

Table 2.0		The Shared Approach					
		Table 2: Overview of Environmental and Social Planning and Management Activities by Project Phase Linked with Development Partner Requirements					
Activity	General Project Activities	Environmental and Social Assessment	Stakeholder Engagement	Grievance Redress	Disclosure	Land	Responsibility
Project Phase	1. Project Identification						
1. Asian Development Bank (ADB)	<p>Identification of proponent, allocation of resources, risk allocation, between government departments, development partners, and contractors.</p> <ul style="list-style-type: none"> <li>Understand entry points and requirements under the country safeguards system (CSS)</li> </ul>	<p>Initial risk assessment and screening</p> <ul style="list-style-type: none"> <li>Environmental screening form + Rapid Environmental Assessment (REA) checklists;</li> <li>Internal review (IR) screening form; and</li> <li>Implementing Partner (IP) screening form.</li> <li>Annex 1 – Environmental and Social Safeguard Policy;</li> <li>Guidance Notes; and</li> <li>Environment Management Guide.</li> </ul>	<p>Identification of key stakeholders and planning of engagement activities</p> <ul style="list-style-type: none"> <li>Access to Information Policy 2019.</li> <li>Annex 1 - Environmental and Social Safeguard Policy;</li> <li>Guidance Notes; and Environment Management Guide;</li> </ul>	<p>Review of status of and experience with any local GRM</p> <ul style="list-style-type: none"> <li>Safeguard Policy Statement 2009;</li> <li>Access to Information Policy 2019;</li> <li></li> </ul>	<p>Review of potential approaches for disclosure of information on a project-specific basis</p> <ul style="list-style-type: none"> <li>Safeguard Policy Statement 2009;</li> <li>Access to Information Policy 2019;</li> </ul>	<p>Identification of land requirements and, siting alternatives. Identification of existing ownership or tenure arrangements for each</p> <ul style="list-style-type: none"> <li>Internal Review (IR) screening form + checklist;</li> <li>Implementing Partner screening form + checklist;</li> <li></li> </ul>	<p>Process driven by counterpart with development partner interaction</p>
		Australian Aid (DFAT)					

<p style="text-align: center;"><b>2. Australian Aid (DFAT)</b></p>	<p><b>Managers should ensure that the portfolio of investments under their supervision delivers against the priorities set in COVID-19 Development Response Plans (CRP)</b> All investments over \$10 million must have policy approval from the Post and the Canberra home division at the concept and design stages. All investments valued at \$100 million and/or rated as high or very high risk, and all facilities, must go to the Aid Governance Board for consideration .</p>	<p>Assesses risks of environmental impacts on a project using Disaster risk assessment and vulnerability mapping<sup>i</sup></p> <p>Checklists including the Risk and Safeguard Tool<sup>ii</sup></p> <p>Environmental Assessment and Review Framework (EARF)<sup>iii</sup></p>	<p>Early engagement can ensure that the design meets Australian requirements (such as gender equality and environmental and social safeguards)</p> <p>Annex 1 - Environmental and Social Safeguard Policy; Guidance Notes; and Environment Management Guide;</p>	<p><b>Explicitly states WB ESS be applied for large or complex projects</b></p>	<p><b>Explicitly states WB ESS be applied for large or complex projects</b></p>	<ul style="list-style-type: none"> <li>• Environmental and Social Safeguard Policy;</li> <li>• Guidance Notes;</li> <li>• Environment Management Guide;</li> <li>•</li> </ul>	<p><b>Process driven by counterpart with development partner interaction</b></p> <p><b>Work effectively with partners; Promote improved environmental and social outcomes</b></p>
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	<ul style="list-style-type: none"> <li>• Understand entry points and requirements under country safeguards system (CSS)</li> </ul> <p><b>Environment Protection Policy supports the efforts of development partners to harmonize their safeguards</b></p>						
	<b>European Investment Bank / European Union</b>						

<p style="text-align: center;"><b>3. European Investment Bank (EIB)</b></p>	<p><b>The EIB Group Environmental and Social Sustainability Framework is an overarching policy framework that allows the Group to focus on sustainable and inclusive development, committing to a just and fair transition and supporting the transition to economies and communities that are climate and disaster resilient, low carbon, environmentally sound and more resource-efficient.</b></p> <p>It consists of a Group-wide Environmental and Social Policy and a revised set of EIB Environment</p>	<ul style="list-style-type: none"> <li>• Environmental and Social Standards 1 -defines objectives, instruments and processes required for undertaking environmental and social risk assessments.</li> <li>• Environmental and Social Standards.</li> <li>• compliance with applicable legislation</li> <li>• information on environmental impact assessment</li> </ul> <p>Ref: EIB Environmental and Social Standards 2 Feb 2022. <a href="https://www.eib.org/en/publications/eib-environmental-and-social-standards">https://www.eib.org/en/publications/eib-environmental-and-social-standards</a></p>	<p>Environmental and Standards 2- defines objectives, scope, planning methodologies, disclosures as well as monitoring and evaluating Stakeholder Engagement.</p>	<p><b>Human Rights Perspective forms the basis for Grievance Redress Mechanism, as elaborated in ESS-2.</b></p> <p>Provides rights-holders with effective means to raise grievances and access remedies, and promoting organisational accountability and continuous learning and improvement. As early as possible, the promoter shall establish an effective project-level grievance mechanism to receive and facilitate redress for concerns and grievances of stakeholders throughout the EIB project cycle. This mechanism shall cover aspects related to all Standards,</p>	<ul style="list-style-type: none"> <li>• The <a href="#">EIB Group Transparency Policy</a> lays down provisions on the publication of project information.</li> <li>• Where applicable, project summaries include access to the <a href="#">EIB public register</a>, including environmental and social information associated with the project, such as environmental impact assessment (EIA) and environmental and social impact assessment (ESIA) reports, specific environmental studies, and Resettlement Action Plans.</li> </ul>	<ul style="list-style-type: none"> <li>• ESS 6 defines objectives, scope, and the measures to manage involuntary resettlement as a result of land acquisition.</li> </ul> <p>--All displaced persons or Project Affected Persons (PAPs)<sup>10</sup> are eligible for certain types of mitigation measures. They may be classified as: a. Persons with formal legal rights to land or assets (including customary and traditional rights recognized under national laws); b. Persons who do not have formal legal rights to land and/or assets, but who have claims to land or assets that are recognized or recognizable under national laws or customary and traditional rights; c. Persons who occupy/use the land and/or assets but have no recognizable legal rights or claim to it/them.</p> <p>--Resettlement Policy Framework; --Resettlement Plan and Livelihood Restoration Plan are the two key instruments.</p>	<p><b>Promoter or the Client is responsible for planning, implementing and monitoring all aspects of E&amp;S with the support, guidance and supervision from EIB.</b></p>
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	<p>al and Social Standards, including a new Standard 11 on Intermediate finance, which describe the requirements that all EIB-financed projects must meet.</p> <ul style="list-style-type: none"> <li>• Understand entry points and requirements under the country safeguards system (CSS)</li> </ul>			<p>except for employer workforce relations including occupational health, safety and security aspects, as a separate grievance structure is dedicated to this purpose in line with requirements in Standards 8 and 9. The grievance mechanism sets out a clear step-by-step process with indicative timeframes, outcomes, defined monitoring and performance indicators, and reporting requirements.</p>			
		<b>Japan International Cooperation Agency (JICA)</b>					

