shih Shtojcën 5) është i përgatitur për të përshkruar projektin rrezikon nën IFC VV dhe për të identifikuar mundësitë për të përmirësuar performancën kundër këtyre standardeve ;

Hapi 2 : Një fletë Informacione Projekti pastaj përgatitur për të përshkruar bazat e projektit, duke përfshirë E & S rrezikon, masat e mundshme ndaj rreziqeve të zbutur dhe maximi z E ndikimeve pozitive, në mbështetje të një vendimi / No Go për të ndjekur projektin; (shiko Shtojcën 1 3)

Hapi 3 : Kushtet e Referencës për studimet e fizibilitetit të projektit janë përgatitur në mbështetje të një vendimi Go / No Go për ndjekjen e zhvillimit të projektit ; TOR gjithashtu përfshijnë VNMS në përputhje me IFC PS1

Hapi 4 : Fizibiliteti TeR studimit janë dërguar në E & S konsulentëve, ofertat janë shqyrtuar dhe E & S Konsulli t milingonat zgjedhur dhe të angazhuar dhe shërbimet e kryera;

Hapi 5 : Kur identifikohen boshllëqe kundër PS, një Plan veprimi E&S (ESAP) është i përgatitur për të përcaktuar veprimet e kërkuara për të realizuar projektin për të shpejtuar përballë PS-ve.

Hapi 6 : O n marrjen e paketave të studimit të fizibilitetit , Autorizime projekti z ations janë marrë ed, kontratave kryesore me EPC dhe O & M kontraktorët janë hartuar, ndonjë kontratë off-Merni janë hartuar , Fina paraprak n strukturimi cial është kryer (përfshirë diskutimet me investitorë potencialë) dhe besëlidhjet kryesore[4]përfshihen në kontrata për të siguruar që projektet janë zbatuar në përputhje me Politikën Globale E&S të SNCF .

Hapi 7 : A ll projekt dokumentacioni është përgatitur dhe shqyrtuar për pajtim me Global SNCF E & S politikës paraprak për fillimin e investimeve formale për shkak zell;

Rolet / Përgjegjësitë e ESM

- E nsure se E & S Pyetësi ka përfunduar siç duhet;
- Sigurohuni që Seksioni E&S i Fletës së Informacionit të Projektit të pasqyrojë përfundimet e pyetësit E&S;
- Sigurohuni që TOR-et e studimit të fizibilitetit të përfshijnë kërkesat përkatëse të E&S të Politikës Globale E&S të SnCF ;
- Shqyrtoni ofertat e shërbimeve për konsulentët E&S për përfundimin e studimeve të fizibilitetit të projektit (përmbajtja E&S);
- Siguroni shërbime për krijimin e kapaciteteve ESMS, kur është e nevojshme
- Të siguroar që një n E & S Plani i Veprimit (PVMS) ka qenë Perpar ed kur është e nevojshme
- Sigurohuni që besëlidhjet kryesore të përfshihen në kontrata
- Kryeni rishikimin përfundimtar të dokumentacionit të projektit për pajtueshmërinë me Global SnCF E&S Pol i cy.

Regjistrimet dhe Dokumentacioni

Informacioni i mëposhtëm është ruajtur në Global SNCF d ocumentation paraqitjen e sistemit, duke përfshirë:

- TR s dhe propozimet për E S IA s
- ESIAs
- Të gjitha informacionet dhe dokumentet e vlefshme për vlerësimin E&S;
- Procesverbali i takimit përfshirë veprimet e ndërmarra për adresimin e rekomandimeve;
- Material informacioni vlerësimin e projektit dhe PVMS s , duke përfshirë veprimet plotësuese rënë dakord për të siguroar që dokumentet e vlerësimit janë të plota;
- Miratimi i TOR i përdorur për çdo ekspert të jashtëm;
- Misioni i kujdesit të duhur për E&S (Kthimi në Raportin e Zyrës) BTOR.

Ky seksion përshkruan procesin nga përfundimi i studimit të fizibilitetit të projektit / bankabilitetit deri në vendimin e aprovimit të investimit. Për burim anash projektet ku ka E S I A ka qenë pr e Pared, projekti do të referuar përsëri në seksionin 5 dhe 6 të këtij dokumenti. Për një projekt, ku një E S I A tashmë është përgatitur, kjo do të kontrollohen për përputhshmëri me PS1 kërkesat dhe përsëri referuar përsëri në seksionin 5 dhe 6 .

Hapi 1: Projektet B të maceve të egër do të vlerësohen përkundrejt kërkesave të Standardeve të Performancës së IFC (dhe Udhëzimeve dhe Shënimeve të Praktikës së Mirë të Bankës Botërore), për të përcaktuar nëse ka ndonjë boshllëk të performancës dhe nevojën për të imponuar ndonjë kërkesë shtesë për E&S, si dhe rregullore të vendit pritës, për projektin / investimin e propozuar. Për projektet ku një E S I A është përgatitur tashmë dhe të miratuara nga autoritetet përkatëse kjo do të vlerësohet kundrejt kërkesave të PS1 për të siguruar që të gjithë zonën e projektit të ndikimit ka qenë e mbuluar l n cluding të gjitha objektet e lidhura dhe personat e prekur nga projekti .

Hapi 2: Pas përfundimit të kujdesit të duhur, dhe çdo punë shtesë VNMS, ESM do të përgatisë (ose do të sigurojë që një projekt i E & S s pecialist ka përgatitur) një Përmbledhje Mjedisor dhe Social Shqyrtim (ESRS), një shembull i cili është dhënë në Aneksin 7. Ky dokument përmbledh projekt kyç e & S rreziqet dhe masat e nevojshme për t'u zbatuar gjatë ndërtimit dhe oper një tion për të siguruar përputhjen me VV, Udhëzuesit e EHS, kërkesat e vendit pritës dhe çdo e & S Monitorimi dhe Plani i Menaxhimit (ES M M P) masat e identifikuara në VNMS. Kjo përmbledhje formon bazën e çdo Planit Mjedisor dhe Social të Veprimit (PVMS) që do të përfshihen në pr o projektit që dokumentacioni ligjor dhe / ose të ndërtimit / ESMS operationale . Më tej, ESRS mund të përdoret për të informuar investitorët / huadhënësit e tjerë në lidhje me rreziqet E&S dhe ndikimet e projektit.

Hapi 3: ESM do të sigurojë që kërkesat në lidhje me konsultimet publike dhe zbulimi, si pjesë e procesit formal të VNMS, si dhe kërkesat e angazhimit palëve të interesuara , janë përmbushur plotësisht para se të ngushtë financiar .

Hapi 4 : ESRS është nënshkruar-off dhe të dorëzuar nga ESM me l nvestment C palamentar (IC) mee t ing i cili vendos nëse janë apo jo t o të vazhdojë me projektin . ESRS është e bashkangjitur në inves t ment letër wi th një paragraf përmbledhës. ESM mu st Konfirmoni me IC takimit se projekti ose aktualisht plotëson (ose pritët të jetë në gjendje të përmbushë) Global SNCF 's E & S Policy herë çdo spekulim i naqur veprime korrigjuese për të arritur përputhshmërinë kanë përfunduar. Investimi letër s u b mi tted për IC do të përfshijë një përmbledhje të shkurtër të kujdesit të duhur, kategorizimin e projektit, me arsytimin, se bashku me çdo kërkesë PMMS / PVMS. Questionsdo pyetje që lind para mbledhjes së KI do t'i drejtohet ESM-së.

Rolet / Përgjegjësitë e ESM

- Sigurohuni që proceset po ndodhin siç përshkruhet në Seksionin 5 dhe 6 të këtij dokumenti
- Përgatitja e aktiviteteve shtesë të vlerësimit, kur kërkohet, përfshirë fushëveprimin e çdo aktiviteti shtesë të referuar në ESRS;
- Sigurohuni që kërkesat për konsultim dhe zbulim publik të ndiqen si pjesë e procesit të VNMS
- Sigurohuni që një ESRS është përgatitur, nënshkruar dhe dorëzuar në IC
- Siguroni disponueshmërinë e IC për çdo pyetje para dhe gjatë takimit të IC , dhe përfundoni çdo veprim vijues që vjen nga mbledhja

Regjistrimet dhe Dokumentacioni

- ESRS depozituar në sistemin e dokumentacionit
- Anydo pyetje IC marrë
- Përgjigjet e dhëna para, gjatë ose pas takimit të KI-së

8 MARRËVESHJA E INVESTIMEVE DHE KORRIGJUESE VEPRIMI S PËR TË ARRITUR PAJTUESHMËRINË

Hapi 1 : Pasi final vendimi për të investuar në një projekt është bërë nga Global SNCF 's I C , ESM do të ndërlidhet me projektin / Investment Menaxher dhe Projektit Jurist, për të siguruar që çdo formal E S M M P ose PVMS kërkesat (një shembull është dhënë në Shtojcën 8) janë të përfshirë në in veshje e jashtme, Engineering Prokurimit në ndërtim (EPC) / Operation & Maintenance (O & M) financ ing marrëveshjes s / kontrata / nën-kontrata.

Hapi 2 : Global SNCF pastaj do të negociojë dhe të pajtohen me të ndryshme partnerët e projektit EHS prov i seancave të mbajtura dhe kushtet e investimeve në financimin e marrëveshjeve. Këto zakonisht përbëhen nga terma standarde E & S, të zbatueshëm për të gjitha investimet, dhe kushtet specifike të projektit dhe kushtet e raportimit të identifikuara gjatë kujdesit të duhur për E & S. Ato janë të përfaqësuar në dokumentet ligjore për shembull si ge n E press & S përkufizimet, përfaqësimet dhe garancitë, kushtet e disbursimit, doc Kontrata u sim për EPC / O & M kontraktorët e dhe / ose besëlidhjet lidhur përputhje me ri quir E sim të përcaktuara nga Global SNCF 's E & s Policy. Veprimet kritike lehtësuese që boshllëqet adresa me Global SNCF 's E & S Politikave do të përfshihen në ndonjë marrëveshje të investimeve, si kushtet e inves t ment. F ose c në projektet B të egër , këto duhet të përfshihen si një PVPE .

Rolet / Përgjegjësitë e ESM

- Sigurohuni që termat E&S janë përfshirë në marrëveshjen ligjore
- Të siguruar se marrëveshja e investimeve me partner i projektit s përfshin E & S kushtet përkatëse, sipas Global SNCF 's E & S politikë, dhe se veprime zbutëse janë përmbledhur dhe i n përfshirë pothuajse si një PVMS

Regjistrimet dhe Dokumentacioni

- Vendimi i Investimeve me të e ting konkluzion dhe asnjë hap përcjellëse
- ESAP dhe marrëveshjet e investimeve / besëlidhjet kontraktuale E&S

9 MONITORIMI , MBIKËQYRJA , RAPORTIMI

E & S performanca e projekteve dhe kontraktorët e projektit do të mbikëqyret dhe monitorohet për të siguruar përputhjen me marrëveshjen e investimeve dhe çdo VNMS, ESM M P dhe kërkesat PVMS bazuara në vijim aktivitetet :

- Faqe vizita periodike nga Global SNCF ESM (ose konsulent palës së tretë) gjatë ndërtimit , një cording në nivelin e rrezikut EHS dhe për të kontrolluar PMMS dhe zbatimin e PVMS ;
- Dorëzimi i rutinë raporteve të progresit nga kontraktori EPC o ndonji n veprimet dhe Monitor kërkesat ing dokumentuara në PVMS rënë dakord të korrigjimit të shquar E HS është padit ;
- Raportimi i ndonjë incidenti EHS (mjedisor, social, viktima) në SnCF Global brenda 3 ditëve nga ndodhja
- Komisionimi i raporteve të auditimit të jashtëm mjedisor nga ESM siç mund të konsiderohet i nevojshëm ;
- Një raport i mbikëqyrjes në zyrë (BTOR) do të përgatitet bazuar në vizitat në terren, auditimet e jashtme dhe veprimet e rënë dakord për të korrigjuar çështjet e E & S ;

Hapi 1 : Në të ndërtimit fazës , periodikut c s upervis Ory vizita do të vendoset nga ESM në përputhje me orarin e ndërtimit.

Hapi 2 : ndërtimi Post , c në Në kategorinë B projekte do të vizitohet së paku një herë në dy vjet , ose më shpesh, de Pend ing nga lloji i projektit, vendi, vend të veçantë, natyrën e ndonjë çështje të EHS shquar - dhe gjithashtu nëse raportet vjetore të monitorimit janë duke siguruar të dhëna të mjaftueshme monitorimi për të gjykuar nëse ato janë në përputhje me rregulloret vendor, si dhe kushtet e marrëveshjeve të investimeve.

Rolet / Përgjegjësitë e ESM

- Siguruar që vizita periodike në terren janë duke u zhvilluar në përputhje me ndërtimin sche d Ule dhe pika PVMS datat e përfundimit
- Sigurohuni që kontraktori EPC të paraqesë raporte rutinore të përparimit
- Rishikoni raportet e progresit dhe sigurohuni që të raportohen incidente të E&S
- Sigurohuni që raportet të jenë përgatitur bazuar në vizitat në terren dhe auditimet e jashtme
- Siguruar ankesave Mekanizmi është në vend, duke u zbatuar në mënyrë efektive dhe se grie v ances po trajtohen
- Të sigurojë që një strukturë raport formatuar është dorëzuar nga kontraktori EPC gjatë bashkë n ndërtime dhe kontraktorit O & M gjatë operacioneve. Raporti w sëmure përmbajnë dëshmi të projektit E & S performancës dhe pajtueshmërinë me PVMS, kontratës dhe rregullatore cond l tions
- Sigurohuni që të jenë përgatitur raportet e daljes nga E&S, janë bërë veprime restauruese, etj. (Sigurohuni që lista e kontrollit e x është përfunduar)

Regjistrimet dhe Dokumentacioni

- Raportet e projektit , BTORs, raportet e statusit PVMS ngritur në Global SNCF dokumentacionit sy s tem

10 REGJISTRIME, DOKUMENTIM DHE KONTROLL I CILËSISË

ESM është personi fokale për të siguruar bashkëpunimin e cilësisë ntrrol për E & S detyra të lidhura, rezultatet dhe doc u sim. Kontrolli i dokumentit është thelbësor. Të gjitha E & S studime, ES IA dokumentacionit, projekti misioni obje c alternativa të, BTORs, ESRs s , PVMS s , E & S pas-trimin s dhe informacionit të lidhura janë ruajtur në Global SNCF sistemin e regjistrimit dokument i menaxhuar nga PCALP .

E SM, me mbështetjen e Global SNCF stafin administrativ mbështetës , siguron se për shkak dil i Gence, monitorimit të dhënat , dhe dokumentet e mbledhura janë m të mirëmbajtura dhe të mbajtur up-to-date.

ESM do të sigurojë që procedurat e ESMS të rishikohen në mënyrë periodike (shiko modelin e rishikimit në Shtojcën 14) . Të ESMS është subjekt i shqyrtimit të vazhdueshëm dhe improve-me nt ; ajo do të jetë subjekt i exte r shqyrtim përfundimtar pas tre vjet pune.

Rolet / Përgjegjësitë e ESM

- Siguruar që të gjitha E & S studime, ESIAs, BTORs, ESRs, ESAPs dhe llojet e tjera të E & S docume n timit janë ruajtur në Global SNCF dokument sistemin e regjistrimit
- Sigurohuni që të dhënat e monitorimit dhe dokumentet e tjera të mirëmbahen dhe azhurnohen
- Sigurohuni që procedurat e ESMS i nënshtrohen kontrolleve të brendshme periodike
- Sigurohuni që procedurat e ESMS i nënshtrohen një rishikimi të jashtëm pas tre viteve të funksionimit

Regjistrimet dhe Dokumentacioni

- E & S studime, ESIAs, BTORs, ESRs, ESAPs, E & S hapësirat, auditimeve të brendshme ESMS dhe exte r nal ESMS shqyrtime paraqitura në Global SNCF sistemit të dokumentacionit

11 RAPORTET VJETORE TË MONITORIMIT (AMR S)

Hapi 1: In shtesë për mbikëqyrjen periodike dhe raportet e monitorimit të përgatitura nga kontraktorët / operatorët, kategoritë B projektet do të kërkojnë të dorëzojnë një raport vjetor të monitorimit (AMR) të detajuar progresin kundrejt çdo ESM M P dhe PVMS artikujve, një nd të raportojë në përputhje me kontraktuesit Tual, duke përfshirë në vijim përmbajtje :

- Post-ndërtimin e raportin ompletion tregon pajtueshmërinë me rregulloret lokale dhe r e cept të veprojnë lejet / licencat veprojnë ;
- Të gjitha të dhënat e kërkuara të monitorimit mjedisor (p.sh. , cilësia e ajrit / ujit, mbeturinave të ujit, mbeturinave të ngurta, zhurmës) ;
- Të dhëna për incidentet e OHS dhe Koha e Humbura (LTI) (aksidente, vdekje, siguri të jetës dhe zjarrit) .

