National Fund For Environment

ESMF and RPF User Manual

FONERWA
ESMF&RPF User Manual

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Context

The FONERWA's ESMF and RPF includes procedures for: (a) climate change aware environmental and social risk screening, assessment, and monitoring; and (b) arrangements for the preparation of time-bound action plans for mitigating adverse impacts and enhancing benefits.

The ESMF also provides the framework for addressing social and environmental risk management issues of project activities with recommended measures to apply to future activities financed by FONERWA.

FONERWA's new requirements are addressed by production of a climate explicit Environment, Social Management Framework (ESMF) and Resettlement Policy Framework (RPF) specifically tailored to FONERWA's explicit climate protection and climate resilience building mandate. The frameworks comprise 4 volumes:

- **Volume 1**: ESMF and RPF introduction, rational, method, capacity and processes;
- **Volume 2:** ESMF safeguard directives, process, tools and templates;
- **Volume 3:** RPF safeguards, process, tools and templates;
- **Volume 4:** The inclusive consultation process, tools and templates.

Purpose of this Guide/Manual

The purpose of this manual is to help FONERWA's stakeholders, especially project developers (public, private sector and CSOs) who do not have time to go through the whole FONERWA ESMF and RPF, to have a manual summarising key needed Climate, Environmental and Social tools and templates when they are developing projects to be funded by FONERWA. The provided tools/templates are very useful during the preparation of projects ESIA/ESMP and Projects RAP/ARAP.

The Table below is summarising the main tools /Templates frequently to be used by project developers. It indicates the tool/template to be used, its relevance, when to use it and the potential user.

Frameworks of Tools/Templates Required for FONERWA' funded Projects

Annex	E&S Tool	Relevance	Timing of use	User	FONERWA's ESMF&RPF Volume[1]
Annex -1	Key Information to be included in the Project Brief	Shall support with the development of Project Profile Document (PPD)	Before the submission of Project Profile Document (PPD) to FONERWA	Project Developers (PDe)	2
Annex-2	Project Climate, Environmental and Social Screening Form (PCESSF)	Shall support with the categorization and screening of Climate, E&S risks and subsequent upgrade of the ToR for the	Before submission of Project Profile Document (PPD)	Project Developers and FONERWA	2

[1] For more details and guidance, please refer to this specific FONERWA's ESMF&RPF volume

Annex	E&S Tool	Relevance	Timing of use	User	FONERWA's ESMF&RPF Volume[1]
		E&S studies			
Annex-3	Resettlement Screening Form	Shall support with resettlement aspects	Before submission of Project Profile Document (PPD)	Project Developers and FONERWA	3
Annex-4	Content of Resettlement Action Plan (RAP) and ARAP	Shall support with RAP/ARAP preparation	After submission of Project Profile Document (PPD) and once RDB has issued RAP/ARAP ToRs	RAP/ARAP Consultant, PDe and FONERWA	3
Annex-5	Template ToRs for ESIA	Shall support with the upgrade of the ToR issued by RDB.	Once RDB has issued ToR	Project Developer and FONERWA	2
Annex-6	ESMP Template and Guidance	Shall support the ESIA process and preparation of a suitable ESMP	During ESIA/ESMP preparation	Project Developers, ESIA Consultant, FONERWA's E&S Specialist	2
Annex-7	Guide for some Sector Specific environmental impacts and mitigation measures	Shall guide in the preparation of ESIA/ESMP of specific project	During ESIA/ESMP preparation	Project Developers, ESIA Consultant,	2
Annex-8	Socio-economic and land asset inventory forms	Shall guide in preparation of RAP/ARAP	After submission of Project Profile Document (PPD) and once RDB has issued RAP/ARAP ToRs	RAP/ARAP Consultant, PDe and FONERWA	3
Annex-9	Entitlements of Project Affected People	Shall guide in preparation of RAP/ARAP	Once RDB has issued RAP/ARAP ToRs	RAP/ARAP Consultant and PDe	3
Annex-10	Template and Example Questionnaire for ESIA Consultation Protocol and Public Consultation and Disclosure (PCD) Planning[2]	Shall guide in ESIA development	During ESIA/ESMP preparation	ESIA Consultants	4
Annex-11	ESMP Monitoring Template	Shall support with the Monitoring of projects and reporting to FONERWA	Once project is being implemented	Contractor/Project Developers and FONERWA	2
Annex-12	Contractor	Shall support with	Once project is	Project	2

[2] More Tools/Templates related to Public and Stakeholder Engagement and Consultation are provided in FONERWA's ESMF&RPF, Volume 4

Annex	E&S Tool	Relevance	Timing of use	User	FONERWA's ESMF&RPF Volume[1]
	Management Plan	ensuring that contractors respect FONERWA's Environmental and Social Safeguards including specific requirements set out in the ESCP	being implemented	Developers	
Annex-13	Environmental and Social Commitment Plan (ESCP)	The ESCP describes the different management tools the Project will use to develop and implement agreed measures and actions which will include as necessary, ESMP, operational policies and manuals, management systems, procedures, practices and investments.	After the completion of ESIA/RAP but before the project implementation	Project Developer and Cntractor	2
Annex-14	Template of Project Labor Management Procedure (LMP)	Shall be used for the reporting of Project labor use and managemen	During project implementation	Contractor and Project Developers	2
Annex-15	Chance Finds Procedure	Shall serve for the management of archaeological finds/ cultural sites	During planning and construction	Project Developer/ Contractor/ District Environmental Officer	2
Annex-16	Guide on ESIA/ RAP Review	Shall support with the review and commenting on ESIAs (and RAPs) Shall provide guidance on EIA content at an earlier stage	Once draft ESIA (and RAP) are prepared and submitted for review	Project Developer and FONERWA	2
Annex-17	Annual Climate, Environment & Social Report Form Specialist	Shall be used for the reporting by FONERWA' E&S Specialist on annual basis	During project implementation	FONERWA' E&S Specialist	2
Annex-18	Sample Grievance Redress Form	Shall serve for the management of Grievance	During all phases of project planning and implementation	PDe/Contractors and FONERW	3
Annex-19	Rapid Screening Tool for Climate Vulnerability	Shall support with the screening of Project Climate vulnerability	Before the submission of Project Profile Document (PPD) to FONERWA	Project Developers (PDe)	2