<p style="text-align: center;">4. Japan International Cooperation Agency (JICA)</p>	<p>Special attention is accorded to assessing the situation as regards the human rights of vulnerable social groups, including women, children, elderly people, people in poverty, indigenous peoples, persons with disabilities, refugees, internally displaced persons, and minorities. JICA obtains country reports and information widely about human rights that are issued by related institutions, discloses information about cooperation projects, and seeks to understand local human</p>	<ul style="list-style-type: none"> <li>• <b>E&amp; S risk assessment and classification. Four categories of risks are envisaged – A, B, C, and FI,</b> based on the extent of environmental and social impacts, taking into account the project’s characteristics, scale, and site conditions.</li> <li>• ICA discloses the results of the categorization on its website, including project name, country, location, project outline, category, and reason behind the categorization, before making a decision to undertake the preparatory surveys.</li> <li>• Prior to the preparatory surveys, JICA conducts field surveys and collects opinions and information from stakeholders for all Category A projects, and if necessary Category B projects. The results of the field surveys are incorporated into the TOR of the preparatory surveys. JICA reviews project documents related to environmental and social considerations prior to the survey, if available.</li> <li>• Strategic Environmental Assessment (SEA) applied for multi-project concepts and broad area approaches.</li> <li>• JICA’s Guidelines for Environment and Social Considerations (ESC) serve as reference guide.</li> </ul>	<p><b>Project proponents take the initiative to consult with local stakeholders</b> through means that induce broad public, in accordance with the JICA Guidelines.</p> <p>JICA discusses and agrees with project proponents on frameworks for consultations with local stakeholders.</p> <p>Proponents to publicize in advance that they plan to consult with local stakeholders with particular attention to those directly affected peoples by the project.</p>	<p><b>The proponent is expected to put in place a robust and inclusive mechanism</b> for handling concerns and grievances from people and communities affected by the project’s environmental and social impacts must be in place. The grievance redress mechanism needs to be easily accessible for the project-affected people and communities. Project proponents disseminate information about the grievance redress mechanism through consultations with local stakeholders. The project-affected</p>	<p><b>Proponents are to disclose</b> information about environmental and social considerations of their projects, particularly, to the local stakeholders and at early stages.. <b>The information</b> to be disclosed has to include environmental and social considerations, as well as project information. Proponents are to disclose information well in advance when they have consultations with local stakeholders in cooperation with JICA. On such occasions, JICA supports project proponents in the preparation of documents in an official or widely used language(s) and in a form</p>	<p>Involuntary Resettlement gets due significance while according the risk categorization.</p> <p>The risk is categorized if it involves involuntary resettlement.</p> <p>Large scale resettlement are to follow the World Bank policy and procedures as outlined in its ESS 5 of the ESF.</p>	<p><b>The proponent is to prepare and provide information as required for the proposed project.</b></p> <p><b>JICA undertakes an assessment and accords risk category.</b></p> <p><b>Depending upon the risk category, further roles get delineated.</b></p>
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	<p>rights situations, in order to reflect these into JICA's decision-making. JICA confirms that environmental and social considerations of a project do not deviate significantly from the World Bank's environmental and social policies. JICA refers to standards stipulated by international financial organizations, other internationally recognized standards, and international standards/treaties/declarations as well as good practices of developed nations including Japan, as a</p>			<p>people and communities must not be disadvantaged by filing a grievance. Project proponents should make efforts to respond promptly to the grievances they receive, taking into account the concerns and needs of the project-affected people and communities</p>	<p>understandable by local people. JICA discusses and agrees with project proponents on the frameworks that ensure information disclosure at the early stage of cooperation projects. <b>JICA discloses information on its website</b> in Japanese, English, official language(s) and/or language(s) widely used in the host countries. It also provides the relevant reports for public reading at the JICA library and at related overseas offices. <b>Due consideration to the confidentiality</b> of the commercial and other matters of project proponents are given taking into account their competitive</p>		
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	<p>benchmark, as deemed appropriate. When JICA recognizes that environmental and social considerations of a project are significantly deviate from the aforementioned standards and good practices, project proponents to take more appropriate environmental and social considerations through a series of dialogues.</p>				<p>relationships. <b>JICA encourages project proponents to exclude confidential</b> information from any documents on environmental considerations as appropriate. Any information that is prohibited from public disclosure in the agreement documents between JICA and project proponents may be disclosed only upon obtaining the approval of the project proponents or in accordance with legal requirements.</p>		
		<p><b>New Zealand's Ministry of Foreign Affairs &amp; Trade (NZMFAT)</b></p>					