Hapi 2 : Raporti Vjetor E&S R i SnCF Global . Një raport vjetor i performancës do të përgatitet detajuar se si fondi ka zbatuar ESMS gjatë gjithë vitit, ndryshime, Improv e e sim dhe detajet e E & S performancën e kompanive të investuarit / projektet, në përputhje me DFI kërkesat e raportimit .

Hapi 3 : Një përmbledhje e Raportit Vjetor të E&S do të postohet në faqen e internetit Global SnCF , e vendosur në faqen e internetit të PCALP . (adresa e faqes në internet që duhet të futet) .

Rolet / Përgjegjësitë e ESM

- Sigurohuni që projektet të paraqesin AMR në SnCF Global
- Siguroar post-ndërtimit përfundimit raportit s , dhe raportet e tjera, janë paraqitur
- Sigurohuni që të dhënat e monitorimit E&S të futen në bazat e të dhënave përkatëse / programin e monitorimit
- Sigurohuni që një raport vjetor i E&S të përgatitet në nivelin e fondit
- Sigurohuni që një përmbledhje e këtij raporti vjetor është përgatitur dhe postuar në faqen e internetit Global SnCF

Regjistrimet dhe Dokumentacioni

- AMR të parashtruara në sistemin e dokumentacionit Global SnCF

12 ROLET DHE PËRGJEGJËSITË E STAFIT TË PROJEKTIT DHE PALËVE TË TJERA TË INTERESIT NË LIDHJE ME MASAT MBROJTËSE MJEDISORE DHE SOCIALE

Ky seksion përshkruan rolet dhe përgjegjësitë e stafit të projektit dhe aktorë të tjerë regjistrues në masa mbrojtëse mjedisore dhe sociale, duke përfshirë zbatimin dhe aplikimin e env i mjedisor të dhe komente sociale, monitorimin, mbikëqyrjen dhe raportimin.

Në përgjithësi, propozuesi i projektit ose agjenci Nivel Lokal zbatimit është përgjegjëse për impl e menting një ESMS që imiton SNCF ESMS Global. Në këtë rast, propozuesi i projektit përmban koston e zbatimit, monitorimit dhe raportimit në lidhje me projektin e tij / saj .

Mbështetësit e projektit **dhe / ose agjencitë zbatuese nënkombëtare** : pritet të krijojnë rreze dhe ndikime të projektit anagenë gjatë ndërtimit dhe funksionimit, dhe të mirëmbajnë dhe azhurnojnë një Sistem Environmental dhe Menaxhimi Social (ESMS) që imiton Global SnCF ESMS. Një i m komponent me rëndësi të menaxhimit të E & S punën e saj është angazhimi me komunitetet e prekur nga projekti përmes zbulimit të informacionit përkatës të projektit, efektiv stakeholder angazhimit er dhe konsultimit të informuar dhe pjesëmarrje (ICP). Në veçanti, projekti pr o komponent dhe / ose agjencia Nivel Lokal zbatimin pritet të:

- Ndhmoni kontraktorin / operatorin në zhvillimin e masave për të shmangur, minimizuar, zbutur ose kompensuar ndikimet e E&S në përputhje me PS;
- Rishikimi i ndikimeve të mundshme dhe / ose rrezeve dhe masave të propozuara zbutëse;
- Kur është e mundur, identifikoni mundësi për të përmirësuar rezultatet e E&S;
- Sigurimi i pajtueshmërisë me kërkesat e ESMS ;
- Sigurohuni që rrezeqet e identifikuara potencialisht të rëndësishme potenciale të informacionit dhe informacionit u janë zbuluar palëve të interesuara dhe VNMS është bërë në dispozicion publik pas një konsultimi gjithëpërfshirës për një proces
- Përfshini kërkesat e E&S në dokumentacionin përkatës ligjor dhe kontraktues;
- Monitor dhe dokumenti i projektit E & S performancës gjatë gjithë jetës së projektit kohës ;
- Sigurohuni që monitorimi dhe raportimi do të ndërmerren kundër ESMP-ve të dakorduar, dhe kornizave të tjera nëse aplikohen (p.sh. RAPs, LRP, planet e blerjes së tokës, planet e veprimit të biodiversitetit, planet e popujve indigjenë, etj.)
- Caktoni një dinator të brendshëm E&S Coord në nivelin lokal për të ndihmuar me të gjitha më lart

Koordinatori lokal i projektit E&S: pritet të punojë në emër të mbështetësit të projektit dhe / ose agjencisë zbatuese nënkombëtare për të siguruar që ESMS e projektit është zbatuar siç duhet, duke përfshirë të gjitha pikat e listuara më lart. Në veçanti, koordinatori i projektit lokal E&S pritet të:

- Koordinimi me menaxherin E&S të Fund
- Sigurohuni që të gjithë dokumentet e projektit të jenë regjistruar në përputhje me protokollin e paraqitjes ESMS ;
- Ndhmoni me ndalimin e misionit të kujdesit të duhur për E&S për të vlerësuar çështjet kryesore të E&S në sit, dhe për të zhvilluar një axhendë për misionin;
- Përcaktoni llojin dhe rëndësinë e risqeve dhe ndikimeve që projekti i propozuar është lik e dësi për të gjeneruar në komunitetet e prekura;
- Përcaktoni nevojën për ICP dhe BCS, përfshirë arsyetimin për qasjen;
- Të ndërmarrë një vlerësim i gjerë Mbështetje Community (BCS) për të përcaktuar nëse BCS ekziston në një ffected komuniteteve për projektin e propozuar, duke kryer intervista me komunitetet e prekura;
- Përcaktoni nevojën për FPIC;

- Kërkesa shqyrtim peer dhe ens ure çështjeve kryesore që dalin janë zgjidhur;
- Regjistroni vendime për zbatueshmërinë e PS, shkallën e pajtueshmërisë me PS, Udhëzimet EHS dhe kërkesat e udhëzuesve të sektorit të industrisë në ESRS;
- Siguroni inputet e E&S për dokumentacionin kontraktues;
- Ndihmuar me d transportim tungjesh kushtet PVMS ose kontratë për boshllëqet ngushtë përshkruara në ESRS i n cluding përshkrim detyrë, dhe datën e përfundimit për shqyrtim dhe miratim;
- Ndihmoni me Kategorinë e përkohshme dhe përfundimtare të E&S për projektin;
- Zbatimi i nevojave specifike për raportim të projektit ;
- Identifikimi nëse ekspertiza e jashtme është e nevojshme dhe zhvillimin e ter ms e referencës në përputhje me rrethanat ;
- Monitoron funksionimin dhe efektivitetin e proceseve të angazhimit në komunitet;
- Planifikimi i vizitave për monitorimin e zonës;
- Koordinimi i mo aktivitete nitoring dhe për të siguruar që projektet janë duke u monito-ruar ; dhe
- E nsure se të gjitha relevant E & S dokumente , p raporte roject dhe Raportet vjetore të monitorimit (AMRs) janë paraqitur në sistemin e dokumentacionit .

Shoqëria civile dhe të tjerët . Propozuesi i projektit apo agjenci Nivel Lokal zbatimin inkurajohet fuqimisht për të shfrytëzuar ekspertizën dhe komunitetin njohuritë e shoqërisë lokale civile, si dhe ekspertë të tjerë vendorë, sidomos në lidhje me konsultim me palët e interesuara dhe monitorimin e vazhdueshëm të projektit i M pakte. Një shembull i detyrave që mund të kryhen nga shoqëria civile lokale ose ekspertët vendas përfshin:

- Ndërmarrje e m onitoring faqe Vizita s ;
- Ndihmoni koordinatorin vendor të E&S për mbledhjen e informacionit ose azhurnimet e statusit për raportet vjetore të monitorimit , siç janë aksidentet EHS dhe raportimi i incidenteve, ankesat e komunitetit material, ankesat e forcës së punës punëtore, çdo mosrespektim / shkelje me kërkesat e vendit pritës dhe çdo informacion shtesë mbi E&S.
- Ndërmarrjen e një vlerësimi të gjerë Mbështetje Community (BCS) për të përcaktuar nëse ekziston BCS në komunitetet e prekura për projektin e propozuar, duke kryer intervista me Affec t ed Komunitete;
- Përcaktimi i nevojës për FPIC (kur është e aplikueshme) ;
- Angazhimi i komunitetit dhe zbulimi i informacionit;
- Ndihmimi i procesit të përfshirjes dhe pjesëmarrjes së palëve të interesuara , dhe identifikimi i grupeve v dobësuese (konsultime dhe zbutje);
- Detyra të tjera që konsiderohen të rëndësishme për konsultimin e palëve të interesuara lokale dhe mbështetjen e komunitetit

13 KOSTOJA INDIKATIVE E ZBATIMIT TË ESMS

Aktivitetet e ESMS do të jenë kryesisht të përqendruara në 5 vitet e para të portofolit të projektit për të zbatuar një projekt . Pas kësaj, menaxheri i E&S do të përqendrohet kryesisht në raportimin vjetor dhe ankesat që mund të lindin.

aktivitet	Kostoja vjetore në \$ USD	Total c ost për të 5 para viteve në USD \$
Pilotimi dhe rregullimi i mirë i ESMS ("të mësuarit duke bërë") për gjashtë muajt e parë	15,000	NA
Trajnimi i punonjësve Global SnCF në nivelin operacional (trajnime fillestare dhe përsëritëse)	10,000	50,000
Shërbimet ndërtimin e kapaciteteve me përkrahësit lokale e projektit (ESMS punëtori s dhe duart-në E & S trajnimit gjatë vizitave në terren të projektit)	20 , 000	100 , 000
Fondi 's E & S ekipi	30 0,000	1,5 00,000
Ekspertë të jashtëm (p.sh. për të rishikuar VNMS, ESAP dhe dokumente të tjera)	10 0,000	500 , 000
Logjistika, udhëtimi, etj.	40 , 000	20 0 , 000
Raporti vjetor (monitorimi, modelimi, botimi)	40,000	200,000
PALR VITIN TOTAL	52 5,000	
TOTALI PVERR 5 VJET		2 , 5 50,000

ANNEX 1: GLOBAL SNCF EXCLUSION LIST

Global SnCF does not finance, directly or indirectly, category A (high-risk) projects, including projects involving the following:

- Activities with significant adverse environmental and social risks that are diverse, irreversible or unprecedented
- Non-legal and non-sustainable waste projects, including:
 - Transboundary movements of waste prohibited under international law, unless compliant with the Basel Convention and underlying regulations
 - Large unsorted municipal waste incineration projects
- Large Hydro projects including dam construction and run-of-river hydro
- Projects involving physical or involuntary resettlement
- Activities prohibited by host country legislation or international conventions relating to the protection of biodiversity resources or cultural heritage
- Destruction of High Conservation Value areas or areas with major biodiversity
- Projects affecting indigenous people or involving indigenous communities
- Projects affecting cultural heritage or involving cultural heritage sites
- Projects which result in limiting people's individual rights and freedom, or violation of human rights;
- The production of, or trade in, any product or activity deemed illegal under host country (i.e. national) laws or regulations, or international conventions and agreements, or subject to international phase out or bans, such as:
 - Production of or trade in products containing PCBs
 - Production of or trade in pharmaceuticals, pesticides/herbicides and other hazardous substances subject to international phase-outs or bans
 - Production of or trade in ozone depleting substances subject to international phase out
 - Trade in wildlife, production of or trade in wildlife products regulated under CITES
 - Trade in goods without required export or import licenses or other evidence of authorization of transit from the relevant countries of export, import and, if applicable, transit
- Production or trade in weapons and munitions
- Production or activities involving harmful or exploitative forms of forced labour or child labour as defined in the ILO core labour standards
- Production of cosmetics etc. involving testing on animals
- Commercial logging operations for use in primary tropical moist forests
- Production of wood or wood products other than from sustainably managed forests (enterprises with less than 50% FSC-certified production are excluded)
- Any business activity involving pornography
- Production or distribution of racist, anti-democratic and/or neo-Nazi media
- Production or trade in alcoholic beverages (excluding beer and wine)
- Production or trade in tobacco
- Gambling, casinos and equivalent enterprises
- Production or trade in radioactive materials
- Production or use of or trade in unbonded asbestos fibres or asbestos-containing products
- Drift net fishing in the marine environment
- Shipment of oil or other hazardous substances in tankers which do not comply with IMO requirements

ANNEX 2: IFC PERFORMANCE STANDARDS AND ESIA TERMS OF REFERENCE

Introduction

In 2012 the IFC updated the Environment and Social Sustainability Performance Standards (PSs) and associated documents as:

1. Performance Standard 1: Assessment and Management of Environmental and Social Risks and Impacts
2. Performance Standard 2: Labor and Working Conditions
3. Performance Standard 3: Resource Efficiency and Pollution Prevention
4. Performance Standard 4: Community Health, Safety and Security
5. Performance Standard 5: Land Acquisition and Involuntary Resettlement
6. Performance Standard 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources
7. Performance Standard 7: Indigenous Peoples
8. Performance Standard 8: Cultural Heritage

These eight PSs define clients' responsibilities for managing their environmental and social risks. The most significant change is the role expected of 'the client'.

Summary:

The following sections summarize the Performance Standards. These should be read in conjunction with the PS Guidance Notes as well as the various IFC Good Practice Notes that have been developed by IFC.

Action: Each question should be answered as yes or no, justification provided, and supporting documents attached as necessary

PS 1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS

Environmental and Social Assessment and Management Program

- Does the investee company/EPC Contractor/M&E/Civils/O&M have a management system in place to identify and manage the environmental and social impacts and risks of project construction and operations? Does the system identify mitigation and performance measures that address the impacts and risks of operations? (For example, Quality Assurance; Environmental, Health, Safety & Social)
- How often does the investee review and update the system?
- Does the company have resources earmarked to support this?
- Do they have any best practice certification (ISO)?

Organization

- Are there persons responsible for implementation of the management system?
- Include an outline of the persons responsible including S&E management.

Training

- Does the company have training programs in place for the persons responsible?

Community Engagement

- Does the company have a community engagement process for affected communities?
- If applicable, does this process ensure free, prior and informed consultation of the affected community?
- Does the company have a grievance mechanism in place for affected communities?

Monitoring

- Does the company have procedures in place to monitor management program performance?

Reporting

- Is appropriate environmental and social performance information periodically reported internally to senior management, investors and stakeholders as relevant?

PS 2: LABOUR AND WORKING CONDITIONS

Human Resources Policy and Management

- Does the investee company have an HR policy? Is it clearly understandable and easily accessible to all employees? Does it provide information on rights under national labor and employment law?
- Has the company documented and communicated working conditions and terms of employment to all workers directly contracted? Does this include guidelines on working hours, overtime procedures, wages paid, types of contracts, frequency of payments and sick and maternity leave?
- What is the language of communication with workers and employees?
- Are the terms and conditions in accordance with any collective agreement with workers?
- Has the company implemented a grievance mechanism to review and address employee complaints?
- Is there a person responsible to review complaints and follow up on them in a timely and transparent manner?

Worker's Organization

- Does the company comply with national law in allowing workers to form and join workers organizations and bargain collectively? Does it have a workers' organization or trade union? If yes, when was this formed? What percentage of the workforce are members? Are members entitled to special benefits?

Non-Discrimination and Equal Opportunity

- Does the company have documented transparent procedures with respect to discipline, performance and grievance procedures to ensure that employment decisions are not made on the basis of personal characteristics unrelated to job requirements? Does the company have any preferential employment policies in place?

Retrenchment

- Does the company anticipate retrenchment of a significant number of employees? If yes, is there a retrenchment procedure in place? Have workers been consulted appropriately. IFC has produced a Good Practice Note for managing retrenchment.¹
- If the investment entails an expansion will this create additional jobs?

Protecting the Work Force

- Does the company ensure child or forced labor is not used directly, or through contractors or in the supply chain? Does the company check the ages of all employees? Does the company ensure that young workers (15-18 years) are not employed in dangerous work? Does the company commit contractors and suppliers to not use child or forced labor?

Occupational Health and Safety

Does the company:

- provide its workers with a safe and healthy work environment? Does this include providing workers with and mandating that workers use personal protective equipment (PPE)? Has the company taken steps to prevent accidents, injury, and disease by minimizing the causes of hazards?
- conduct appropriate monitoring and inspections to ensure worker safety? Does this include monitoring ambient and workplace exposure to noise, and workplace illumination, air quality and temperature as applicable?
- track and report on rates of injury, occupational diseases, lost days, and absenteeism and number of work-related fatalities? Does the company track staff turnover?
- have training programs in place for workers in occupational health and safety?
- have a fire, life and safety plan?

PS 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION

Pollution Prevention, Resource Conservation and Energy Efficiency

- Provide details about the company's resource use including sources and estimates of daily use for energy and water. Has the company ever conducted a cleaner production audit? Do the company's operations incorporate energy efficiency and water conservation measures? (See also. guidance under PS 6, Management and Use of Renewable Natural Resources.)
- Does the company monitor air and water emissions? Is ambient air quality monitored on site?
- Does the company apply project-specific pollution prevention and control techniques?