<p>5. New Zealand Ministry of Foreign Affairs &amp; Trade (NZMFAT)</p>	<ul style="list-style-type: none"> <li>• Understand entry points and requirements under country safeguards system (CSS)</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Classification framework (categorization of degree of impact); and</li> <li>• Environmental and Social Impacts Operational Policy.</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>			<ul style="list-style-type: none"> <li>•</li> </ul>	
		<p><b>United States Department of State (State Department)/ USAID</b></p>					

<p style="text-align: center;">6. United States Department of State (State Department)/ USAID*iv</p>	<ul style="list-style-type: none"> <li>• Understand entry points and requirements under the country safeguards system (CSS).</li> <li>• The key objective is to promote and demonstrate democratic values abroad and advance a free, peaceful, and prosperous world. international development and disaster assistance through partnerships and investments that save lives, reduce poverty, strengthen democratic governance, and help people emerge from humanitarian crises and progress beyond</li> </ul>	<p>The Office of Environmental and Social Risk Management (ESRM) works to avoid adverse environmental and social impacts of projects supported by <a href="#">USAID and multilateral development banks (MDBs)</a>, as well as ensure that projects are transparent and accountable to their stakeholders. ESRM’s work prevents or mitigates harm and makes projects more time- and cost-effective. Projects and policies’ impacts are assessed through a national security lens. The ESRM helps in strengthening environmental and social safeguard policies and processes by promoting international best practices, including integrated environmental and social assessments; meaningful consultation; effective mitigation planning, implementation and monitoring; and transparency and accountability. The safeguard compliance runs through the project cycle: (i) pre-award; (ii) Post award start up/ work plan development; and (iii) implementation and close out. The Assessment tools include:</p> <ul style="list-style-type: none"> <li>• -Environmental Assessment</li> <li>• Environmental Impact Assessment</li> <li>• E&amp;S Screening Template</li> <li>• Initial Environmental Evaluation (IEE) &amp; IEE Amendments</li> <li>• Request for Categorization Exclusion</li> <li>• Integrated Waste Management Plan (IWMP)</li> <li>• <a href="#">Pesticide Evaluation Report and Safer Use Action Plan</a> (PERSUAP)</li> </ul>	<p><b>The Aid’s philosophy rests on the thinking that achieving and sustaining any development outcome depends on the contributions of multiple and interconnected actors. And that the collective actions from each of these actors result in an unique local system -- USAID Local Systems Framework</b></p> <p>So engaging with stakeholders is essential when designing and implementing effective development strategies and activities. By engaging across technical and support teams, with other USAID units, or with local communities, host governments, and partners we can identify</p>	<p><b>Grievance Redress forms a part of CLA and the ESIA and EMMPs</b></p>	<p>Disclosures as a specific subject is not explicit. It runs through several assessments and processes as it forms an integral part of the CLA. Further details are available in various documents. <a href="#">Social Vision, Strategies &amp; Policies   Basic Page   U.S. Agency for International Development (usaid.gov)</a></p>	<p>--Termed as Compulsory Displacement and Resettlement (CDR), CDR is when displacement and resettlement of legitimate landholders is compelled by USAID programming, and when legitimate landholders do not have the genuine right or ability to refuse displacement and resettlement. --USAID has well laid out Guidelines describing good practices regarding compulsory displacement and resettlement (CDR).. Ensuring that CDR, in particular resettlement, avoids, minimizes and mitigates risks of impoverishment of affected legitimate landholders is critical to achieving the Agency’s mission “to end extreme poverty and promote resilient, democratic societies.”</p> <ul style="list-style-type: none"> <li>• <a href="#">USAID_Land_Tenure_Guidelines_CDR.pdf</a> (land-links.org)</li> <li>• <a href="#">Guidelines on Compulsory Displacement and Resettlement in USAID Programming   LandLinks</a> (land-links.org)</li> </ul>	<p><b>Primarily the USAID with support from the borrower and other individuals and/ or institutions as needed and appropriate.</b></p>
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	<p>assistance. Endeavours supporting partners to become self-reliant such as to address conflicts, pandemic diseases spread and counteracting the drivers of violence, instability, transnational crime, and other security threats thereby ensuring stable, resilient, and democratic societies. The emphasis is on advancing the economic, political, social, and environmental well-being of vulnerable people and marginalized sections. The principal themes are integrity, respect, empowerment</p>		<p>areas of shared interest and potential cooperation. This helps us avoid duplication of effort, share what does and does not work, and develop innovative approaches to shared development challenges. information silos, missed opportunities, and lack of critical perspectives that can make the difference between success and failure in our development interventions</p> <p>Stakeholder Engagement forms a part of a comprehensive and holistic component running through the Program Cycle -- Collaborating, Learning, and Adapting (CLA)- which helps in</p>				
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	<p>nt, inclusion, and learning.</p> <ul style="list-style-type: none"> <li>•</li> </ul>		<p>improving the overall development effectiveness.. Elaborate guidance and tools are available</p> <p><a href="#">Understanding CLA   USAID Learning Lab.</a></p> <p><a href="#">Environmental Compliance Factsheet: Stakeholder Engagement in the Environmental and Social Impact Assessment (ESIA) Process (usaid.gov)</a></p>				
		<p><b>The World Bank Group</b></p>					

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">World Bank (WBG)</p>	<ul style="list-style-type: none"> <li>• <b>Understand entry points and requirements under the country safeguards system (CSS)</b></li> <li>• Capacity and willingness of the borrowers/ implementing agencies.</li> <li>• Governance type and issues.</li> <li>• International and global relationships and alliances.</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Bank conducts Environmental and Social Due Diligence to decide on financing a project or otherwise through the following:</b>  <ul style="list-style-type: none"> <li>-Preliminary Identification of key issues /challenges leading to Environmental and Social Risk Assessment and Risk Classification.</li> <li>-Assess the borrower’s institutional and implementation capacity.</li> </ul> </li> <li>If the project financing is decided:  <ul style="list-style-type: none"> <li>-Detailing the Risks under 10 ESSs.</li> <li>-Decide on the instruments to be adopted and the assessments to be carried out to fulfill the ESS objective.</li> </ul> </li> <li>• The instruments could include Environmental and Social Impact Assessment (ESIA), Environmental and Social Audit, Hazard or Risk Assessment, Cumulative Impact Assessment, social and conflict analysis, Enviro Regional/ Sectoral ESIA, Strategic ESA, Environmental and Social Management Plan (ESMP), E&amp;S Framework (ESMF), RAP/ RPF, IPP / IPF, LMP GBV SEA/ SH Plans etc.  <ul style="list-style-type: none"> <li>-Prepare and agree with the Borrower on an Environmental and Social Commitment Plan (ESCP)</li> </ul> </li> </ul> <p><a href="#">Environmental and Social Framework (worldbank.org)</a></p>	<ul style="list-style-type: none"> <li>• Identify key stakeholders and hold formal and informal consultations to enable identify major E&amp;S risks.</li> </ul>	<ul style="list-style-type: none"> <li>• GRM checklist – existing complaint handling mechanisms - a SWOT exercise including legislative supports.</li> </ul>	<p>Explore the methods and platforms for consultations and disclosures as appropriate for the project and overall political, health, environmental and social conditions.</p>	<ul style="list-style-type: none"> <li>• An initial assessment on economic and physical displacement.</li> <li>• Mitigatory measures as appropriate relative to the nature and extent of adverse impacts.</li> <li>• Decide on the instruments to address the same so as to fulfil the objectives of ESS 5.</li> <li>• Guidance Note on ESS5: Land Acquisition, Restrictions on Land Use, and Involuntary Resettlement;</li> </ul>	<p><b>Primarily the Bank with support from the borrower and other individuals and/ or agencies as needed.</b></p>
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**Milestone: Concept Note**

Project Phase	2. Project Preparation and Assessment						
Activity	General Project Activities	Environmental and Social Assessment	Stakeholder Engagement	Grievance Redress	Disclosure	Land	Responsibility
1. Asian Development Bank (ADB)	<p>Commencement of project management activities (including coverage of environmental and social management activities). Preparation of pre-feasibility, including initial project preparation and assessment, including terms of reference (TOR) for design and supervision specialists and contractor.</p>	<p>Scoping and alternatives analysis informing project design. ESIA process (including ESMP and framework for multi-project program)</p> <p><a href="#">Environment Safeguards<sup>v</sup></a></p> <p><a href="#">Involuntary Resettlement<sup>vi</sup></a></p> <p><a href="#">Indigenous Peoples</a></p> <p>Initial Social Assessment (ISA) should be undertaken as early as possible in project cycle<sup>vii</sup></p>	<p>Community/stakeholder contribution to the design process, key environmental and social risks. Preparation of stakeholder engagement plan (SEP).</p> <p><a href="#">Stakeholders Engagement Plan (SEP)</a> (Ver 2, 2021)<sup>viii</sup></p>	<p>Identification of GRM for project and incorporation into consultations and assessment documents. GRM identified in the SEP.</p>	<p>Disclosure of draft environmental assessment</p> <p>SEP disclosed. ESIA report ( and any other necessary safeguards plans or frameworks) publicly disclosed.</p>	<p>Consultation of owners or other stakeholders regarding site accessibility, potential impacts on land and resources, and possible mitigation options. If needed, land acquisition plan or framework for project with undetermined subprojects devised.</p> <p>Site specific Resettlement Action Plans, RAPs</p>	<p>Consultant, counterpart development partner.</p>

2. Australian Aid (DFAT)	<p><b>Before engaging a partner DFAT Officers must ensure compliance with the Public Governance Performance and Accountability Act 2013 ( PGPA Act), the Commonwealth Procurement Rules (CPRs) and the Commonwealth Grant Rules and Guidelines (CGRGs).</b></p>	<p>Environment Protection Principle 2: Assess and manage environmental risks and impacts<sup>1</sup></p> <p>Early identification of environmental and social risks and impacts during the planning stage of investments and their continued management through the life of investments.</p> <p>Environmental and Social Safeguard Policy (safeguard policy)<sup>2</sup></p> <p><b>Explicitly states WB ESS be applied for large or complex projects</b></p> <p>Environmental and Social Impact Assessments (ESIA) Environmental Management Plan (EMP)</p>	<p>Special consideration for vulnerable peoples including children and gender equity as part of screening tool.<sup>ix</sup></p> <p>Principle 3 and 4 Effective Stakeholder engagement; transparency, and accountability of decisions</p> <p><b>Explicitly states WB ESS be applied for large or complex projects</b></p> <p>Incorporation into ESIA and ESMP</p>		<p>Work effectively with partners; Promote improved environmental and social outcomes.</p> <p>Principle 3 and 4 Effective Stakeholder engagement;</p> <p>Explicitly states WB ESS (or IFC) be applied for large or complex projects</p>		<p><b>Financial delegates are responsible for approving the engagement of a partner.</b></p>
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<sup>1</sup> <https://www.dfat.gov.au/sites/default/files/principle-2-assess-and-manage-environmental-risks-and-impacts.pdf>

<sup>2</sup> <https://www.dfat.gov.au/sites/default/files/environmental-and-social-safeguard-operational-procedures.docx>