Waste management

- Does the company have procedures for storage, handling, and disposal of solid wastes? Does this include waste management techniques?
- Does the company treat effluents prior to disposal?

Hazardous Materials

¹ https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/publications/publications_gpn_retrenchment

- Does the company have procedures for storage, handling and disposal of hazardous materials?

Emergency Preparedness and Response

- Does the company have an emergency prevention, preparedness and response plan?

PS 4: COMMUNITY HEALTH, SAFETY AND SECURITY

Community Health and Safety

- Are there any communities in close proximity to the investee company's facilities? What is the relationship of the company with the local community? Does the company take community, health and safety considerations into account in the context of its operations? Do its requirements take into account company infrastructure and equipment safety, hazardous material release, transport and disposal considerations, natural resource use and community exposure to disease?
- Has the company designated contact persons within the organization responsible for receiving and responding to questions, concerns or complaints raised by nearby communities or other stakeholders? If yes, are the contact details for these persons will be displayed prominently on the company facility signage?

Emergency Preparedness and Response

- Does the company's emergency preparedness and response plan take into account risks and impacts from project activities to local communities? Does this include the requirement to inform affected communities of significant potential hazards in a culturally appropriate manner?

Security Personnel Requirements

- Does the company engage security personnel to provide security services at their facilities? If yes, do the contract provisions include guidelines on how security personnel shall interact with communities in close proximity to the facility?
- Are security personnel armed? If yes, has the company provided training on the appropriate conduct towards workers and the nearby communities? Have there been any allegations of unlawful and/or abusive acts by security personnel towards workers or nearby communities? If yes, how were these dealt with by the company?

Action for PS 5-8:

- 1) **Does or will the project trigger PS 5 through 8 at all?**
- 2) **If no, the following questions are not applicable to the project and shall be ignored**
- 3) **If yes, each individual question below should be answered accordingly, justification provided, and supporting documents attached as necessary**

PS 5: LAND ACQUISITION AND INVOLUNTARY RESETTLEMENT

Project design

- Is there any land acquisition for the proposed investment? If yes, what was the previous use of the land and how was the land acquired? Was the land acquisition managed by the government?

Compensation and Benefits for Displaced Persons

- Has there been any physical and/or economic displacement and resettlement as a result of land acquisition for this project? If yes, provide detailed information with regard to the type of displacement and the displaced persons and communities.
- Has the investee company engaged with the displaced persons and communities and/or provided opportunities to derive appropriate development benefits from the project? If yes, provide details.

Consultation and Grievance Mechanism

Has the investee company:

- Disclosed all relevant information, consulted with affected persons and communities and facilitated their informed participation in the decision making process relating to resettlement?
- Established an effective grievance mechanism?

Resettlement Planning and Implementation

Has the investee company:

- Considered alternative designs to avoid or minimize economic and physical displacement?
- Identified persons to be displaced by the project and those eligible for compensation and assistance through a baseline census with appropriate socio-economic baseline data? Has the census established the status of displaced persons according to their legal rights or claim to land?
- Prepared a Resettlement Action Plan (RAP) or resettlement framework (if physical displacement is involved) that mitigates the negative impacts of displacement, identifies development opportunities and establishes entitlement for all affected persons?
- Developed procedures to offer compensation or other assistance that will establish entitlement for affected persons or communities (if economic but not physical displacement is involved)? Has this included providing replacement property, compensation, targeted assistance and/or transitional support in accordance with PS 5 requirements?
- Has the cut-off date for eligibility been established or disseminated?

Private Sector Responsibilities under Government-Managed Resettlement

- Was resettlement managed by the government? If yes, has the company supplemented government actions and bridged the gaps (if applicable) between the government-assigned entitlements and procedures and the requirements of this PS?

PS 6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES

Protection and Conservation of Biodiversity

- Has the investee company identified and addressed the impacts on biodiversity as part of their operations?
- Will modified, natural and critical habitat (as defined by PS 6) be impacted by the company's activities?

-In the case of natural habitat, has the company considered alternatives and adequately mitigated any potential degradation?

-In the case of critical habitat, has the company suitably determined that there will be no measurable adverse impact on species or habitat?

- Does the company conduct any operations in legally protected areas? If yes, has the company addressed the requirements for legally protected areas outlined in PS 6?
- Has the company identified any alien species which may be intentionally or unintentionally introduced through its activities? If intentional introduction of alien species is planned, has this received appropriate government regulatory approval?

Management and Use of Renewable Natural Resources

- Has the investee company identified renewable natural resources which it will use, and committed to managing them in a sustainable manner?
- In the case of projects in natural and plantation forests, has the client obtained independent certification to ensure that these natural forests and plantations are being managed sustainably? If no, or pending then has a time-bound phased action plan been developed to achieve such certification?
- In the case of projects in freshwater and marine environments, has the client obtained independent certification of the sustainable management of these aquatic resources, or provided other independent studies to show these resources are sustainably managed?

PS 7: INDIGENOUS PEOPLES

Avoidance of Adverse Impacts

- Is it likely that Indigenous Peoples (IPs) will be adversely impacted as a result of the project's operations? Does the ESIA conducted by the investee company identify the adverse impacts to IPs and identify ways to avoid these where possible?
- Has the investee company compensated in a culturally appropriate manner consistent with the guidance provided in PS 7.

Consultation and Informed Participation

- Has the investee company established a process for Informed Participation through an FPIC process centered on mitigation measures, sharing of developmental benefits and opportunities and implementation issues as outlined in PS 7?

Impacts on Traditional or Customary Lands under Use

Has the investee company:

- informed IPs of their rights according to national laws including those recognizing traditional/customary rights?
- offered at least compensation and due process to those with full legal title to land together with culturally appropriate development opportunities

- provided land-based compensation or compensation-in-kind in lieu of cash compensation where feasible?
- entered in good faith negotiations with affected communities and documented their informed participation and the successful outcome?

Relocation of Indigenous Peoples (IPs) from Traditional or Customary Lands

- Has the investee company conducted a successful good faith negotiation, applied the requirements of the Performance Standards and, where feasible, ensured that IPs can return to their traditional or customary lands should the reason for their relocation cease to exist?

PS 8: CULTURAL HERITAGE

Protection of Cultural heritage in Project Design and Execution

- Is the project located in an area where cultural heritage is expected to be found? If yes, has a Chance Find Procedure been established as outlined in PS 8?
- Is it possible that the project may affect cultural heritage or has critical cultural heritage been identified where significant damage is unavoidable? If yes, has the company complied with the requirements of PS 8?
- Is the project located in a legally protected area or a legally defined buffer zone? If yes, has the company complied with requirements of PS 8?

Project use of Cultural Heritage

- Has the investee company identified proposed project use of cultural resources, knowledge, innovations, or practices of local communities embodying traditional lifestyles for commercial purposes? If so, has the client informed these communities of:
 - their rights under national law
 - the scope and nature of the proposed commercial development
 - the potential consequences of such development
- If commercialization has proceeded, has the investee company:
 - entered into good faith negotiation with the affected community embodying traditional lifestyle
 - documented their informed participation and successful outcome of the negotiation
 - provided fair and equitable sharing of benefits from commercialization

Global SnCF will use IUCN's guidance note to prepare the ESIA ToRs (see below).

Environmental and Social Impact Assessment (ESIA)

I. Context

This document provides guidance for conducting an Environmental and Social Impact Assessment (ESIA) and for preparing an ESIA report. It also serves as guidance for drafting the Terms of Reference for an ESIA. An ESIA is applicable for projects that have been identified by the Environmental and Social Management System (ESMS) screening as high or moderate risk projects, requiring full or a partial ESIA respectively¹. The purpose of the ESIA is to assess and predict potential adverse social and environmental impacts and to develop suitable mitigation measures, which are documented in an Environmental and Social Management Plan (ESMP).

The scope and depth of the ESIA depends on the nature, complexity and significance of the identified issues, as established by the ESMS screening. For a full ESIA the scope is defined by a scoping study which involves relevant stakeholders to confirm the risks identified by the ESMS screening, to set priorities for the ESIA and to determine the types of assessments required for the ESIA. The key elements, methodology and outputs of a scoping study are described in the ESMS Guidance Note on Scoping.²

II. Key elements of an ESIA and an ESIA report

The key elements of an ESIA and its report are described in this section. These elements must be thoroughly covered by a full ESIA for a high-risk project. A partial ESIA does not require as much background and baseline data as a full ESIA; the elements usually not covered in a partial ESIA are marked with an asterisk. The order and manner in which the information is presented in an ESIA report should be based on this outline.

1. Non-technical summary

Summarise significant impacts in a way that can be easily understood by a non-technical audience, in particular local stakeholders. The summary includes how the identified impacts should be managed and points out any outstanding issues that require further action.

2. Project description

Concisely describe the main parameters of the proposed project, including:

- The project proponent and other project partners and their respective roles in the project
- The project's geographic location, preferably illustrated with appropriate maps³
- Summary of the project (project objective(s), expected results/outcomes, outputs and main activities)
- Implementation arrangements.

3. Analysis of policy, legal and administrative framework*

Describe the policy, legal and administrative framework within which the project takes place and identify any laws and regulations that pertain to environmental and social matters relevant to the project. This includes regulations about environmental and/or social impact assessments to which the

¹ A partial ESIA typically focuses on the few delineated environmental or social impacts issues identified by the ESMS screening.

² Available at www.uct.ac.za/esms

³ When including maps in the ESIA report, make sure that the sites mentioned in the report are clearly identified on the maps.

project must adhere as well as laws implementing host country obligations under international law. Explain the requirements of any co-financing partners, if applicable. Where pertinent, take into account legal frameworks for promoting gender equality. Flag any areas where the project might fall short on compliance.

4. Stakeholder identification and analysis

The purpose of the stakeholder identification and analysis is to understand potential impacts on stakeholders and to clarify who should be involved in the ESIA process and how. This is done by listing all relevant stakeholders – based on any existing stakeholder analysis developed during the project design process and on general knowledge about the project context and its main stakeholders – and elaborating the following:

- stakeholders' interests in and expectations from the project;
- how they might influence the project (positively or negatively);
- a first appraisal or estimation of how their livelihoods could be impacted by the project (positively or negatively); and
- how they should be involved in the ESIA based on the information in the three items above.

Stakeholders should be disaggregated between men and women where relevant and feasible. It is useful to present the key findings of the stakeholder analysis in a matrix. The stakeholder analysis is considered a work in progress that should be adjusted as more information becomes available during the ESIA process and beyond.

5. Environmental and social baseline*

Describe and analyse the environmental and social context in which the project operates. While some broad contextual information is necessary, the analysis should focus on the immediate context of the project site and aspects that relate to the identified impacts in order to be relevant to decisions about project design, operation, or mitigation measures. For general context data, consult – to the extent possible – secondary data and existing analyses, including the situation analysis carried out as a previous project design step. To understand the context at the project site, it is usually necessary to collect primary data at the site.

The main purpose of this section of the ESIA report is to provide an understanding of current environmental and social conditions that form the baseline against which project impacts can be predicted and measured during project implementation. For moderate-risk projects that require only a partial ESIA and no scoping study, this section also provides an opportunity to substantiate the results of the ESMS screening by confirming potential impacts and/or identifying other potential impacts.

The scope of the baseline analysis depends on the nature of the project and the issues identified by the screening. The analysis might cover a range of physical, biological, socio-economic and cultural features potentially affected by the project. The ESMS Guidance Note on Social Impact Assessment (SIA)* provides complementary guidance including a non-exhaustive list of topics relevant for understanding social impacts.

6. Assessment of environmental and social impacts

This step is the heart of the ESIA; it itemizes and describes the identified impacts, makes predictions in terms of their probability and assesses their significance. In accordance with the ESMS Policy Framework, the assessment should give particular attention to impacts related to the ESMS standards such as adverse impacts on people's livelihood through access restrictions or resettlement, on indigenous peoples, on cultural heritage or on biodiversity. However, thematic coverage of the ESMS

* See ESMS Guidance Note on Social Impact Assessment, available at www.iact.org/esms.

also involves other potential social impacts including impacts on women or vulnerable groups or risks triggered by the project failing to take climate change effects into consideration. While the ESIA's terms of reference already establishes the main impacts to be covered by the assessment – based on the screening (or scoping for high-risk projects) – it is important to understand that an ESIA is an iterative process during which new and more detailed information may be obtained and additional significant issues might come up (e.g., as part of the baseline analysis).

When analysing the risks not only direct impacts should be taken into consideration but also indirect impacts such as inadvertent knock-on effects or cumulative effects that materialise through interaction with other developments, impacts occurring at the project site or within the project's wider area of influence⁵ and impacts triggered over time⁶.

Project impacts can be analysed using a range of methods from simple qualitative analysis to detailed quantitative surveys or modelling. The data collection methods and analytical tools used and the depth of analysis should be commensurate with the type and significance of the impacts. It should allow rigorous assessment of the significant impacts using qualitative and to the extent possible also quantitative methods. The report should describe the methods chosen for data collection and analysis and the rationale for the choice of method; it should further describe the quality of available data and, where applicable, explain key data gaps and uncertainties associated with predictions.

Participatory research and assessment tools should be employed wherever sensible to increase stakeholder's understanding of the project, provide opportunity for raising issues and enable participation of affected groups in the identification of mitigation measures, as discussed in section 9.

To assess the significance of an impact, the following criteria should be considered:

- sensitivity of the receptor;⁷
- magnitude of the anticipated impact taking into account severity of impacts, the expected duration and scale and whether or not the impact is reversible;
- probability of the impact occurring; and
- potential that the impact will present a reputational risk for IUCN.

Understanding the significance of impacts is important for prioritising the need for mitigation measures. To aid in evaluating significance, two methods with templates are suggested in Annex A: a significance ranking tool using the criteria above (Table A1) and a risk assessment framework (Table A2). Other methodologies for significance assessment and prioritization may be equally useful.

7. Analysis of alternatives*

The purpose of the analysis of alternatives is to identify other options, including not implementing the project, to achieve the project objectives and compare their impacts with the original proposal. This step is required only for high-risk projects where the identified impacts are very significant.

The analysis systematically compares feasible, less adverse, alternative technologies, designs, operations and sites – including the "no project" option – to the proposed project in terms of:

- their effectiveness of achieving the project objectives as well as potential trade-offs;
- their potential environmental and social impacts;
- the feasibility of mitigating these impacts;
- operational requirements and their suitability under local conditions;
- their institutional, training, and monitoring requirements;

⁵ For a definition of the project's wider area of influence, see the glossary in the ESMS Manual at www.iucn.org/esms.

⁶ Although the future cannot be foreseen, the assessment should consider scenarios that are technically or scientifically robust enough to make predictions.

⁷ A receptor is an aspect of the existing biophysical and social environment (i.e., people, social groups, species populations or ecosystems) affected by or interacting with the project activities.

- their estimated cost-effectiveness; and
- their conformity to existing policies, plans, laws and regulations.

The analysis should recommend the preferred alternative and state why it was chosen.

8. Environmental and social management plan (ESMP)

A main output of the ESIA process is a strategy for managing risks and mitigating impacts. The identification of mitigation measures is done in consultation with affected groups and is guided by the mitigation hierarchy. The mitigation hierarchy implies that all reasonable attempts must first be made to avoid negative social or environmental impacts. If avoidance is not possible without challenging the conservation objective of the project, measures should be taken to minimise the impacts to acceptable levels and address remaining residual impacts with adequate and fair compensation measures.

The risk management strategy is documented in an Environmental and Social Management Plan (ESMP) that describes: the mitigation measures developed during the ESIA, an implementation schedule and required resources and responsibilities. The technical and operational feasibility, cultural adequacy and sustainability of proposed measures must be demonstrated as well as requirements for capacity building and institutional strengthening, where relevant. The ESMP should also indicate how the measures designed to avoid impacts will be monitored for effectiveness. The guidance note for developing the ESMP provides further instructions and includes templates for the ESMP and for monitoring the plan.⁸

9. Results of stakeholder consultations

Stakeholder engagement is a key principle of the ESMS and an important procedural tool for a successful ESIA. It improves understanding of local conditions and stakeholders' concerns and is essential for identifying effective strategies for mitigating negative impacts. Involving affected groups in decision making gives them more confidence and security, improves the legitimacy of the project and helps build constructive relationships among stakeholders.

The ESMS Manual defines requirements for stakeholder engagement by establishing minimum provisions for disclosure and consultation during the steps of the project cycle.⁹ These provisions are particularly relevant for the ESIA process; the provisions for consultation and disclosure are more stringent for high-risk projects (full ESIA) than for moderate-risk projects (partial ESIA). Tables 5 and 6 in the ESMS Manual synthesise these requirements.¹⁰

During the ESIA, consultations should concentrate on potentially affected groups, indigenous peoples and civil society organizations; the stakeholder analysis supports the decision of whom to consult. The consultation process must be culturally appropriate, non-discriminatory and gender sensitive. It should assure that all people whose lives might be affected by the project are properly consulted to verify and assess the significance of impacts and that all affected groups are provided the opportunity to participate in the development of mitigation measures.