<p>3. European Union (EU)</p>		<p>Refers to EIB processes</p> <p>EIA Implicit requirement for best international practice</p>	<p>High importance to Stakeholder Consultations</p> <p><b>Human Development</b> -- Health, education, and a decent standard of living are considered key elements to ensuring human development</p> <p><b>Youth</b> – participation central to values and policies.</p> <p><b>Gender Equality-</b> - Achieving gender equality and empowering women and girls is vital to building fair, inclusive, prosperous, and peaceful societies everywhere.</p> <p><b>Include use of EIB processes</b></p>	<p>Refers to EIB processes</p>			
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<p>4. European Investment Bank (EIB)</p>		<p>Environmental Assessment (EA) to assess the requirements for an Environmental Impact Assessment (EIA) according to the EU EIA Directive  Projects are screened into four categories:  A – EIA mandatory (Annex 1 of the Directive);  Cat. B – an EIA is determined to be required according to specified criteria (Annex II of the Directive, with ref. to Annex III);  Cat. C – limited EA required;  Cat. D – no environmental assessment required.</p> <p>EIA  EMP</p>	<p>Assessment of risks and impacts Circumstances requiring free, prior and informed consent (FPIC)</p> <p>Stakeholder Engagement (ESS 2)</p>	<p>GRM</p>	<p>Bank operates within the framework of the EPE, which conforms to the environmental principles and the practices of the EC Treaty and all standards of EU environmental legislation.</p> <p>Stakeholder Engagement (ESS 2)</p> <p>inclusive development  7- Indigenous Peoples, Gender, and Vulnerable</p> <p>In fulfilment of the EU applicable framework, the EIB has set-up this Public Register on 2nd January 2014. The EIB Public register contains environmental information in accordance with Regulation <a href="#">1367/2006</a></p>	<p>The Bank applies stringent requirements with regard to dam projects’ justification and design, the EIA process, the social and environmental safeguards, the preparation of mitigating measures, and the management capacities of the project promoter. It recommends that promoters of large dam projects are guided by: ð the recommendations of the 2000 WCD Report “Dams and Development – A New Framework for DecisionMaking” and ð the findings of the 2003 Camdessus Report on “Financing Water for All” on the financing of large dams;</p>	
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<p style="text-align: center;"><b>5. Japan International Cooperation Agency (JICA)</b></p>		<p>A SEA is undertaken when the preparatory surveys include not only project-level but also upper-stream-level studies (e.g. Master Plan studies).</p> <p>Conduct environmental and social surveys at the EIA level for Category A projects and at the IEE level for Category B projects and Master Plan studies.</p> <p>Prepare drafts of impact mitigation measures, including avoidance, minimization, reduction, mitigation, and compensation, as well as drafts of monitoring plans and institutional arrangements for environmental and social considerations.</p> <p>ESC Advisory Committee Reviews projects documents such as the</p> <p>JICA's Guidelines for Environment and Social Considerations (ESC) EIA against a ESC guidelines checklist</p> <p>Environmental and Social Impacts Guideline 2015 ESIA<sup>3</sup></p>	<p><b>Meaningful Stakeholder engagement with transparency of information,</b> accountability, and efficiency. Subject to the confidentiality of certain sensitive information, the consideration to encourage information disclosure across the stakeholders Reducing disparities and socially vulnerable sections, inclusion of socially vulnerable local residents</p>	<p><b>The proponent is expected to put in place a robust and inclusive mechanism for handling concerns and grievances from people and communities affected by the project's environmental and social impacts must</b> be in place. The grievance redress mechanism needs to be easily accessible for the project-affected people and communities. Project proponents disseminate information about the grievance redress mechanism through consultations with local stakeholders. The project-affected people and communities must not be</p>	<p>Ensure an inclusive and effective Grievance Redress System is in place and functional.</p>	<p><b>Prepare and share with JICA for review and clearance the following, as deemed appropriate:</b></p> <p>Resettlement Action Plan. Indigenous Peoples Plan.</p> <p>These plans are to be prepared as per the World Bank Policy and Guidelines.</p>	
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				disadvantaged by filing a grievance. Project proponents should make efforts to respond promptly to the grievances they receive, taking into account the concerns and needs of the project-affected people and communities			
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<sup>3</sup> <https://www.mfat.govt.nz/assets/Aid-Prog-docs/Tools-and-guides/Environment-Guideline.pdf>

<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>6. New Zealand Ministry of Foreign Affairs &amp; Trade (NZMFAT)</b></p>	<p>New Zealand's engagement in the Pacific is guided by the principles of understanding, friendship, mutual benefit, collective impact and sustainability.</p> <p>Effective development is values driven, partnership focused, adaptive, outcomes-focused, and evidence-based.</p>	<p>Environmental and Social Impacts Guideline 2015 ESIA<sup>4</sup> ESMP including Indigenous Peoples Impact Management Plan</p>	<p>Inclusion promoting human rights and equitable participation in the benefits of development and addressing exclusion and inequality created across all social dimensions of identity. Sustained benefits centered on the development/ nurturing of more accountable institutions<sup>5</sup>. Values-based and transparent approach to engagement<sup>6</sup></p>	<p>Policy on preventing Sexual Exploitation Abuse and Harassment (PSEAH) which outlines the expectations and requirements to manage the risk of sexual exploitation, abuse, and harassment in external assistance projects/ programs</p>			
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<sup>4</sup> <https://www.mfat.govt.nz/assets/Aid-Prog-docs/Tools-and-guides/Environment-Guideline.pdf>

<sup>5</sup> [ICESD Development Principles Overview \(mfat.govt.nz\)](https://www.mfat.govt.nz/assets/Aid-Prog-docs/Policy/Policy-Statement-New-Zealands-International-Cooperation-for-Effective-Sustainable-Development-ICESD.pdf)

<sup>6</sup> <https://www.mfat.govt.nz/assets/Aid-Prog-docs/Policy/Policy-Statement-New-Zealands-International-Cooperation-for-Effective-Sustainable-Development-ICESD.pdf>

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">6. United States Department of State (State Department)</p>	<p><a href="#">USAID</a> emphasize the importance of country system strengthening through the Implementation and Procurement Reform Initiative</p>	<p>Environmental Mitigation and Monitoring Plan (EMMP)</p> <p>-- An EMMP translates IEE or EA conditions into specific mitigation measures (if the conditions are general); sets out indicators/criteria for monitoring the implementation and effectiveness of mitigation measures; and establishes timing and responsible parties. EMMPs are required almost universally by USAID EAs and by IEEs when one or more action covered by the IEE receives a Negative Determination with Conditions.</p> <p>--</p> <p>Improving the environmental aspects of interventions and environmental safeguards policies  <a href="#">Foreign Assistance Act 1961</a><sup>7</sup>          FAA 117 Environment and Natural Resources          FAA 118 Tropical Forests          FAA 119 Endangered Species</p>	<p><a href="#">USAID Strategy on Democracy Human Rights and Governance 2013</a><sup>8</sup> often refers to citizen engagement</p>		<p>Ensure that project management is transparent and accountable to their stakeholders</p> <p><a href="#">Foreign Aid Transparency and Accountability Act 2016</a><sup>9</sup></p> <p>US Department of State  <a href="#">Policy Issues</a><sup>10</sup>          Including Economic Anti-corruption and Transparency          Combating Drugs and Crime          Cyber Issues          Global Women's Issues</p>	<p>Human Rights Involuntary Resettlement Regulation 216  <a href="#">Social Vision, Strategies &amp; Policies</a></p> <p>US Department of State  <a href="#">Policy Issues</a></p> <p>Including Economic Anti-corruption and Transparency</p> <p>Prosperity and Trade Policy</p> <p>Global Health</p> <p>Global Women's Issues</p> <p>Human Rights and Democracy</p> <p>Human Trafficking</p> <p>Refugee and Humanitarian Assistance</p> <p>Treaties and International Agreements</p>	
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<sup>7</sup> <https://www.usaid.gov/environmental-procedures/laws-regulations-policies/faa>

<sup>8</sup> <https://www.usaid.gov/democracy/democracy-human-rights-and-governance-strategy#:~:text=Since%20the%20early%201990s%2C%20USAID,human%20rights%20and%20democratic%20governance.>

<sup>9</sup> <https://www.govinfo.gov/content/pkg/COMPS-12107/pdf/COMPS-12107.pdf>

<sup>10</sup> <https://www.state.gov/policy-issues/>

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">7. World Bank (WB)</p>	<p><b>Establishing project management units anew, if not existing already</b>  ---Or strengthening the existing Units with the requisite E&amp;S Specialists.</p> <p>Ensure adequate availability of funds for the preparatory activities.</p>	<p><b>Initiate preparatory studies and assessments.</b></p> <p>Draft Terms of Reference and decide on the mode of enlisting experts/consultants.</p> <p>Oversee and provide support for preparation.</p> <p>Review the outputs they emanate and decide on acceptance or otherwise and the approvals thereof.</p> <p>Assess the project's compliance with ESCP.</p> <p>Conduct consultations and disclose the results of the reports as required. Minutes of such meetings are to be drafted and disclosed.</p>	<p><b>Prepare a draft Stakeholder Engagement Plan (SEP) as early as possible, get the same reviewed, and begin implementation.</b></p> <p>Ensure that poor, disadvantaged, and vulnerable sections receive dedicated attention.</p> <p>Prepare and agree on arrangements to conduct SE throughout the project cycle.</p> <p>Establish a process for sharing the deliberations of each engagement with all the stakeholders and disclosed appropriately.</p>	<p><b>Build on a platform, if exists already, or establish anew a Grievance System.</b></p> <p>Prepare and implement as early as possible a multi-layered inclusive and responsive Grievance System.</p> <p>Ensure a separate window for GBV/ SEA/SH issues ensuring privacy for the complainant.</p> <p>Ensure that stakeholders are aware of the Bank's <a href="#">Grievance Redress Service<sup>x</sup> system.</a></p>	<p><b>All Bank documents such as Environmental and Social Review Summary and ESCP are disclosed on the Bank's site after being duly approved by the management.</b></p> <p>All Borrowers reports such as ESIA, ESMP, RAP, IPP etc are to be reviewed by the Bank, endorsed by the Bank Management and disclosed both by the borrower and the Bank.</p> <p><a href="#">Environmental and Social Framework<sup>11</sup></a>  Bank Directive Addressing Risks and Impacts on Disadvantaged or Vulnerable Individuals or Groups  <a href="#">World Bank Access to Information Policy</a>,  commitment to transparency, accountability and good governance</p>	<p><b>Prepare and share with the Bank RPF and/ Or RAP as appropriate.</b></p> <p>Involuntary resettlement instruments include: Resettlement Framework, Resettlement Plan and Process Framework.</p> <p>The preparation should be participatory and consultative.</p> <p>Bank accords no-objection and then are disclosed both by the Borrower and Bank.</p> <p>Land Acquisition and Livelihoods Restoration Plan (LALRP)  Guidance note 5<sup>12</sup></p>	<p><b>Preparation responsibility primarily rests with the Borrower. The Bank may provide technical support as required from time to time.</b></p>
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<sup>11</sup> <https://www.worldbank.org/en/projects-operations/environmental-and-social-framework>

<sup>12</sup> <https://documents1.worldbank.org/curated/en/294331530217033360/ESF-Guidance-Note-5-Land-Acquisition-Restrictions-on-Land-Use-and-Involuntary-Resettlement-English.pdf>

**Milestone: Decision Meeting/Appraisal/Negotiation/Board Approval**

Project Phase	3. Detailed Design, Engineering and Procurement						
Activity	General Project Activities	Environmental and Social Assessment	Stakeholder Engagement	Grievance Redress	Disclosure	Land	Responsibility
<p>1. Asian Development Bank (ADB)</p>	<p>Establishment of project management team (including coverage of environmental and social management activities). Identification of labor (and training) requirements. Preparation for pre-construction. Bid and contract documents prepared.</p>	<p>Updated ESIA/ESMP prepared. Impacts inform design. Environment and social input to bid documents and contract documents. Environment and social input to tender review.</p>	<p>Implementation of the SEP. Community informed of design details and environmental and social impacts, and how feedback was incorporated.</p>	<p>Establishment of GRM.</p>	<p>ESMP or other plans or frameworks updated to reflect detailed engineering design redisclosed.</p>	<p>Options refined, negotiations with individual owners or communities finalized, or land and asset valuation finalized if expropriation is necessary. Land access agreements or land acquisition plans revised if necessary.</p>	<p>Design and supervision consultant, counterpart, development partner</p>