The intensity or depth of stakeholder engagement should be appropriate to the complexity of the project and the significance of the identified risks and tailored to individual groups. The general logic of stakeholder engagement that should be followed is described in Figure 3 in the ESMS Manual. It is important to be mindful of the resources and time required of stakeholders. The consultation process is best scheduled in iterative steps, first seeking initial inputs, then feed-back on first assessment results and suggestions for mitigation actions, and concluding with a final stakeholder meeting to gather feed-back on the draft of the ESIA report, the ESMP and other action plans, as relevant.

⁸ See ESMS Guidance Note on Developing and Monitoring an ESMP, available at www.iumc.org/esms.

⁹ See sections 4.2.7 and 4.6 of the ESMS Manual, available at www.iumc.org/esms.

¹⁰ See ESMS Manual, section 4.6, available at www.iumc.org/esms.

If the Standard on Involuntary Resettlement and Access Restrictions or the Standard on Indigenous Peoples are triggered, consultations should fully adhere to the Free, Prior and Informed Consent Principle. Guidance is provided in the ESMS Manual and in a separate guidance note.¹¹

The final ESIA report should document the results of the consultations carried out with stakeholders and project-affected groups and provide a summary of the concerns raised and an explanation of how these results have been addressed in the ESIA and the ESMP. The description should specify how women were included in the consultation, taking into consideration their gender-specific knowledge, roles, responsibilities and potential impacts.

III. Other items to be specified in the terms of reference for an ESIA

The actual terms of reference for an ESIA must be tailored to each project as the scope and depth of the assessment depend on the nature, complexity and importance of the issues emerging from the ESMS screening. For high-risk projects, the scope of the ESIA will be determined in detail by the scoping study preceding the ESIA.

The terms of reference for an ESIA usually include the items listed below. The terms of reference for moderate-risk projects are less comprehensive than those for high-risk projects; hence elements marked with an asterisk are usually not required for a partial ESIA.

- A summary of the main project features
- A list of applicable national and local ESIA requirements, where available and relevant*
- A list of the key issues that emerged from the ESMS screening and scoping to be analysed in the ESIA
- A description of the required elements of the ESIA (see section II, 3-9) and specification of the content of any additional specialist studies (if applicable) to be undertaken as part of the ESIA
- Provision of methodological guidance (if applicable) for the overall ESIA and specialist studies (e.g., gender responsive analysis)
- Specification of the type of environmental and social expertise required by the ESIA expert/team
- A preliminary list of feasible project alternatives including a "no project" option and requirements for their assessment*
- Specification of types of required consultations with affected people, communities and other parties including final stakeholder meeting(s) for gathering views on the draft ESIA and ESMP
- The requirement for preparing an ESIA report and other documents or action plans (as needed) and for rigorously indicating accuracy, reliability and sources of the data used
- A budget and schedule for the ESIA providing sufficient time and funds for effective stakeholder consultation.

Carrying out an ESIA requires a technical team with appropriate qualifications and experience in qualitative and quantitative research techniques and familiarity with the thematic and regional or local context; the team should have experience with participatory design and assessment methodologies, with gender analysis and gender-responsive project design and, where relevant, with indigenous peoples' issues.

¹¹ ESMS Guidance on Free, Prior and Informed Consent will be available at www.iucn.org/esms.

ANNEX 3: INDICATIVE CHECKLISTS DURING DUE DILIGENCE: CONTRACTORS/PROJECT PARTNERS**Checklist 1: Health and Safety Risks**

S = Satisfactory

U= Unsatisfactory

NA= Not Applicable

Issue	Suggested questions to identify relevance of issues to business viability	Rating S/U/NA	Notes/Action required
Consultation with workers	Is occupational health & safety included in workforce consultation?		
Inspections	Are there regular and effective health and safety inspection and compliance checks?		
Pending Prosecution	Is there any previous or pending prosecution relating to breach of health and safety by project sponsors or company?		
H&S Record	What is current health and safety record of sponsors or company?		
Communities	Are there any health and safety risks to local community associated with the investment?		
Training programs	Is general and specific safety training provided?		
Lifting of loads	Are mechanical lifting aids provided where necessary?		
Accident reporting and investigation	Are accidents reported? Are statistics maintained? Are investigations carried out?		
Maintenance schemes	Is there a program of preventative maintenance?		
Machinery safety: guards and electrical	Are machinery guards fitted? Is the workplace tidy? Is lighting adequate?		
Permit to work system	Is a “permit to work” system used to ensure that equipment is safe before maintenance is started?		
Electrical safety, overhead lines, cabinets	Is the electrical installation of a reasonable standard? Are electricians trained? (IEE standards)		
Fire and explosion hazards	Are there fire and explosion hazards such as dusts (flour, sugar), LPG, fuels, solvents? Is there an alarm system? and is fire-fighting equipment provided (ad-		

Issue	Suggested questions to identify relevance of issues to business viability	Rating S/U/NA	Notes/Action required
	equate water supply, extinguishers)? Where will contaminated fire water drain to?		
Transport of people and materials	Is there a required standard for company drivers? Are there medical and competence tests?		
Toxic dusts, fumes	Are hazardous chemicals/materials (e.g. solvents, dusts, asbestos, pesticides) used and are workers exposed to them?		
Personal protective equipment provision	Is protection/ventilation/extraction installed or is appropriate personal protective equipment provided?		
Noise levels	Does the noise exposure of employees exceed 85 dB(A)? If so, are earmuffs or plugs provided and worn?		
First Aid provision	Is first aid equipment provided? Are there trained First Aiders?		
Health surveillance plans	Are pre-employment and routine medicals (e.g. hearing loss, chemical exposure, lung function) carried out where necessary?		
Emergency plans and drills	Are fire/safety drills carried out? Are there emergency plans for on-site and off-site incidents?		

Checklist 2: Environment Risks

Issue	Examples of questions to be used to identify the relevance of these issues to the business viability (bullets contain potential follow up questions)	Rating S/U/NA	Notes/Action required
Applicable Laws	Local environmental laws, standards and regulations applicable to the investment. Have project sponsors or company obtained relevant up to date environmental permits and certifications? Relevant international environmental standards? Use of WBG EHS Guidelines?		
Risk Management	What is the process for identifying, mitigating and managing environmental risks?		
Water quality	Is the consumption of water or disposal of aqueous effluent likely to impact on other users of this supply?		

Issue	Examples of questions to be used to identify the relevance of these issues to the business viability (bullets contain potential follow up questions)	Rating S/U/NA	Notes/Action required
	Source/s & quantity of water required? Treatment of effluent or discharged to public sewer?		
Environmental Track Record	Have there been any reported environmental incidents with the project sponsors or company in the last 5 years? If yes provide details.		
Biodiversity	Has the transaction identified and addressed all biodiversity impacts of its operations through an environmental impact assessment?		
Resource Conservation	Are records and targets for energy and other resource use?		
Local air quality	Is the air quality at the workplace, on the site and surrounding area satisfactory? Dust, other emissions or fumes from vehicles, plant or equipment? Effective mitigation systems are installed?		
Ozone depletion	Are CFCs used in refrigeration or air-conditioning systems? Alternatives considered?		
Hazardous substances	Are hazardous substances involved in the process? Are they managed effectively? Are PCBs present in transformer oils? Tanks bunded?		
Solid waste	Waste minimisation programme: recycling, reuse of packaging material?		
Contaminated land	Are there signs of contamination of land from past activities on site (agricultural & industrial)?		
Amenity impact	Are there noise or other nuisances?		

Checklist 3: Social Risks

Issue	Examples of questions to be used to identify the relevance of these issues to the business viability	Rating S/U/NA	Notes
Low Wages	Are wages at or around the level of the minimum wage? Likely to fall below the level sufficient to meet basic needs?		
Communities Development	Does the investment contribute to any community development programmes through financial donations or in other ways? What impacts may the company's activity have on local communities and other stake-		

Issue	Examples of questions to be used to identify the relevance of these issues to the business viability	Rating S/U/NA	Notes
	holders?		
Policy	Effective HR policy in place?		
Contracts	Are proper labour contracts in place for staff?		
Consultative Work-Place Structures	Is there an effective grievance mechanism? (Particular care required in countries with legislation restricts trade unions.)		
Child labour	Children under 18 employed? If so, for what kind of work and how old are they?		
Discrimination	Does the company discriminate on the basis of gender, race, colour, disability, political opinion, religion or social origin?		
Forced labour	Is any of the work extracted under threat of force or penalty e.g. does the employer hold workers' identity documents?		
Retrenchment	Are job losses expected to arise from the investment (e.g. privatisation, restructuring)?		
Access to facilities or services	Standard of existing or proposed facilities or services – housing, education, health, food, water?		
Non-Local Work Force	Will the business (or sub-contractors) import a non-local work-force requiring accommodation and access to facilities for a period of more than 3 months?		
Resettlement/economic displacement	Are people being moved from or excluded from the site of the investment, particularly on an involuntary basis?		
Cultural property	Does the investment affect a religious or ancestral site, or natural resources ascribed by local people with cultural/sacred significance?		
Indigenous peoples	Does the investment affect indigenous people or involve indigenous communities?		

ANNEX 4: FORM OF CONSULTANTS TOR FOR AN E&S REVIEW

Terms of References for Environmental and Social Due Diligence Assessment for [Project]

11 May 2020

Global SnCF requires the services of an independent environmental and social consultant (“a Consultant”) to perform an environmental and social due diligence (“ESDD”) assessment of a proposed investment in **[describe]** company (“the Company”).

The following Terms of References are applicable to the execution of the requested services.

NOTE - THE POINTS BELOW TO BE ADAPTED AS NECESSARY

1. Description of the Project

[Insert description].

2. Objective

The requested services are to support **Global SnCF's** investment decision and follow-up approach by independently assessing and verifying the Project against the reference framework elaborated in Section [3], identifying compliance gaps, necessary mitigation and follow-up actions.

3. Reference Framework

The reference framework will be (adapt as necessary):

- Applicable local, national and international environmental and social (including occupational health and safety) legislation.
- [Fund's Policy]
- [IFC Performance Standards, 2012].
- [The World Bank Group General Environmental, Health and Safety (EHS) Guidelines,]
- [The relevant World Bank Group Industry Sector EHS Guidelines].
- [Other international standards which may be applicable]

4. Team

The assignment has to be carried out by suitably qualified independent environmental and social experts, with appropriate background and experience in the sector and region.

[Add any specific requirements].

5. Scope of Work and Tasks

The scope of work comprises the independent assessment of all material environmental and social aspects of the Project, within the framework stipulated in Section [3].

Specifically, this work will entail (*examples below*):

- 1) [Review the Company's environmental and social programs and management systems, and implementation, and **[assess compliance with / benchmark them against]** the Reference Framework];
- 2) Review processes, procedures and the institutional capacity of the Company to manage environmental and social risks and impacts in accordance with Good International Industry Practice (GIIP), as defined by the IFC Performance Standards and the World Bank Group EHS Guidelines (both General and Industry Sector guidelines).
- 3) Assess the capacity of the **[Company/Project]** to **[comply/operate accordance with/develop a Project in accordance with]** GIIP, identifying gaps to compliance and recommending actions as necessary with implementation prioritisation;
- 4) Reviewing and, where necessary, recommending improvements to the **[Environmental and Social Impact Assessments (ESIAs) / Other documents]** and the proposed environmental and social management plans for **[the Project]**; and
- 5) Perform site visits to assess the implementation of the Company's environmental and social management systems and plans and the adequacy of the Company's management practices against the Reference Framework;
- 6) Identify opportunities for value addition through environmental and social improvements and initiatives.
- 7) Prepare an Environmental and Social Action Plan (ESAP) describing the actions to be implemented to achieve compliance with the Reference Framework within a reasonable timeline. Refer to Appendix A.
- 8) Conduct a review to identify from publicly available media sources if there are any potential environmental and/or social issues, including NGO attention/campaigns, or items that may lead to reputational risks to the Company and/or Global SnCF.

The assessment will comprise of **[X]** tasks (*examples below*):

- A. *[Kick-off Meeting:*
[Describe].
- B. *Assessment of the Company's capacity and track-record:*
[Describe].
- C. *Information Review:*
[Describe].
- D. *Site Reconnaissance:*
[Describe].
- E. *Preparation of the deliverables (see Section [6]):*
[Describe].

6. Reporting and Deliverables

The Consultant will provide (*examples below*):

- i. [*Preliminary Summary of Principal Findings* – shortly after conclusion of the site reconnaissance, the Consultant will provide a concise back-to-office report focusing on principal findings and identified risks, impacts and opportunities. A meeting/conference call will be scheduled between **Global SnCF** and the Consultant to discuss the principal findings and the timeline for preparation of the ESDD report; and
- ii. [*Environmental and Social Due Diligence Report* – the Consultant will provide a detailed report fully reflecting the scope of work. Where compliance gaps with the Reference Framework and/or opportunities for value addition through E&S improvements have been identified these will be presented in Environmental and Social Action Plans (using a tabular format substantially similar to the example presented in Annex A)].

7. Timeframe

[Insert].

8. Proposal

The proposal for the ESDD should contain the sections listed below:

1) Scope of Work:

The scope of work should include a description of the specific activities that will be performed in order to accomplish the required tasks identified in Section 5. This should include any proposed site visits/reconnaissance, documents to be reviewed, interviews, etc. If the Consultant feels that additional tasks or components within a required task are suggested or warranted, these should be stated and delineated as “Optional Tasks”.

2) Project team and qualifications:

This should include the name of the principal staff members and any sub-contractors, and a brief description of their role within the project team. Qualifications of staff should include relevant technical capabilities, specific previous project experience similar to this Project, specific in-country experience and knowledge, specific language skills.

3) Estimated costs:

A total lump sum cost estimate (not to be exceeded), in US Dollars, must be provided for the required scope of work. A breakdown of the estimated costs by task must also be presented (i.e. tabular format) and should include Direct Labour Costs (number of hours or days per staff and their associated unit costs) and Indirect Labour Costs (i.e. travel, per diem, sub-contractors, etc.).

4) Conflicts of interest:

As part of the proposal, the Consultant shall also confirm that they do not have a conflict of interest and that they are able in a position to provide an adequate, accurate and objective review.

5) [ADD NEW SECTIONS AS APPROPRIATE]:

Environmental and Social Action Plan (ESAP) indicative template

The report should include a standalone Action Plan to address the gaps identified against the Reference Framework. This Action Plan will diligently aggregate the gaps identified in the report in a tabular format (such as the example presented below), set realistic deadlines for completion of the actions (with the emphasis on achieving compliance as soon as possible), and include the information shown below. The Measure and/or Corrective Action description should be succinct, but suitably detailed, accurate and clear and referenced against the appropriate standard.

Additional notes on the Action Plan:

- Where issues are identified that carry associated high risks or potential for regulatory action, addressing these issues should be prioritised in the Action Plan.
- The Action Plan should take into account any additional staff or skills required by the Company E&S management.
- Where appropriate, larger or longer-term Measures or Corrective Actions should be further broken down to milestone to facilitate monitoring of progress in achieving them.
- In preparing the Action Plan, it should be taken into account whether significant synergies to achieve compliance with both international standards (i.e. IFC Performance Standards) and national requirements exist.