<p>2. Australian Aid (DFAT)</p>		<p>Updated ESIA/ESMP prepared. Impacts inform design. Environment and social input to bid documents and contract documents. Environment and social input to tender review</p>					
<p>3. European Investment Bank (EIB)</p>	<p>The Bank verifies that a fair process of international tendering takes place according to procedures set out in the <a href="#">EIB Guide to Procurement for projects financed by the EIB</a>.</p> <p>During the project appraisal phase, the <a href="#">Projects Directorate</a> detects potential problems, in order to enable the necessary corrective measures to be taken where required.</p>	<p>ESMS established based on updated approved EIA and ESMP</p>		<p>The EIB Procurement Complaints Committee reviews the Bank's position relative to complaints arising from the tendering of EIB-financed contracts for goods, works and consultant services in case a complaint against the Bank's action has been received.</p>	<p><b>ESMP or other plans or frameworks updated to reflect detailed engineering design redisclosed.</b></p>		<p><b>Promoter/ Client is responsible with support, guidance and advice from EIB.</b></p>



<p>4. Japan International Cooperation Agency (JICA)</p>		<p>Results of the assessments are culminated into Implementation Action Plans prepared and approved.</p>	<p>Stakeholder consultations planned and implemented for sharing and seeking feedback on various assessments conducted.</p>	<p>The grievance Redress Mechanism is in place, fully <del>equipped</del> <u>equipped</u> and functional.</p>	<p>All reports of various assessments and <del>plans</del> <u>plans are</u> consulted and disclosed by both the proponent and JICA.</p>	<p>RAP and IPPs reviewed and approved</p>	<p><b>Assessments are undertaken by the proponent under the guidance of JICA. Consultations are conducted by the proponent. Review and approval done by JICA.</b></p>
<p>5. New Zealand Ministry of Foreign Affairs &amp; Trade (NZMFAT)</p>							
<p>6 United States Department of State (State Department)</p>		<p>Decision to go ahead is made with implementation action plans on the hand.</p>					

<p>7 World Bank (WB)</p>	<p>Construction phase readied by project management unit/project implementation unit (PMU/PIU) working with supervision co</p>	<p>Construction/ site-specific ESMP prepared by contractor (CESMP). ESIA/ESMP updated if required.* If specific mitigation measures are necessary, environmental or social baseline conditions are documented</p> <p>ESCP is used as a planning, implementation and monitoring tool for E&amp;S management.</p> <p>The nature and extent of compliance with the ESCP enables planning for the next steps.</p>	<p>SEP is implemented as agreed in the ESCP.</p> <p>If need be, depending on the results and outcomes, mid-course corrections are planned.</p>	<p>The project specific Grievance System established, equipped with people, machinery and funds and made fully functional.</p> <p>Due publicity is given on the GM so the stakeholders as well as the general public are fully aware of the GM provisions.</p> <p>Regular monitoring and reporting of the GM functioning is done by the borrower. Results of which are disclosed as planned.</p>	<p>Monitoring and Evaluation System established and disclosure arrangements made fully functional.</p> <p>Results and outcomes are monitored as a part of the overall M&amp;E system and disclosed as planned.</p>	<p>Site access transactions completed, including payments agreed in negotiated settlements, or payments of agreed compensation due as a result of expropriation. Transaction processes monitored .</p> <p>Livelihood Restoration Plans, as warranted, preparation begins..</p>	
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**Milestone: Construction Contracts Awarded**

Project Phase	4. Pre-Construction						
Activity	General Project Activities	Environmental and Social Assessment	Stakeholder Engagement	Grievance Redress	Disclosure	Land	Responsibility
<p>1. Asian Development Bank (ADB)</p>	<p>Construction phase readied by project management unit/project implementation unit (PMU/PIU) working with supervision consultant and contractor.</p> <p>Apply the more stringent standard from CSS, World Bank or WHO Standards. E.g. apply WHO for noise and dust and World Bank Guidelines for project safety plans</p> <p><a href="#">World Bank Group Environment, Health and Safety (EHS) 2007 Guidelines<sup>xi</sup></a></p>	<p>Construction/site-specific ESMP prepared by contractor (CESMP). ESIA/ESMP updated if required.* If specific mitigation measures are necessary, environmental or social baseline conditions are documented.</p>	<p>Community informed preferably four weeks prior to contractor mobilization, with details of activities, information on contacts and identification of liaison officer.</p>	<p>GRM implemented.</p>	<p>CESMP, schedule, GRM disclosed.</p>	<p>Site access transactions completed, including payments agreed in negotiated settlements, or payments of agreed compensation due as a result of expropriation. Transaction processes monitored.</p>	<p>Contractor, design and supervision consultant, counterpart, development partner</p>

2. Australian Aid (DFAT)		Referral to ESIA to ensure ESMP is site specific and all sub management plans comply with impact assessment conditions and country safeguards Cultural Heritage management plans and chance finds procedures are in place.					Contractor, design and supervision consultant, counterpart, development partner
3. European Union (EU)							
4. European Investment Bank (EIB)		Construction/site-specific ESMP prepared by contractor (CESMP). ESIA/ESMP updated if required.* If specific mitigation measures are necessary, environmental or social baseline conditions are documented.					

<p>5. Japan International Cooperation Agency (JICA)</p>		<p>Assessments are transformed into Management Plans and are fed into the overall project implementation.</p> <p>JICA's ESC refers to internationally recognized standards and good practices, including those of WB and ADB</p>	<p>Stakeholder engagement conducted as per the approved plan and guidelines.</p>	<p>The grievance Mechanism is fully functional and the results are captured and fed into monitoring and disclosed</p>	<p>Results and outcomes are monitored as a part of the overall M&amp;E system and disclosed as planned.</p>	<p>RAP and IPPs are implemented. And monitored as per the agreed plan.</p>	<p><b>Primarily proponent assumes responsibility for implementation with guidance and reviews from JICA.</b></p>
<p>6. New Zealand Ministry of Foreign Affairs &amp; Trade (NZMFAT)</p>							
<p>7. United States Department of State (State Department)</p>		<p>Correction Action Plan (CAP)</p> <p>Documents the course of action to remedy consequential EMMP implementation deficiencies or environmental impacts that were unforeseen by the approved documentation for the activity.</p>					