Reference standard / law / regulation	Actions	Priority (Low, Medium, High)	Responsibility	Deadline	Completion indicator	Estimated cost

ANNEX 5: SCREENING CHECKLISTS FOR (I) GO/NO GO MEETING & (II) FINAL INVESTMENT DECISION MEETING

(i) Go/No Go Meeting

Project Name:	Country:	Project ID: #	Exclusion List Screening: Y/N Global SnCF E&S Policy: Y/N Provisional Categorization: A, B or C
E&S Appraiser:	E&S Approval:	Date of Review:	Project Status: Proposed/Construction/Operation
Proposed Investment:			TA to be Provided: Y/N

Brief Project Description:

Summary of potential E&S Issues:

At appraisal the key issues were identified as:

-
-
-
-

Issue	Questions used to assess the potential EHS risks and determine the overall risk category	Risk H/M/L Or NA	Risk Justification
ENVIRONMENTAL ISSUES			
Area of Influence	Does the project have a large area of influence and have all associated facilities including the RoW for any transmission lines been assessed?		
Pollution	Potential for causing significant pollution of air, soil or water.		
Habitat loss and impact on biodiversity	Is the project expected to result in a change in land use e.g. forest to agricultural; agricultural to more intensive agricultural/industrial? Will this involve land clearance and/or the risk of water pollution? Use of or impact on particularly fragile areas such as wetlands?		
Resource use	Is the consumption of water or disposal of aqueous effluent likely to significantly impact on other users of this supply?		
Natural Resources	Is the project expected to cause any of the following:		

	Land Erosion? Fish stocks decline? Deforestation? Land reclamation?		
Supply chain	Are materials from sustainable sources?		
Contaminated land	Are there signs of contamination of land from past activities on site (agricultural & industrial)? Are tanks bunded? What is the standard of storage of drums? Are there obvious leaks? Paper/Plastics general disposal? Industry/Chemical Waste disposal? Organic Waste Contamination? unsafe/contaminated water		
SOCIAL ISSUES			
Substantial job losses	Are substantial job losses or economic displacement expected to arise from the project or restructuring of the investment? Or have they occurred already as a result of the project?		
Project and Associated facilities, area of influence and TLs: Resettlement	Will the project's construction or operations result (or have already resulted) in resettlement or economic displacement of people, involuntary or otherwise? If so, was there/will there be a Resettlement Action Plan (RAP)/Livelihood Restoration Plan (LRP)? Was compensation given? Has this been monitored? Are there any outstanding claims/liabilities?		
Stakeholder concerns	Are stakeholders (including NGOs) currently expressing any concerns about the project or any of the proposed investors/contractors? Are such concerns likely?		
Exploitation of labor	Is there a risk that the project would not be constructed/operated in line with fundamental ILO conventions/PS2 requirements? E.g. child or forced labor, discrimination, refusal to allow freedom of association and collective bargaining		
Indigenous peoples	Will/has the project affected indigenous peoples? Has there been Free, Prior and Informed Consent (FPIC)? Is there Broad Community Support for the project?		
Cultural Heritage	Is the project in allocation that affects or likely to significantly affect cultural heritage		

(ii) Final Investment Decision Meeting

Project Name:	Country:	Project ID: #	Exclusion List Screening: Y/N
			Final Categorization: A, B or C
E&S Appraiser:	E&S Approval: Y/N	Date of ESRS:	Project Status:
Proposed Investment:			Proposed/Construction/Operation TA to be Provided: Y/N

Brief Project Description:

-
-

ESIA Prepared and in compliance with IFC PSs?

ESMMP Prepared and agreed by Global SnCF's ESM, and investees? contractor/operator?

All relevant licenses and permits in place?

Summary of potential E&S Issues (taken from the ESRS – attached to this document):

At appraisal the key issues were identified as:

-
-
-
-

Has an ESAP for the project been prepared (attach)?

If so, has it been agreed and signed-off by the contractor/operator?

E&S Specialist confirms that E&S risks can be managed in accordance with Global SnCF's E&S Policy and relevant standards?

ANNEX 6: PERFORMANCE STANDARDS CHECKLISTS

Project Name:	Country:	Project ID: #	E&S Category: A, B
E&S Appraiser:	E&S Approval:	Date of Review:	Project Status: Proposed/Construction/Operation
Proposed Investment:			TA to be Provided: Y/N

1. ENVIRONMENTAL SOCIAL AND GOVERNANCE ISSUES

Brief Project Description:

Summary of E&S Issues:

At appraisal the key issues were identified as:

-
-
-

Investment:

Exclusion List: Y/N

ESAP: Y/N

Go Recommendation: Y/N

2. E&S ASSESSMENT

Assessing Environmental and Social Issues

- **Satisfactory (S):** the project is in material compliance with the PSs, WBG EHS guidelines, host country regulations and has construction/operating permits.
- **Partly Unsatisfactory (PU):** the project is currently not in compliance with the PSs and WBG EHS guidelines and/or host country laws, but deficiencies will be addressed through an ESAP
- **Unsatisfactory (U):** the project is not in compliance with the PSs and other E&S requirements and significant corrective action is required. Investment may be no go
- **Not Applicable (NA):** not relevant to the project.

Environmental & Social Assessment - Example			S
1. Assessment and Management System of E&S Risks and Impacts			S
1.1. S&E Assessment			S
1.2. Management Program & quality of ESAP			S
1.3. Organizational capacity			S

1.4. Training	S
1.5. Community Engagement	S
1.6. Monitoring	S
1.7. Reporting	S
2. Labor and Working Conditions	S
2.1. Human Resource Policy and Management	S
2.2. Worker's Organizations	S
2.3. Non-Discrimination and Equal Opportunity	S
2.4. Retrenchment	S
2.5. Protecting the Work Force	S
2.6. Monitoring	S
2.7. Occupational Health and Safety	PU
3. Resource Efficiency and Pollution Prevention	S
3.1. Resource Conservation and Energy Efficiency	S
3.2. Air emissions	S
3.3. Waste waters	S
3.4. Solid wastes	S
3.5. Hazardous Materials	PU
3.6. Emergency Preparedness and Response, fire and life safety	PU
4. Community Health, Safety and Security	S
4.1. Community Health	S
4.2. Safety and Security	PU
4.3. Emergency Preparedness and Response	S
4.4. Security Personnel Requirements	NA
5. Land Acquisition and Involuntary Resettlement	NA
5.1. Compensation and Benefits for Displaced Persons	NA
5.2. Consultation and Grievance Mechanism	NA
5.3. Resettlement Planning and Implementation	NA
5.4. Physical Displacement	NA
5.5. Economic Displacement	NA
5.6. Private Sector Responsibility under Government Managed Resettlement	NA
6. Biodiversity Conservation & Sustainable Management of Living Natural Resources	NA
6.1. Protection and Conservation of Biodiversity	NA
6.2. Management and Use of Renewable Natural Resources	NA
7. Indigenous People	NA
7.1. Avoidance of Adverse Impacts	NA
7.2. Information Disclosure	NA
7.3. Consultation and Informed Participation	NA
7.4. Impacts on Traditional or Customary Lands	NA
7.5. Relocation of IPs from Traditional or Customary Lands	NA
7.6. Cultural Resources	NA
8. Cultural Heritage	NA
8.1. Protection of Cultural Heritage in Project Design and Execution	NA
8.2. Project use of Cultural Heritage	NA
Environmental and Social Action Plan	NA
WBG Environmental, Health and Safety Guidelines	S
Host country Environmental, Health and Safety laws and regulations	S

Project E&S performance during monitoring

1. Assessment and Management of E&S Risks and Impacts

PS1-PROJECT DATA	Y	N	NA
1. Internationally certified EMS in place?		•	
2. Does this project need a full ESIA?			•
3. Has a cumulative impact been identified?			•
4. Has a socio-economic baseline study been identified?			•
5. Has an E&S audit of an existing asset been undertaken?		•	
6. External expert(s) used for ESIA?			•
7. ESIA satisfactory?			
8. ESAP prepared and satisfactory?			
9. Does the client have a documented community development plan in place?			•
10. Has the CDP been disclosed locally?			•
11. Have specific vulnerable groups been identified?			•
12. Does the client report publicly on overall E&S performance (e.g. sustainability report)?		•	
13. Have ecological or low labor costs factors been identified in the supply chain?		•	
14. Has the client established a FPIC?			•
15. Has IFC established BCS?			•
16. Has the client engaged an external expert to verify its monitoring information?		•	
17. Has the client established a community grievance mechanism?		•	
18. Has the client disclosed the E&S project information locally?	•		

S

2. Labor and Working Conditions

PS2-PROJECT DATA	Y	N	NA
1. Is there evidence of a functioning grievance mechanism for workers?	•		
2. Has the project had a collective bargaining agreement with one or more unions?		•	
3. Total number of direct employees:			
4. Number of incident or fatality of direct contract employees?			
5. Has a labor audit been undertaken?		•	
6. Has a supply chain screening been undertaken?			•
7. Has the project received SA 8000 certification or equivalent?			•
8. Has the project received OHSAS or similar certification?		•	
9. Child and forced labor, child labor in supply chain		•	
10. Has there been any retrenchment			
11.			

S

3. Resource Efficiency and Pollution Prevention

PS3-PROJECT DATA	Y	N	NA
1. Are there any air emissions?		•	
2. Is there any effluent?			•
3. Are there recycling and re-use of materials			•
4. Adequate disposal of waste?			•
5. Is the project sited on contaminated land?			•
6. Does the project involve hazardous materials			•
7. Emergency responsibilities stated	•		
8. Rescue Plan	•		
9. Firefighting water and pumps, extinguishers, hydrants	•		

PU

Project E&S performance during monitoring				
4. Community Health, Safety and Security			PU	
PS4-PROJECT DATA	Y	N		NA
1. Number of incidents/fatality involving non-employees (community)?				
2. Do mandatory Emergency Preparedness and Response plans require community participation and readiness?		•		
3. Use of external experts on infrastructure and equipment safety?	•			
4. Does the client formally contract (B) private security forces?		•		
5. Security personnel management plan in place?	•			
6. Has a health impact assessment been conducted?		•		
5. Land Acquisition and Involuntary Resettlement			NA	
PS5-PROJECT DATA	Y	N		NA
1. Land acquisition by (A) Government, (B) Client or (C) Both?				•
2. RAP/Audit/Framework prepared?				
3. Has the RAP/audit/framework been disclosed locally?				
4. Number of physically displaced household?				
5. Number of economically displaced household?				
6. How many displaced squatters have received security of tenure?				
7. Resettlement undertaken by (A) Government (B) Client				
8. or (C) Both?				
9. Has the client supplemented (cash or other benefit) to a government controlled land acquisition or resettlement?				
6. Biodiversity Conservation and Sustainable Management			NA	
PS6-PROJECT DATA	Y	N		NA
1. Presence of critical habitat?				•
2. Independent certification for sustainable resource management?				
3. Introduction of alien species?				
7. Indigenous People			NA	
PS7-PROJECT DATA	Y	N		NA
1. Are Indigenous Peoples affected?				•
2. Has an IPDP been prepared?				
3. IPs relocated?				
4. IPs' land used?				
8. Cultural Heritage			NA	
PS8-PROJECT DATA	Y	N		NA
1. Has Cultural Heritage been identified (either through ESIA or the Chance Finds Procedures)				•
2. Has/will Cultural Heritage been/be removed?				
3. Is the Project commercially viable because of some aspect of Cultural Heritage				
4. Has the investee entered good faith negotiation for either Cultural Heritage and/or commercial use of Cultural Heritage?				
5. Has a plan for sharing benefits been prepared?				
Environmental and Social Action Plan (ESAP)			S	

Project E&S performance during monitoring	
WBG Environmental, Health and Safety Guidelines Applicable EHS Guidelines: • Environmental, Health, and Safety General Guidelines • XXX • XXX	
Host country EHS laws and regulations • XX • XX Permits and licenses are current?	S

Performance in meeting EHS guidelines					
APPLICABLE GUIDELINES	RATING	PROJECT’S PERFORMANCE/COMMENTS			
General EHS Guidelines	S		Rating		
		1. Environment	S		
		1.1 Air Emissions and Ambient Air Quality	S		
		1.2 Energy Conservation	S		
		1.3 Wastewater and Ambient Water Quality	S		
		1.4 Water Conservation	S		
		1.5 Hazardous Materials Management	S		
		1.6 Waste Management	S		
		1.7 Noise	NA		
		1.8 Contaminated Land	NN		
		2. Occupational Health and Safety	S		
		2.1 General Facility Design and Operation	S		
		2.2 Communication and Training	S		
		2.3 Physical Hazards	S		
		2.4 Chemical Hazards	S		
		2.5 Biological Hazards	NA		
		2.6 Radiological Hazards	NA		
		2.7 Personal Protective Equipment (PPE)	NA		
		2.8 Special Hazard Environments	NA		
		2.9 Monitoring	S		
		3. Community Health and Safety	S		
		3.1 Water Quality and Availability	NI		
		3.2 Structural Safety of Project Infrastructure	S		
		3.3 Life and Fire Safety (L&FS)	S		
		3.4 Traffic Safety	NA		
		3.5 Transport of Hazardous Materials	NA		
		3.6 Disease Prevention	S		
		3.7 Emergency Preparedness and Response	S		
		4. Construction and Decommissioning	S		
		4.1 Environment	S		
		4.2 Occupational Health and Safety	S		
		4.3 Community Health and Safety	S		
		3. DOCUMENTS REVIEWED			
		ESIA ESAP HR Policy OHS Data E&S operating licenses/permits			

ANNEX 7: FORMAT OF ENVIRONMENTAL AND SOCIAL REVIEW SUMMARY (ESRS)

Environmental and Social Review Summary

Project Number: XX

Country:

Project:

Environmental Category: A/B

Date:

A. Project Description

B. Environmental and Social Categorization

C. Applicable Standards

While all Performance Standards are applicable to this investment, based on current information the investment will have impacts that must be managed in a manner consistent with the following Performance Standards:

- PS1: Assessment and Management of Environmental and Social Risks and Impacts
- PS2: Labor and Working Conditions
- PS3: Resource Efficiency and Pollution Prevention
- PS4: Community Health, Safety & Security
- PS5 Land Acquisition and Involuntary Resettlement
- PS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources
- PS7: Indigenous Peoples
- PS8: Cultural Heritage

In addition, the WBG General EHS Guidelines and Industrial Sector Guidelines X, Y, are applicable to this project.

D. Key Documents and Scope of Global SnCF E&S Review

An environmental and social due diligence site visit was conducted by XXXX environmental/social specialist in (date). The site visit included visits to the project facilities and associated facilities and project affected persons. Meetings were conducted with representatives of XX and affected communities.

In addition to the due diligence site visit, the following documents were reviewed by XXXX:

- ESIA
- Feasibility Study Report

These documents adequately assess the environmental risks and impacts of XX Project and provide a sound basis for the proper mitigation of the environmental risks and impacts posed by this Project.

E. Key Issues and Mitigation

PS1: Assessment and Management of Environmental and Social Risks and Impacts

- *Social and Environmental Assessment:*
- *Management Program:*
- *Monitoring and Reporting:*
- *Organizational Capacity:*

PS2: Labor and Working Conditions

- *HR Policy and Procedures:*
- *Occupational health and safety:*
- *Worker training:*

PS3: Resource Efficiency and Pollution Prevention

- *Construction Phase:*
- *During operation:*

PS4: Community Health, Safety & Security

- *Construction and Operation:*
- *Security Arrangements:*

PS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources

- *Environmental Permitting Process and Community Engagement:*

ANNEX 8: EXAMPLE ENVIRONMENTAL & SOCIAL ACTION PLAN (ESAP)

See relevant notes for preparing an ESAP in Annex 4, page 40

Reference standard / law / regulation	Actions	Priority (Low, Medium, High)	Responsibility	Deadline	Completion indicator	Estimated cost

ANNUAL MONITORING REPORT

COMPLETION DATE: [INSERT DATE]

INTRODUCTION

Global SnCF E&S Policy and ESMS

In order to ensure the effective E&S appraisal, management and monitoring of proposed investments, Global SnCF developed an E&S Policy and ESMS in September 2018. These documents and associated procedures have been updated recently and signed off by the Global SnCF Board in XXX.

Contact Information:

Completed by :			
Position in Organisation:	ESM	Tel:	XX
Email:		Fax:	

Reporting Period:

From:	To:
October 1, 20xx	September 30, 20xx

1. OPERATIONS AND PORTFOLIO INFORMATION

Update of Current Operations

[Insert update text]

Portfolio Information

Project Portfolio:

Project name	Type (Biomass SolarPV Wind SHPP)	Sponsor	Equity (USDm)	Equity Partners	Debt (USDm)	Stage (Pipeline DD Financial close Construction Operation)

Project Details:

Project name	Type (Biomass SolarPV Wind SHPP)	Category (A, B, C)	Stage	E&S Issues - Status	Date of Last Site Visit

Repeat table as necessary for each project

Exposure to Exclusion List:

Activities on Global SnCF Exclusion List	
Percentage of investments out of total outstanding exposure involved in excluded activities.	0% of overall Portfolio
If the percentage is not zero, please explain these exposures and any steps having been taken to reduce such exposure.	N/A

2. ENVIRONMENTAL AND SOCIAL MANAGEMENT SYSTEM

Policy and Process

		Yes/ No	Comment
2.1	ESMS development and implementation?		
2.2	ESMS or policy and procedures updates during the reporting period?		
2.3	Transactions rejected on environmental, health, safety or social grounds?		
2.4	Difficulties and/or constraints related to the implementation of the social and environmental procedures?		
2.5	Compliance with the Host Country laws and regulations?		
2.6	Material significant social and environmental issues associated with our invested projects during the reporting period?		

Supervision/ Monitoring

		Yes/ No	Comment
2.7	EHS reporting from projects during the reporting period?		
2.8	Environmental and social performance monitoring of projects during the reporting period?		
2.9	Accidents/Lost Time Incidents, Litigation/Complaints/Regulatory Notices and/or Fines? - Incidents of non-compliance with the E&S requirements - Covenants/conditionalities imposed by as a result of any non-compliance		
2.10	Joint monitoring with any IFI and use of their environmental and social guidelines?		

Capacity

		Yes/ No	Comment
--	--	------------	---------

2.11	E&S Coordinator who has the overall responsibility for the implementation of ESMS.		
2.12	Current staffing of other core ESMS persons in the organization involved with ESMS implementation,		
2.13	Training provided to the E&S Coordinator and/or team on ESMS implementation during the reporting period.		