<p>8. World Bank (WB)</p>	<p>Borrower maintains the institutional and implementation arrangements as agreed throughout the project cycle. This includes recruiting and enabling E&amp;S staff fully functional. .</p> <p>Ensure project safety plans comply with <a href="#">World Bank Group Environment, Health and Safety (EHS) 2007 Guidelines</a><sup>xii</sup></p>	<p>ESCP is used as a planning, implementation and monitoring tool for E&amp;S management.</p> <p>The nature and extent of compliance with the ESCP enables planning for the next steps</p>	<p>SEP is implemented as agreed in the ESCP.</p> <p>If need be, depending on the results and outcomes, mid-course corrections are planned.</p>	<p>Regular monitoring and reporting of the GM functioning is done by the borrower. Results of which are disclosed as planned.</p>	<p>Results and outcomes are monitored as a part of the overall M&amp;E system and disclosed as planned.</p>	<p>Site access transactions completed, including payments agreed in negotiated settlements, or payments of agreed compensation due as a result of expropriation. Transaction processes monitored. Livelihood Restoration Plans implementation begins.</p>	
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**Milestone: Construction, Supervision and Monitoring**

Project Phase	4. Construction						
Activity	General Project Activities	Environmental and Social Assessment	Stakeholder Engagement	Grievance Redress	Disclosure	Land	Responsibility
1. Asian Development Bank (ADB)	Construction activities commenced. Contract management, progress supervision and monitoring.	CESMP implemented, new risks identified, CESMP updated and supervised.* Adopt 'chance find' procedures (CFP) throughout project embed in CESMP	Community consulted periodically throughout construction.	GRM implemented for environmental and social aspects, including contractor handling small-scale complaints.	Environmental and social monitoring reports disclosed.	Monitoring of all aspects of the site access/acquisition process. Process adapted to meet any changes in project design, or in response to emerging issues or local grievances.	Contractor, design and supervision consultant, counterpart, development partner
2. Australian Aid (DFAT)	Explicitly states WB ESS be applied for large or complex projects	Explicitly states WB ESS be applied for large or complex projects  Adopt 'chance find' procedures (CFP) throughout project embed in CESMP	Explicitly states WB ESS be applied for large or complex projects	Explicitly states WB ESS be applied for large or complex projects	Explicitly states WB ESS be applied for large or complex projects	Explicitly states WB ESS be applied for large or complex projects	
3. European Union (EU)							

<p>4. <b>European Investment Bank (EIB)</b></p>	<p>During the project implementation phase, the promoter is obliged to inform the Bank in the event of a significant departure from what was agreed originally.</p>				<p>After project completion, and where applicable, an Environmental and Social Completion Sheet (ESCS) will be published in the Public register for each project. The ESCS summarises the Bank's assessment of the environmental and social issues at project completion stage.</p>		
<p>5. <b>Japan International Cooperation Agency (JICA)</b></p>							
<p>6. <b>New Zealand Ministry of Foreign Affairs &amp; Trade (NZMFAT)</b></p>							



<p>7. United States Department of State (State Department)</p>		<p>EMMRs are used for partner reporting on implementation of their EMMPs. The use of the EMMR is increasingly required by IEEs.  -- Record of Compliance ( ROCs) are recommended to facilitate project or activity close out to verify compliance with <a href="#">ADS 204</a> over the project/activity life cycle.  <a href="#">Mitigation, Monitoring &amp; Reporting   Basic Page   U.S. Agency for International Development (usaid.gov)</a></p>					
<p>8. World Bank (WB)</p>	<p><a href="#">Environmental and Social Framework</a>   <b>Construction activities commenced. Contract management, progress supervision and monitoring.</b></p>	<p><b>CESMP implemented, new risks identified, CESMP updated and supervised.*</b>   Adopt ‘chance find’ procedures (CFP) throughout project embed in CESMP   The nature and extent of compliance with the ESCP enables planning for the next steps</p>	<p>SEP is implemented as agreed in the ESCP.   If need be, depending on the results and outcomes, mid-course corrections are planned.</p>	<p><b>GM fully functional. Results are tagged , addressed, monitored, and disclosed as agreed.</b></p>	<p>Results and outcomes are monitored as a part of the overall M&amp;E system and disclosed as planned.</p>	<p><b>Monitoring of all aspects of the site access/acquisition process. Process adapted to meet any changes in project design, or in response to emerging issues or local grievances.</b>   Livelihood Restoration Plan implemented.   E&amp;S Audit planned to capture the results and outcomes.</p>	<p><b>The borrower, through contractors and consults, design and supervision consultant, counterparts, development partner</b></p>

## Milestone: Project Implementation Completion Report

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<sup>i</sup> <https://www.dfat.gov.au/sites/default/files/principle-2-assess-and-manage-environmental-risks-and-impacts.pdf>

<sup>ii</sup> <https://www.dfat.gov.au/sites/default/files/environmental-and-social-safeguard-operational-procedures.docx>

<sup>iii</sup> <https://www.dfat.gov.au/sites/default/files/principle-2-assess-and-manage-environmental-risks-and-impacts.pdf>

<sup>iv</sup> Based on the Joint Strategic Paper prepared jointly by the Department of State and USAID for managing foreign policy and development.

[Joint Strategic Plan FY 2022 - 2026 \(state.gov\)](https://www.state.gov/jsp/strat/2022/02/20220201-strategic-plan/)

<sup>v</sup> <https://www.adb.org/who-we-are/safeguards/environment>

<sup>vi</sup> <https://www.adb.org/who-we-are/safeguards/involuntary-resettlement>

<sup>vii</sup> <https://www.adb.org/who-we-are/safeguards/indigenous-peoples>

<sup>viii</sup> <https://www.adb.org/documents/safeguard-policy-statement-review-update-sep-version2>

<sup>ix</sup> <https://www.dfat.gov.au/sites/default/files/environmental-and-social-safeguard-operational-procedures.docx>

<sup>x</sup> <https://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service>

<sup>xi</sup> <https://documents1.worldbank.org/curated/en/157871484635724258/pdf/112110-WP-Final-General-EHS-Guidelines.pdf>

<sup>xii</sup> <https://documents1.worldbank.org/curated/en/157871484635724258/pdf/112110-WP-Final-General-EHS-Guidelines.pdf>