Reporting

		Yes/ No	Comment
2.14	Internal report on project environmental and social issues submitted to Senior management during the reporting period?		
2.15	GHG reporting		
2.16	Development Impact Indicators		

3. HUMAN RESOURCES AND LABOR PRACTICE

Labour statistics:

		Men	Women	Total or Average over reporting year
Number of Employees	Management			
	Non-management			
	Contractors/sub-contractors			
	Handicapped			
	Total			
	Board Composition			
Age Breakdown	18 – 25			
	26 – 35			
	36 – 45			
	46 - 55			
	> 56			

HR Policy and Terms of Employment

		Yes/No	Comment
--	--	--------	---------

3.1	Human resources policy?		
3.2	Changes to the terms of employment during the year?		

Employee's Organization

		Yes/No	Comment
3.3	Employees' organizations engagement during the reporting period?		
3.4	Any dismissals due to membership in an employee organization or allegations to this effect?		
3.5	Employee representation within the organization, (e.g. staff council, consultative bodies)		
3.6	Collective bargaining agreement, or independent agreements and how are these negotiated?		
3.7	Any employee strikes or form of collective action during the reporting period		

Non-Discrimination and Equal Opportunity

		Yes/No	Comment
3.8	Internal complaints over issues of sexual or other harassment?		
3.9	Equal opportunity policy?		

Retrenchment

		Yes/No	Comment
3.10	Employees terminated/retrrenched		
3.11	Anticipated retrenchment? How many employees will be laid off (by skill level and type of contract)?		
3.12	Describe why there is a need for retrenchment from a business point of view?		
3.13	What is the schedule for carrying out the re-trenchment process? When will it be complete?		

Grievance Mechanism

		Yes/No	Comment
3.14	Employee grievance mechanism which enables		

	employees to register and raise concerns?		
3.15	How many times has it been used in this reporting period?		

Labour Fines and Court Cases

		Yes/No	Comment
3.16	Has the labor authority issued fines to the company related to labor issues?		
3.17	Have any labor cases been filed against the company?		

4. LIFE AND FIRE SAFETY

Regulatory

		Yes/No	Comment
4.1	Fire Safety permits for all buildings including those on lease issued by appropriate authorities?		
4.2	Fire safety inspection carried out by the appropriate local authority? Key findings of the inspection and have any outstanding issues been addressed?		

Operational

		Yes/No	Comment
4.3	Life and fire safety responsible person?		
4.4	Life and fire safety facilities and equipment monitoring?		
4.5	Any fire incident in the reporting period?		

Training, Awareness and Competency

		Yes/No	Comment
4.6	Dates of fire drills? Number of staff participating?		
4.7	First aid and firefighting training was provided to staff during the reporting period.		

ANNEX 10: GLOBAL SNCF LIST OF EXTERNAL CONSULTANTS (TO BE COMPLETED)

ANNEX 11: GLOBAL SNCF GRIEVANCE MECHANISM AT FUND LEVEL

PCALP maintains a “Feedback” email address on the “Contact Us” page of its website. Emails received through this address are directed to the Firm’s Chief Compliance Officer. Any grievances regarding ESG matters should be also be shared with the appropriate person(s) overseeing ESG matters. If requested, emails submitted to the email address will be kept confidential.

A grievance log is maintained by the Chief Compliance Officer, which includes:

1. date of grievance
2. name of aggrieved party and any affiliation/organization
3. contact details of aggrieved party
4. category of grievance (environmental, social, governance, other)
5. whether the grievance is directed at PCALP or an investee (if investee, its name should be listed)
6. summary of the issue
7. whether the grievance is an appeal to an earlier grievance management outcome
8. relevant parties to engage within PCALP and any applicable investee of PCALP
9. recommended investigation of issue
10. outcome of investigation and actions taken
11. date of closure and information provided to aggrieved party

The Chief Compliance Officer is responsible to:

- a. Work to acknowledge the grievance in writing in a timely manner and let the aggrieved party know the status of PCALP’ investigation into the matter. An estimated timeframe for investigation should be provided. Investigations into grievances can vary depending on the nature of the grievance, but best efforts should be made to ensure that grievances are handled promptly. Most investigations should not last more than 90 days.
- b. Work with relevant parties at PCALP and investees to evaluate the grievance and determine if any action should be taken to remedy it.
- c. Inform the aggrieved party of outcomes of the investigation and any action being taken or reasons for not taking action.
- d. Log the outcome of the investigation in the Excel file, including a summary of actions taken or rationale for not taking action and the date of response to the aggrieved party.

The contents of the grievance log and management of grievances should respect confidentiality of the aggrieved party to the extent practical, and there should be no retaliation against aggrieved parties or whistleblowers.

In some cases, it may be appropriate for PCALP to further engage the aggrieved party during an investigation into the grievance. This could take place through inviting the aggrieved party to a meeting, conference call, or by engaging further in writing. All ongoing engagement with an aggrieved party should be noted in the grievance log.

ANNEX 12: GLOBAL SNCF GRIEVANCE MECHANISM AT PROJECT LEVEL

Project sponsors are responsible for ensuring that a grievance mechanism is in place for the project. Depending on the context (cultural, geographical, etc.), the most appropriate mechanism should be discussed and introduced as part of the initial stakeholder consultation meeting. The purpose of the grievance mechanism is to allow local stakeholders the ability to give continuous input and/or to lodge complaints against the project, and to allow for the resolution of grievances.

During the first physical meeting with local stakeholders / project affected persons, different complaint mechanisms should be explained and discussed to ensure that the stakeholders agree that the selected methods are the most appropriate. The details of this discussion should be recorded and included in the stakeholder meeting summary.

For each project, a “grievance / continuous input book” should be physically available in an appropriate location (eg. town hall; local church, mosque or other place of worship, etc). In addition to the book, at least one additional method should be chosen and should be appropriate for the context. Other methods include:

- Telephone access (useful in the case of widespread illiteracy)
- Internet access
- Nominated independent mediator
- other

More details on project level grievance mechanism can be found in the Stakeholder Consultation and Engagement Framework can be found in Annex 16.

ANNEX 13: GLOBAL SNCF PROJECT INFORMATION SHEET (TO BE COMPLETED)

Because SNCF is a Fund and not a specific project, we will complete this information sheet for each project that the Fund invests in.

ANNEX 14: GLOBAL SNCF ESMS PERIODIC REVIEW TEMPLATE (TO BE COMPLETED)

PAGE 73

[illegible]

ANNEX 16: STAKEHOLDER ENGAGEMENT FRAMEWORK AND CONTINUOUS STAKEHOLDER ENGAGEMENT STRATEGY

The ESMS Stakeholder Consultation and Engagement Framework here proposed is based on the [Gold Standard Stakeholder Consultation and Engagement Requirements](#).

Engagement is critical to understanding the views and interests of different stakeholders on issues related to the project, flagging gaps and opportunities, establishing a constructive relationship or project roles with relevant parties and enabling stakeholders to take ownership of the project; it is also a vital element for promoting transparency and accountability, effective participation and inclusion. In practical terms, stakeholder engagement can be understood as an overarching term that encompasses a range of activities and interactions with stakeholders throughout the project cycle; defining and implementing such activities and interactions reflects an essential aspect of good project management.

The ESMS requires projects to design a dedicated stakeholder engagement process in order to ensure that:

- stakeholders' concerns are captured and potential risks are adequately identified;
- groups and peoples whose lives might be affected by the project are properly consulted to verify and assess the significance of any impacts;
- affected groups and communities participate in the development of mitigation measures, in decision making regarding their operationalisation, and in monitoring their implementation.

Scope and Applicability

The aim of the stakeholder consultation is to engage affected stakeholders and to discuss potential environmental, social and economic impacts (both positive contributions and potential risks) that projects may have during design, planning and implementation and to establish an ongoing mechanism for feedback.

All Gold Standard projects shall “take gender issues into account”. This requires local stakeholder consultation processes to reach a wide range of community representatives in ways that ensure equal and effective participation of both women and men, and that gender issues are fully factored into comprehensive social and environmental impact assessments. Project Developers are referred to the [Gold Standard Gender Equality Requirements](#) & [Guidelines and Gender Policy](#).

Timing of Local Stakeholder Consultation

- The Stakeholder Consultation shall be conducted prior to the start date of the Project so that the stakeholders can truly influence the project design, planning and its implementation.
- If the Consultation is conducted after the start date, the stakeholders shall be provided with an opportunity to comment on the project and the Project Developer shall provide further explanation of how comments received during the consultation were taken into account.

Minimum Group of Stakeholders to be consulted

- The Project Developer shall identify and invite all relevant (local, affected and interested) stakeholders as mentioned below for consultations and comments.
 - (a) Local people, communities and or representatives² who are directly or indirectly affected by the project
 - (b) Stakeholders with land-tenure rights within or adjacent to the project must be contacted
 - (c) Local policy makers and representatives of local authorities
 - (d) National government officials or National focal bodies responsible for the project in the host country, for example, Designated National Authority³ (DNA)
 - (e) Local non-governmental organisations (NGOs), Women Groups working on topics relevant to the project or working with communities who are likely to be affected by the project
 - (f) A Gold Standard representative at help@goldstandard.org
 - (g) Relevant international Gold Standard NGO Supporters⁴ with representation in your region and all Gold Standard NGO Supporters located in the host country of the project
- The Project Developer shall provide evidence that invitations were sent to the relevant stakeholders and that their comments were invited. If any of the relevant stakeholders were not invited, the project participants shall provide appropriate justification.

Means for Inviting Stakeholders

- The Project Developer shall invite local stakeholders to participate in the meeting and provide comments on the proposed project in an open and transparent manner, in a way that facilitates comments to be received from local stakeholders.
- The Project Developer shall invite the stakeholders selecting an invitation method that is most appropriate to the context and for the region, taking into account local and national circumstances, including appropriate language and measures and using adequate and effective means.
- Projects shall ensure that the stakeholders are invited in a 'gender-sensitive' manner and efforts must be made to solicit input from women and marginalised groups.
- The Project Developer shall not deny anyone access to the consultation. It shall be open for anyone wishing to participate.

² Legitimate stakeholder representatives could be, but are not limited to: elected representatives of regional, local, traditional representatives, such as leaders (chairmen, directors) of local cooperatives, other community-based organisations, local businesses/business groups, local NGOs, and local women's groups, politicians and local government officials, school teachers, and religious leaders.

³ List of DNAs is available at <https://cdm.unfccc.int/DNA/bak/index.html>

⁴ List of Gold Standard NGO Supporters is available at <https://www.goldstandard.org/about-us/ngo-supporters>

- The invitation for the consultation meeting shall be given at least 30 days before the meeting takes place.

Information to be made available to Stakeholders

- Prior to the consultation, the Project Developer shall provide information in a manner including format, language(s) that allows local stakeholders to understand and engage with the project. The information to be made available to stakeholders shall include, inter alia:
 - (a) A non-technical summary of the project including information on project design, technology, objectives, scale, duration and implementation plan (so far as known)
 - (b) Summary of the economic, social and environmental impacts of the project as per Safeguarding Principles & Requirements
 - (c) Contact details to get further technical detail and project information, should any stakeholder be interested
 - (d) Other relevant information to help stakeholders understand the project
 - (e) Means and method to provide feedback for those who are not able to join the consultation meeting

Consultation

- The Stakeholder Consultation shall comprise of a minimum two rounds of consultation including one mandatory physical meeting and one stakeholder feedback round lasting for at least two months.
- Where necessary, other means and approaches that are appropriate for local and national circumstances can be used to conduct stakeholder consultation meetings. For example, due to the nature of the project, instead of one big physical consultation meeting, several meetings at different locations may be conducted to ensure that relevant stakeholders can participate.
- The project shall encourage equal and effective participation by both men and women in the stakeholder consultation (this also includes the suitability of place and timing of the consultation(s)).
- For retroactive projects, project implementation is started without conducting the first round of stakeholder consultation following the Requirements. In such cases, the physical meeting shall be integrated with the stakeholder feedback round, if this has not taken place as part of previous stakeholder consultations. The physical meeting conducted during the stakeholder feedback round must follow all requirements listed in this document. Special attention must be paid to the fact that the projects must take into account stakeholder feedback and shall modify project design, where reasonable.

Continuous Input and Grievance Mechanism

- All projects shall setup a formal input, feedback and grievance mechanism with the purpose of providing stakeholders with an opportunity to submit any feedback or raise grievances during the entire project life.

- The project shall discuss the potential options with stakeholders and agree on an appropriate method.
- At a minimum, Continuous Input and Grievance Expression Process Book shall be made available at an agreed location.

Consideration of Comments Received

- The Project Developer shall apply a gender lens while assessing the relevance and appropriateness of the stakeholders' comments.
- The project shall consider the comments provided by the Stakeholders and report on how the comments have been accounted for. It may also involve changes in the project design, where appropriate. The Project Developer shall provide justifications when any comments have not been incorporated or addressed.
- The Stakeholders shall be provided with the feedback on how their comments have been taken into account as part of the stakeholder feedback round.

Ongoing Reporting

- The Project Developer shall provide information in the annual and monitoring report, as applicable, for the following:
 - (a) Concerns that have been identified and raised by stakeholders during the stakeholder consultations and the mitigation measures put in place to address those.
 - (b) Any feedback given by stakeholders as part of the project's grievance mechanism.

Stakeholder Consultation Documentation

- The Project Developer shall make use stakeholder consultation report template to document all the steps taken to meet the Stakeholder Consultation and Engagement Requirements and provide evidence to demonstrate the compliance.
- The Stakeholder consultation report shall be submitted to Gold Standard within three months of the event (though this date may be after the Project Start Date).

ANNEX 17: TERMS OF REFERENCE FOR LAND ACQUISITION PLAN, RESETTLEMENT ACTION PLAN, LIVELIHOOD RESTORATION PLAN AND INDIGENOUS PEOPLES PLAN

The ESMS safeguards here proposed are based on the [Gold Standard for the Global Goals Safeguarding Principles & Requirements](#), which are derived from a number of international conventions, including:

- [UNDP's Social and Environmental Standards \(SES\)](#)
- [UN Environment's Environmental, Social and Economic Sustainability Framework](#)
- [The World Bank's International Finance Corporation Performance Standard](#)

Interventions are never one-dimensional. The interconnected nature of climate and development projects calls for appropriate safeguarding mechanisms. The safeguards introduced in the Environmental and Social Management System Policy Framework help projects to identify, prevent and mitigate negative, unintended consequences that may arise from a given intervention. Credible safeguards are important in both ensuring development outcomes are not undermined as well as gaining public support for climate actions.

Here below an outline of the overarching safeguarding principles that a project is required to meet throughout the entire project cycle:

Safeguarding Principles	
Social	Principle 1 – Human Rights
	Principle 2 – Gender Equality and Women's Rights
	Principle 3 – Community Health, Safety and Working Conditions
	Principle 4 – Cultural Heritage, Indigenous Peoples, Displacement and Resettlement
	Principle 5 – Corruption
Economic	Principle 6 – Economic Impacts
Environmental & Ecological	Principle 7 – Climate and Energy
	Principle 8 - Water
	Principle 9 - Environment, Ecology and Land Use

The requirements outlined in this document shall guide projects

- to identify the potential risks and adverse outcomes of their activities
- to adopt a mitigation strategy to avoid or where avoidance is not possible, minimise identified risks, with the intention to achieve the stated requirements.

Safeguarding Principles Assessment Procedure

The Safeguarding Principles Assessment procedure set out in this document includes the key following elements:

- (a) **Principles:** The overarching principles and rationale for the inclusion of the given assessment.
- (b) **Assessment Questions:** The safeguarding assessment questions to identify potential risks and adverse outcomes of the project and determine how the Requirements shall be met for each Principle.
- (c) **Requirements:** The requirements define what a Project shall achieve through design, management or risk mitigation.

All Safeguarding Principles and corresponding Requirements apply to all Projects seeking Gold Standard certification.

All Projects shall undertake an upfront assessment against the Safeguarding Principles and implement their Project in accordance with the stated Requirements. The assessment shall apply to the Project Scenario, although assessment questions and Requirements involve a comparison to the Baseline Scenario(s) and/or the implementation or decommissioning phases of a Project.

A non-exhaustive list of assessment questions is provided for each Principle. The Project shall provide responses to these questions, including justifications for responses following the below guidance:

- (a) 'Yes' – Meaning that the risk or expected issue identified in the assessment question is relevant to the Project and context. The Requirements apply and adherence shall be demonstrated. All information must be included in the Monitoring & Reporting Plan and future Monitoring Reports.
- (b) 'Potentially' – Meaning that the risk or expected issue may be relevant at some point in the Project's cycle but is not necessarily relevant now and/or may never arise. The Requirements apply but the Project Developer may justify why these Requirements do not need to be demonstrated as being met.
- (c) 'No' – Meaning that the risk or expected issue is not relevant to the Project. Justification shall be provided to support this conclusion, with evidence provided where required.

Note that certain Requirements are mandatory for all Projects and these requirements are not accompanied by an assessment question. The Safeguarding Principles Assessment shall include a description with justifications on how a project met these Requirements.

The Requirements shall be used to guide any re-design/mitigation proposals where a risk is identified, i.e., the response to a given outcome shall be designed with the intention of achieving the stated Requirements.

The scope of each Requirement (for example, its application during implementation or to upstream or downstream issues) is defined within the individual section.

In certain circumstances an exception to a specific Safeguarding Principle or Requirement may be sought. Gold Standard encourages Projects to understand and demonstrate the trade-offs associated with them. In the presence of unavoidable negative impacts that exceed the Requirements and may not be remediated by consultation or mitigation, the Project Developer shall submit a Deviation Request to Gold Standard for review. All such requests shall be reviewed by a panel made up of the Gold Standard Secretariat and at least two relevant third-party Expert Stakeholder(s) and a Gold Standard Technical Advisory Committee (TAC) Member. The panel shall

make recommendations to the Project Developer as to any changes to the project to minimise the adverse outcomes. The panel will also recommend to Gold Standard as to whether the exception should be accepted or not. The final decision shall be taken by Gold Standard. Examples could include where a Project introduces a major innovation, makes a major positive contribution to sustainable development or where a legitimate body of affected stakeholders is empowered to make decisions on such matters.

Certain Safeguarding Principles require opinion and recommendations of Expert Stakeholder(s). These are identified throughout the [Gold Standard Safeguarding Principles Requirements](#) and/or in the [Gold Standard Activity Requirements](#). Where applicable, the Project Developer shall demonstrate that the Expert Stakeholders have conducted a thorough review (and, if needed, an onsite visit) and that their recommendations have been incorporated into the project design.

Any failure, at any time in respect to the completion of the Safeguarding Principles Assessment, including conformity with Requirements and Monitoring & Reporting Requirements shall lead to the invocation of the Non-Conformity section of the [Gold Standard Principles and Requirements](#).

The Project shall provide the following information with regards to the Safeguarding Assessment at different project stages:

Safeguarding Assessment Information

Project Stage	Information
Stakeholder Consultation	Information on draft Safeguarding Principles Assessment including a summary of environmental, social and economic impacts of projects shall be made available to Stakeholders to seek feedback during Consultations.
Preliminary Review	A draft Safeguarding Principles Assessment
Design Review	A completed Safeguarding Principles Assessment fully assessed by the Gold Standard Validation/Verification Body (GS-VVB) Performance
Performance Review	The monitoring report shall include: (a) An update on the implementation including information on relative success and failures, or improvements to proposed mitigation measures (b) Monitoring and reporting on any key indicators identified, including against pre-set tolerances (c) Information on any assessment questions answered 'Potentially' or where Requirements call for regular re-assessment

GS Principle 4 – Cultural Heritage, Indigenous Peoples, Displacement and Resettlement

The Principle on Cultural Heritage, Indigenous Peoples, Displacement and Resettlement:

- Promotes and supports the protection and preservation of cultural heritage and the equitable sharing of benefits from the use of cultural heritage.

- Advocates the avoidance of alteration, damage or removal of artifacts and objects of cultural value.
- Recognises and respects the prohibition of forced evictions and the use of violence generally.
- Recognises and fosters full respect for indigenous peoples' human rights as recognised under Applicable Law, including but not limited to their rights to self-determination, their lands, resources and territories, traditional livelihoods and cultures.
- Ensures that Projects that may impact indigenous peoples and local farmers are designed in a spirit of partnership with them, with their full and effective participation, with the objective of securing their free, prior, and informed consent (FPIC)⁵ where their rights, lands, resources, territories, traditional livelihoods may be affected.

Assessment Questions

⁵ Free, Prior and Informed Consent (FPIC) is a specific right that pertains to indigenous peoples and is recognised in the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP). The normative framework of FPIC consists on a series of legal international instruments including the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), the International Labour Organization Convention 169 (ILO 169), and the Convention on Biological Diversity (CBD), among many others, as well as national laws. Please refer to the link for further details. <http://www.fao.org/indigenous-peoples/our-pillars/fpic/en/>

Principle	Sub-Principle	Assessment Questions
Principle 4 – Cultural Heritage, Indigenous Peoples, Displacement and Resettlement	4.1 Sites of Cultural and Historical Heritage	Does the Project Area include sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g., knowledge, innovations, or practices)?
	4.2 Forced Eviction and Displacement	Does the Project require or cause the physical or economic relocation of peoples (temporary or permanent, full or partial)?
	4.3 Land Tenure and Other Rights	Does the Project require any change to land tenure arrangements and/or other rights? For Projects involving land use tenure, are there any uncertainties with regards to land tenure, access rights, usage rights or land ownership? Examples include, but are not limited to water access rights, community-based property rights and customary rights.
	4.4 Indigenous Peoples	Are indigenous peoples present in or within the area of influence of the Project and/or is the Project located on land/territory claimed by indigenous peoples?

Principle 4.1 - Sites of Cultural and Historical Heritage Requirements

- The Project shall not involve or be complicit in the alteration, damage or removal of any sites, objects or structures of significant cultural heritage.
- Where a Project proposes to utilise Cultural Heritage, including the knowledge, innovations, or practices of local communities, affected communities shall be informed of:
 - Their rights under Applicable Law,
 - The scope and nature of the proposed commercial development; and
 - The potential consequences of such development.
- The Project shall provide for equitable sharing of benefits from commercialisation of such knowledge, innovation, or practice, consistent with their customs and traditions.
- The opinions and recommendations of an Expert Stakeholder(s) shall be sought and demonstrated as being included in the project design.

Principle 4.2 - Forced Eviction and Displacement Requirements

- The Project shall not involve and shall not be complicit in the involuntary relocation of people.
- Projects shall avoid physical (i.e., relocation or loss of shelter) and economic displacement (i.e., loss of assets or access to assets that leads to loss of income sources or means of livelihood), and mitigate displacement impacts on displaced persons and host communities when displacement cannot be avoided. In such cases, the Project shall integrate into the Project documentation a Resettlement Action Plan or Livelihood Action Plan as appropriate. Please refer to UNDP Standard 5: Displacement and Resettlement⁶ requirements for further details in this regard.
- The opinions and recommendations of an Expert Stakeholder(s) shall be sought and demonstrated as being included in the project design.

Principle 4.3 - Land Tenure and other rights Requirements

- The Project Developer shall identify all such sites/matters potentially affected by the Project. For all such sites/matters identified the Project shall respect and safeguard:
 - Legal rights, or
 - Customary rights, or
 - Special cultural, ecological, economic, religious or spiritual significance of people shall be demonstrably promoted/protected.
- Changes in legal arrangements must be in line with relevant law and regulation and must be carried out in strict adherence with such laws. All legal disputes must be resolved prior to the Project being carried out in such areas. All such changes must be demonstrated as having been agreed with free, prior and informed consent.
- The Project Developer must hold uncontested land title for the entire Project Boundary to complete Project Design Certification.
- The opinions and recommendations of an Expert Stakeholder(s) shall be sought and demonstrated as being included in the project design.

⁶ UNDP's Social and Environmental Standards; <https://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-andenvironmental-standards.html>

Principle 4.4 - Indigenous people⁷ Requirements

- The Project Developer shall identify all communities of Indigenous Peoples within the Project area of influence who may be affected directly or indirectly by the Project.
- The Project Developer shall recognise and respect the indigenous people's collective rights to own, use, and develop and control the lands, resources and territories that they have traditionally owned, occupied or otherwise used or acquired, including lands and territories for which they do not yet possess title.
- The Project Developer shall respect, protect, conserve and shall not take the cultural, intellectual, religious and spiritual property of indigenous peoples without their free, prior and informed consent (FPIC).
- The Project Developer shall ensure that the indigenous people are provided with the equitable sharing of benefits to be derived from utilisation and/or commercial development of natural resources on lands and territories or use of their traditional knowledge and practices by the Project. This shall be done in a manner that is culturally appropriate and inclusive and that does not impede land rights or equal access to basic services including health services, clean water, energy, education, safe and decent working conditions and housing.
- The opinions and recommendations of an Expert Stakeholder(s) shall be sought and demonstrated as being included in the project design.

⁷ There is no one universally accepted definition of indigenous peoples. For purposes of this Standard "Indigenous peoples" refers to distinct collectives, regardless of the local, national and regional terms applied to them (for example, "tribal people", "first peoples", "scheduled tribes", "pastoralist", "hill people."), who satisfy any of the more commonly accepted definitions of indigenous peoples. Including but not limited to those provided for in the Convention concerning Indigenous and Tribal Peoples in Independent Countries (ILO Convention No. 169), the Study on the Problem of Discrimination against Indigenous Populations (the "Martinez Cobo Study"), and the Working Paper on the Concept of "Indigenous People" prepared by the Working Group on Indigenous Populations.

ANNEX 18: TERMS OF REFERENCE FOR A BIODIVERSITY / PROTECTED AREA MANAGEMENT PLAN

The ESMS safeguards here proposed are based on the [Gold Standard for the Global Goals Safeguarding Principles & Requirements](#), which are derived from a number of international conventions, including:

- [UNDP's Social and Environmental Standards \(SES\)](#)
- [UN Environment's Environmental, Social and Economic Sustainability Framework](#)
- [The World Bank's International Finance Corporation Performance Standard](#)

Interventions are never one-dimensional. The interconnected nature of climate and development projects calls for appropriate safeguarding mechanisms. The safeguards introduced in the Environmental and Social Management System Policy Framework help projects to identify, prevent and mitigate negative, unintended consequences that may arise from a given intervention. Credible safeguards are important in both ensuring development outcomes are not undermined as well as gaining public support for climate actions.

Here below an outline of the overarching safeguarding principles that a project is required to meet throughout the entire project cycle:

Safeguarding Principles	
Social	Principle 1 – Human Rights
	Principle 2 – Gender Equality and Women's Rights
	Principle 3 – Community Health, Safety and Working Conditions
	Principle 4 – Cultural Heritage, Indigenous Peoples, Displacement and Resettlement
	Principle 5 – Corruption
Economic	Principle 6 – Economic Impacts
Environmental & Ecological	Principle 7 – Climate and Energy
	Principle 8 - Water
	Principle 9 - Environment, Ecology and Land Use

The requirements outlined in this document shall guide projects

- (c) to identify the potential risks and adverse outcomes of their activities
- (d) to adopt a mitigation strategy to avoid or where avoidance is not possible, minimise identified risks, with the intention to achieve the stated requirements.

The Safeguarding Principles Assessment procedure set out in this document includes the key following elements:

- (d) **Principles:** The overarching principles and rationale for the inclusion of the given assessment.
- (e) **Assessment Questions:** The safeguarding assessment questions to identify potential risks and adverse outcomes of the project and determine how the Requirements shall be met for each Principle.
- (f) **Requirements:** The requirements define what a Project shall achieve through design, management or risk mitigation.

All Safeguarding Principles and corresponding Requirements apply to all Projects seeking Gold Standard certification.

All Projects shall undertake an upfront assessment against the Safeguarding Principles and implement their Project in accordance with the stated Requirements. The assessment shall apply to the Project Scenario, although assessment questions and Requirements involve a comparison to the Baseline Scenario(s) and/or the implementation or decommissioning phases of a Project.

A non-exhaustive list of assessment questions is provided for each Principle. The Project shall provide responses to these questions, including justifications for responses following the below guidance:

- (d) 'Yes' – Meaning that the risk or expected issue identified in the assessment question is relevant to the Project and context. The Requirements apply and adherence shall be demonstrated. All information must be included in the Monitoring & Reporting Plan and future Monitoring Reports.
- (e) 'Potentially' – Meaning that the risk or expected issue may be relevant at some point in the Project's cycle but is not necessarily relevant now and/or may never arise. The Requirements apply but the Project Developer may justify why these Requirements do not need to be demonstrated as being met.
- (f) 'No' – Meaning that the risk or expected issue is not relevant to the Project. Justification shall be provided to support this conclusion, with evidence provided where required.

Note that certain Requirements are mandatory for all Projects and these requirements are not accompanied by an assessment question. The Safeguarding Principles Assessment shall include a description with justifications on how a project met these Requirements.

The Requirements shall be used to guide any re-design/mitigation proposals where a risk is identified, i.e., the response to a given outcome shall be designed with the intention of achieving the stated Requirements.

The scope of each Requirement (for example, its application during implementation or to upstream or downstream issues) is defined within the individual section.

In certain circumstances an exception to a specific Safeguarding Principle or Requirement may be sought. Gold Standard encourages Projects to understand and demonstrate the trade-offs associated with them. In the presence of unavoidable negative impacts that exceed the Requirements and may not be remediated by consultation or mitigation, the Project Developer shall submit a Deviation Request to Gold Standard for review. All such requests shall be reviewed by a panel made up of the Gold Standard Secretariat and at least two relevant third-party Expert Stakeholder(s) and a Gold Standard Technical Advisory Committee (TAC) Member. The panel shall make recommendations to the Project Developer as to any changes to the project to minimise the adverse out-

comes. The panel will also recommend to Gold Standard as to whether the exception should be accepted or not. The final decision shall be taken by Gold Standard. Examples could include where a Project introduces a major innovation, makes a major positive contribution to sustainable development or where a legitimate body of affected stakeholders is empowered to make decisions on such matters.

Certain Safeguarding Principles require opinion and recommendations of Expert Stakeholder(s). These are identified throughout the [Gold Standard Safeguarding Principles Requirements](#) and/or in the [Gold Standard Activity Requirements](#). Where applicable, the Project Developer shall demonstrate that the Expert Stakeholders have conducted a thorough review (and, if needed, an onsite visit) and that their recommendations have been incorporated into the project design.

Any failure, at any time in respect to the completion of the Safeguarding Principles Assessment, including conformity with Requirements and Monitoring & Reporting Requirements shall lead to the invocation of the Non-Conformity section of the [Gold Standard Principles and Requirements](#).

The Project shall provide the following information with regards to the Safeguarding Assessment at different project stages:

Safeguarding Assessment Information

Project Stage	Information
Stakeholder Consultation	Information on draft Safeguarding Principles Assessment including a summary of environmental, social and economic impacts of projects shall be made available to Stakeholders to seek feedback during Consultations.
Preliminary Review	A draft Safeguarding Principles Assessment
Design Review	A completed Safeguarding Principles Assessment fully assessed by the Gold Standard Validation/Verification Body (GS-VVB) Performance
Performance Review	The monitoring report shall include: (a) An update on the implementation including information on relative success and failures, or improvements to proposed mitigation measures (b) Monitoring and reporting on any key indicators identified, including against pre-set tolerances (c) Information on any assessment questions answered 'Potentially' or where Requirements call for regular re-assessment

Environmental & Ecological Safeguarding Principles

Principle 7 – Climate and Energy

The Principle on Climate and Energy:

- Promotes Climate Security (mitigation and adaptation) and Sustainable Development.

Assessment Questions

Principle	Sub-Principle	Assessment Questions
Principle 7 – Climate and Energy	7.1 Emissions	Will the Project increase greenhouse gas emissions over the Baseline Scenario?
	7.2 Energy Supply	Will the Project use energy from a local grid or power supply (i.e., not connected to a national or regional grid) or fuel resource (such as wood, biomass) that provides for other local users?

Principle 7.1 – Emissions Requirements

- Projects shall not increase greenhouse gas emissions over the Baseline Scenario unless this is specifically allowed within Activity Requirements or Gold Standard Approved Impact Methodologies.

Principle 7.2 - Energy supply Requirements

- The Project shall not affect the availability and reliability of energy supply to other users.

Principle 8 – Water

The Principle on Water:

- Promotes sustainable management, protection, conservation, maintenance and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions.

Assessment Questions

Principle	Sub-Principle	Assessment Questions
Principle 8 – Water	8.1 Impact on Natural Water Patterns/Flows	Will the Project affect the natural or pre-existing pattern of watercourses, groundwater and/or the watershed(s) such as high seasonal flow variability, flooding potential, lack of aquatic connectivity or water scarcity?
	8.2 Erosion and/or Water Body Instability	Could the Project directly or indirectly cause additional erosion and/or water body instability or disrupt the natural pattern of erosion? If 'Yes' or 'Potentially' proceed to next question? Is the Project's area of influence susceptible to excessive erosion and/or water body instability?

Principle 8.1 - Impact on Natural Water Patterns/Flows Requirements

- The Project shall ensure that water resources are conserved. For surface waters this means:
 - (a) Maintaining credible environmental flows, demonstrated by providing a verifiable calculation that shows conservation is maintained at a level as advised by the independent Expert Stakeholder, and
 - (b) Ensuring that any discharged wastewater is of a high enough standard to allow beneficial reuse. For ground water this means limiting abstractions to levels less than, or equal to, rates of recharge. Managed aquifer recharge may be used to conserve groundwater resources. The project can use historical records, ongoing monitoring and reporting through data logging of physical measurements, online sources and/or government data to assess the project risks/impacts.

Recommended methods: Quantitative documentation of all sources and volumes of water abstractions. Use of weirs and gauges, flow meters, pump energy consumption, transpiration rates, government data, remote sensing.

- At each Performance Certification the Project shall assess whether it is in an area of physical water stress or scarcity. The project can conduct an analysis of the water scarcity within the Project's physical area of influence (e.g., basin, watershed) and shall monitor the impact frequently. The project can use [Aqueduct](#), [GWSP Digital water Atlas](#), [Water Risk Filter](#), [WBCSD Global Water Tool](#), [Water Stress Index Maplecroft](#), [Water Scarcity Index Pfister](#) or other recognised tools for water stress and scarcity assessment within the Project's physical area of influence.
- The Project shall provide verifiable evidence of water stress experienced in the basin(s) in which the Project is active, and demonstrate that consumption of water by the Project (over Baseline) is negligible or will bring positive impacts or, at a minimum, not increase the overall annual basin stress.
- The risk(s) of the Project negatively impacting the catchment shall be assessed and addressed to ensure its ongoing, long-term viability and impact on surrounding social-economic and environmental assets. The project can use mapping tools, or other appropriate nationally recognised tools in this regard. Recommended methods include online tools, engineering or physical assessment, historical flow records, land use records, and verbal or written surveys with local agencies and residents. Examination of longitudinal and lateral conductivity to check connectivity of flows, including vertical connectivity (i.e., sufficient flows or dead zones).
- Where the Project is involved in abstraction from water resources required to support biodiversity and other ecosystem services, an eflow assessment consistent with good practice, including a modern method outlined in one of the key references listed below must be undertaken. Alternatively, where local, national or regional regulation exists or where alternative approaches may be more appropriate then these may be put forward to Gold Standard for approval.
- Where environmental flow assessments are impractical, the Project is required to demonstrate that the flow rate and variability is maintained from the abstracted water resource. A verifiable calculation shall be provided for each water source demonstrating total flow rates do not fall below levels that are contextually appropriate, as advised by an independent Expert Stakeholder.
- The opinions and recommendations of Expert Stakeholder(s) shall be sought and demonstrated as being included in the project design and Monitoring Plan.

Principle 8.2 - Erosion and/or Water Body Instability Requirements

- The risk of the Project negatively impacting the catchment and any risks impacting the Project's success shall be assessed and addressed. The project shall ensure its ongoing, long-term viability and impact on surrounding social-economic and environmental assets. The project shall assess the sensitivity of the physical area of influence due to low percentage of impervious cover in a project (e.g., basin, catchment), susceptibility to erosion and water body instability, and lack of terrestrial habitat connectivity. The project can use mapping tools, or other appropriate nationally recognised tools, academic or published studies on the relevant area. The recommended methods include online tools, visual inspection, engineering or physical assessment, historical land use records, aerial photographs, and verbal or written surveys with local agencies and residents on the characterisation of geomorphology of water bodies.
- The Project shall demonstrate that measures to ensure soil protection and minimised erosion are in place prior to the commencement of the Project.
- The Project shall demonstrate that measures will be undertaken to ensure that surface and ground waters are protected from erosion and that these measures are in place prior to the commencement of the Project.
- Measures shall be incorporated to reduce soil erosion on slopes (e.g., hedge and tree rows, natural terracing, infiltration strips, permanent ground cover). For these measures, the concept of the effective slope length shall be taken into account.
- Impact shall be reassessed at a frequency appropriate to the context of the ecosystem affected. The monitoring approach and frequency shall be justified by reference to natural patterns and variations.
- Where the Project takes place in a water scarce or water stressed area, the opinions and recommendations of an Expert Stakeholder shall be sought and demonstrated as being considered and incorporated into the project design.

Principle 9 - Environment, ecology and land use

The Principle on Environment, ecology and land use:

- (a) Ensures a precautionary approach to natural resource conservation and avoids negative environmental impacts.

Assessment Questions

Principle	Sub-Principle	Assessment Questions
Principle 9 - Environment, ecology and land use	9.1 Landscape Modification and Soil	Does the Project involve the use of land and soil for production of crops or other products?
	9.2 Vulnerability to Natural Disaster	Will the Project be susceptible to or lead to increased vulnerability to wind, earthquakes, subsidence, landslides, erosion, flooding, drought or other extreme climatic conditions?
	9.3 Genetic Resources	Could the Project be negatively impacted by the use of genetically modified organisms or GMOs (e.g., contamination, collection and/or harvesting, commercial development)?
	9.4 Release of pollutants	Could the project potentially result in the release of pollutants to the environment?
	9.5 Hazardous and Non-hazardous Waste	Will the Project involve the manufacture, trade, release, and/ or use of hazardous and nonhazardous chemicals and/or materials?
	9.6 Pesticides & Fertilisers	Will the Project involve the application of pesticides and/or fertilisers?
	9.7 Harvesting of Forests	Will the Project involve the harvesting of forests?
	9.8 Food	Does the project modify the quantity or nutritional quality of food available such as through crop regime alteration or export or economic incentives?
	9.9 Animal husbandry	Will the Project involve animal husbandry?
	9.10 High Conservation Value Areas and Critical Habitats	Does the Project physically affect or alter largely intact or High Conservation Value (HCV) ecosystems, critical habitats, landscapes, key biodiversity areas or sites identified? For example, Ramsar wetlands, World Heritage Areas, 'wilderness' areas, free-flowing rivers, unique or species-rich areas, primary forest, threatened or endangered species, migratory species as defined by treaties and national authorities or areas of natural cultural significance.

Principle 9.1 - Landscape Modification and Soil Requirements

- The Project shall identify the functions and services provided by the landscape and demonstrate no net degradation in existing landscape function and services.
- To ensure healthy soils the following aspects shall be identified, and appropriate measures shall be put in place to protect them:
 - (a) Soil types, AND
 - (b) Biota, AND
 - (c) Erosion
- Measures shall be incorporated to minimise soil degradation (e.g., through crop rotation, composting, no use of heavy machinery, use of N-fixing plants, reduced tillage, no use of ecologically harmful substances).
- Projects that involve the production, harvesting, and/or management of living natural resources by small-scale landholders and/or local communities shall adopt the appropriate and culturally sensitive sustainable resource management practices.

Principle 9.2 - Vulnerability to Natural Disaster Requirements

- The Project shall avoid or minimise the exacerbation of impacts caused by natural or man-made hazards, such as landslides or floods that could result from land use changes due to Projects. The Project Developer shall include mitigation measures (if possible), the emergency preparedness plan and response strategies. The Project Developer shall disclose appropriate information about emergency preparedness and response Projects, resources, and responsibilities to affected communities.

Principle 9.3 - Genetic Resources Requirements

- Projects involving the use of GMOs⁸ are not eligible for Gold Standard Project Design Certification.
- An assessment for the risk of GMO contamination from outside the Project area and reasonable and appropriate counter measures should be taken.

Principle 9.4 - Release of pollutants Requirements

- The Project shall avoid the release of pollutants⁹. This applies to the release of pollutants to air, water, and land due to routine, non-routine and accidental circumstances¹⁰.

⁸ An organism in which the genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination. See 'FSC Interpretation on GMO – FSC-POL-30-602': <https://ic.fsc.org/download.fsc-pol-30-602-2000-fsc-interpretationon-gmos-genetically-modified-organisms.a-499.pdf>

- The Project Developer shall ensure that pollution prevention and control technologies and practices consistent with national regulation or international good practice are applied during the Project life cycle.
- All potential pollution sources that may result from the Project that cause the degradation of the quality of soil, air, surface and groundwater within the Project's area of influence shall be identified. Appropriate mitigation measures and monitoring shall be implemented to ensure the protection of resources. The project can use historical records, ongoing monitoring and reporting through data logging of physical measurements, online sources, government data. The recommended methods include quantitative documentation of all sources and volumes of water abstractions, use of weirs and gauges, flow meters, pump energy consumption, transpiration rates, government data.

Principle 9.5 - Hazardous and Non-hazardous Waste Requirements

- Projects shall avoid or, when avoidance is not feasible, minimise and control release of hazardous materials resulting from their production, transportation, handling, storage and use in the Project. Where avoidance is not possible, the health risks, including potential differentiated effects on men, women and children, of the potential use of hazardous materials shall be addressed appropriately.
- Projects shall consider the use of less hazardous substitutes for such chemicals and materials and will avoid the manufacture, trade, and use of chemicals and hazardous materials subject to international bans or phase-outs due to their high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential for depletion of the ozone layer¹¹.
- All sources of waste and waste products shall be identified and classified. Waste products include amongst others:
 - (a) Chemical wastes, AND
 - (b) Containers, AND
 - (c) Fuels and oils, AND
 - (d) Human waste, AND
 - (e) Rubbish (including metals, plastics, organic and paper products), AND
 - (f) Abandoned buildings, machinery or equipment.
- Where waste generation may not be avoided, the Project shall reduce the generation of waste, and recover and reuse waste in a manner that is safe for human health and the environment.

⁹ For the purposes of the Gold Standard, the term "pollution" refers to both hazardous and non-hazardous pollutants in the solid, liquid, or gaseous phases, and includes other components such as pests, pathogens, thermal discharge to water, GHG emissions, nuisance odours, noise, vibration, radiation, electromagnetic energy, and the creation of potential visual impacts including light.

¹⁰ Including those covered under the Convention on Long-range Transboundary Air Pollution, available at http://www.unece.org/env/lrtap/lrtap_h1.html

¹¹ As defined by international conventions or local legislation. Where local legislation and international conventions may diverge, the higher standard will apply.

- Where waste may not be recovered or reused, it shall be treated, destroyed, or disposed of in an environmentally sound manner that includes the appropriate control of emissions and residues resulting from the handling and processing of the waste material.
- If the generated waste is considered hazardous¹², reasonable alternatives for its environmentally sound disposal will be adopted while adhering to the limitations applicable to its transboundary movement¹³.
- The Project shall not make use of chemicals or materials subject to international bans or phase-outs. For example, DDT, PCBs and other chemicals listed in international conventions such as the [Stockholm Conventions on Persistent Organic Pollutants](#) or the [Montreal Protocol](#).

Principle 9.6 - Pesticides & Fertilisers Requirements

- Projects involving pest management, the integrated pest management (IPM) and /or integrated vector management (IVM) approaches shall be adopted and aim to reduce reliance on chemical pesticides.
- The health and environmental risks associated with pest management should be minimised with support, as needed, to institutional capacity development, to help regulate and monitor the distribution and use of pesticides and enhance the application of integrated pest management.
- When Projects include pest management or the use of pesticides, pesticides that are low in human toxicity, known to be effective against the target species and have minimal effects on non-target species and the environment shall be selected.
- There shall be a 'Chemical Pesticides Policy' that is documented, implemented and regularly updated. This policy shall include at a minimum:
 - (a) Provisions for safe transport, storage, handling and application, AND
 - (b) Provisions for emergency situations.
- The Project Developer shall not purchase, store, manufacture, trade or use products that fall in Classes IA (extremely hazardous) and IB (highly hazardous) of the [World Health Organization Recommended Classification of Pesticides by Hazard](#).
- Fertilisers shall be avoided, or their use shall be minimised and justified. If the aerial application of fertiliser is used, then measures shall be put in place to prevent drift.

Principle 9.7 - Harvesting of Forests Requirements

¹² Shall be Consistent with the objectives of the Stockholm Convention on Persistent Organic Pollutants, available at <http://chm.pops.int/default.aspx>, and the Montreal Protocol on Substances that Deplete the Ozone Layer, available at <http://ozone.unep.org/en/treaties-and-decisions/montreal-protocol-substances-depleteozone-layer>. Similar considerations will apply to certain World Health Organization (WHO) classes of pesticides.

¹³ Transboundary movement of hazardous materials should be consistent with national, regional and international law, including the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, available at <http://www.basel.int>, and the London Convention on the Prevention of Marine Pollution by Dumping of Wastes and Other Matter, available at <http://www.imo.org>. For further guidance, the Strategic Approach to International Chemicals Management (SAICM) is a policy framework to foster the sound management of chemicals, available at <http://www.saicm.org/>.

- The Project shall:
 - (a) Enhance the sustainable management of forests, including the application of independent, credible certification for commercial, industrial-scale timber harvesting, AND
 - (b) Maintain or enhance biodiversity and ecosystem functionality in areas where improved forest management is undertaken.

Principle 9.8 - Food Requirements

- The Project activity shall not negatively influence access to and availability of food for people affected.

Principle 9.9 - Animal husbandry Requirements

- The welfare of animals shall be ensured by:
 - (a) Provision of sufficient drinking water, AND
 - (b) Access to daylight, AND
 - (c) The prohibition of cattle trainers, AND
 - (d) No hindrance in their sensory perception and performing their basic needs, AND
 - (e) Management policies and staff training to prevent mistreatment (evidence of animal mistreatment shall be treated as an immediate Non-conformity).
- Excessive or inadequate use of veterinary medicines shall be avoided. Thus, all medications shall be:
 - (a) Administered strictly according to label and package instructions, OR
 - (b) According to a trained veterinarian.
- Injured or sick animals shall be treated and isolated, if necessary, for recovery.
- Synthetic growth promoters including hormones shall not be administered.
- Animals shall be exposed to the least stress possible during transportation and slaughtering.
- Appropriate space per animal and stocking rates per land unit should be set according to their developmental and physical needs.

Principle 9.10 - High Conservation Value Areas and Critical Habitats¹⁴ Requirements

¹⁴ Critical habitats are a subset of both modified and natural habitats that require special attention. Critical habitats are areas with high biodiversity value, including any of the following features:

- i. habitat of significant importance to Critically Endangered and/or Endangered species;
- ii. habitat of significant importance to endemic and/or restricted-range species;
- iii. habitat supporting globally significant concentrations of migratory species and/or congregatory species;
- iv. highly threatened and/or unique ecosystems; and/or
- v. areas associated with key evolutionary processes.

Critical habitats include those areas that are

- No Project that potentially impacts identified habitats as identified above shall be implemented unless all of the following are demonstrated:
 - (a) The risk of the Project negatively impacting the catchment and risks impacting project success shall be assessed and addressed to ensure its ongoing, long-term viability and impact on surrounding HCV and ecological assets.
 - (b) No measurable adverse impacts on the criteria or biodiversity values for which the critical habitat was designated, and on the ecological processes supporting those biodiversity values;
 - (c) A robust, appropriately designed, and long-term Habitats and Biodiversity Action Plan is in place to achieve net gains of those biodiversity values for which the critical habitat was designated.
- Within the Project the area that is managed by the Project Developer and the area of impact downstream, the following shall be identified and protected/enhanced. In the case of downstream impacts, the Project shall ensure mitigation is in place within the Project Boundary such that the Project shall not adversely affect these areas:
 - (a) Existing patches of native tree species, AND
 - (b) Single solitary stems of native tree species, AND
 - (c) All freshwater resources including rivers, lakes, swamps, ephemeral water bodies and wells
 - (d) Habitats of rare, threatened and endangered species, AND
 - (e) Areas relevant for habitat connectivity shall be identified and managed to protect or enhance biological diversity.
- If the Project is located in such habitats; the Project Developer shall:
 - (a) Minimise unwarranted conversion or degradation of the habitat.
 - (b) Identify opportunities to enhance the habitat as part of the Project. For Projects applying the Land Use & Forest Activity Requirements Projects, a minimum 10% of the Project area shall be identified and managed to protect or enhance the biological diversity of native ecosystems. For this, the HCV approach should be followed (www.HCVnetwork.org). This area has to be located within the project region and managed by the Project Developer. The area may also include the areas of the requirement (for example, buffer zones for water bodies in the case of Land Use & Forests).
- The opinions and recommendations of an Expert Stakeholder shall be sought and demonstrated as being included in the Project design. The project can use mapping tools such as [LEFT](#), [IUCN Red List](#), [IBAT](#) or other appropriate nationally recognised tools may be used or visual inspection. The recommended

i. legally protected,
 ii. officially proposed for protection,
 iii. identified by authoritative sources for their high conservation value (such as areas that meet criteria of the World Conservation Union classification, the Ramsar List of Wetlands of International Importance, and the United Nations Scientific and Cultural Organization's world heritage sites), or recognized as protected by traditional local communities.

methods include online tools, visual inspection, engineering or physical assessment, use historical data and verbal or written surveys with local residents.

Principle 9.11 - Endangered Species Requirements

- Under no circumstances shall the Project lead to the reduction or negative impact of any recognised Endangered, Vulnerable or Critically Endangered species¹⁵.
- Habitats of endangered species shall be specifically identified and managed to protect or enhance them.
- The opinions and recommendations of an Expert Stakeholder shall be sought and demonstrated as being considered and incorporated into the project design.

¹⁵ All endangered and critically endangered species as defined by the IUCN Red List; <https://www.iucnredlist.org/>