Annex 1 Key Information to be included in the Project Brief

Key information that should appear in the project brief to be submitted to FONERWA and RDB, include:

- ✓ Name, title, and address of the developer,
- ✓ Name, purpose, objectives and nature of project including attributes such as project size, design, planned activities, what are the likely sources of funds (whether conformed or not), the type of funding (whether local or foreign, grants or credit), and the local contribution,
- ✓ The type/ category of project to be developed,
- ✓ The activities of the project whether international, national, regional or local (within district); and the economic or social importance;
- ✓ A description of the spatial dimensions including length or surface and location,
- ✓ Where the materials for construction will be sourced from e.g. excavation of materials (soil/ earth, rock, tones, sand.) from within what distance;,
- ✓ Names and addresses of owners of land or property thereof where the project will be located (and for road, where it will pass) and/ or where construction materials will be extracted,
- ✓ Numbers and if possible, Names and exact addresses of all parties who are likely to be affected by the project and the scale of effect. Provide information about land tenure/ownership of the area affected (including those with and without title deeds) and whether public, institutional or individual private ownership,
- ✓ Description of the biophysical characteristics (including all species of flora, fauna) and legal status of the areas where the proposed infrastructure will be located. Indicate where there are physical or natural barriers like escarpments, rocky mountains, rivers, natural forests, permanent swamps. A map (may be a sketch not to exact scale) of where the proposed project will be located and shade the areas likely to be affected,
- ✓ Description of the social, cultural and economic activities of the areas where the proposed project will be constructed or will pass if it is a road (including cultural sites, social investments like schools, human settlements, burial sites/memorial grounds,..) economic activities like markets, commercial centres, industries or large scale commercial farms and/ or forest plantations; and other surface and aerial infrastructures like airfields, electricity and telecommunication lines, water supply and/ or sewage pipes,
- ✓ Describe possible alternative sites/ routes considered for the same project and the comparative scores in terms of economic and financial viability, technical feasibility, social acceptability and/ ecological/ environmental sustainability,
- ✓ Overview of the governance arrangements including local administrative structures, policies strategies and plans of Government regarding land and natural resources management, infrastructure development, urban and rural development, conflict management;
- ✓ Opinions of local leaders and other opinion leaders if preliminary consultations have been made or better still when and how the District plans to do it;
- ✓ Full contacts of the person responsible for the project (on behalf of the proponent: This is because ESIA work involves decision making and accountability and there must be some specific and known person (or designate) to be held accountable.

Annex 2 Project Climate, Environmental and Social Screening Form (PCESSF)

#	Aspect	Status (Yes/No/ Unknown)	Comments/ Justification	If Yes or Unknown, suggestion for specific studies
	I) Climate Resilience			
1	Is the project located in an area prone to **natural hazards**? *Examples: earthquakes, landslides, volcanic activity, floods, extreme temperatures, drought, wildfires, storms/wave surges, disease epidemics and pest outbreaks*			To be assessed in ESIA.
2	Have similar projects in this area experienced impacts as a result of natural hazards?			To be assessed in ESIA.
3	Is the project located in an area experiencing or susceptible to **complex emergencies**? *Examples: humanitarian crisis, food insecurity, epidemics; conflicts and displaced populations*			To be assessed in ESIA.
4	Have similar projects in this area experienced impacts as a result of complex emergencies?			To be assessed in ESIA.
5	Is resilience-building or disaster risk reduction a significant focus of the project you are designing/developing/implementing?			To be assessed in ESIA.
6	Will the project negatively affect local, national or international climate change by emitting greenhouse gas or other CC risk factors?			To be assessed in ESIA.
7	Will the project potentially affect local, national or international climate by measures that reduce climate change (CC) risk factors?			To be assessed in ESIA.
8	Will the project support local (community and/or District) or national Rwandan goals for adaptation to climate change and/or other CC risk factors?			To be assessed in ESIA.
	II) Environmentally Sensitive and Protected Areas			
9	Is the Project site affecting a gazetted forest?			To be assessed in ESIA.
10	Are there surface water recourses or natural springs at the Project site?			To be assessed in ESIA.
11	Do wetlands (lakes, rivers, swamp, seasonally inundated areas) exist at the Project site?			To be assessed in ESIA.
12	Is there any habitat of endangered/vulnerable/ threatened species for which protection is required under Rwanda national law/local law and/or international agreements at the Project site?			To be assessed in ESIA.
13	Is there any protected area, nationally of internationally (national park, national reserve, world heritage site etc.) at the Project site or in its immediate surrounding?			To be assessed in ESIA.
	III) Biodiversity and Natural Resources			

#	Aspect	Status (Yes/No/ Unknown)	Comments/ Justification	If Yes or Unknown, suggestion for specific studies
14	Would the proposed project pose a risk of introducing invasive alien species?			To be assessed in ESIA.
15	Does the project involve extraction, diversion or containment of surface or ground water that could cause depletion of water sources?			To be assessed in ESIA.
16	Does the project pose a risk of degrading soils?			To be assessed in ESIA.
IV) Wastes and Pollution				
17	Would the proposed project result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and transboundary impacts?			To be assessed in ESIA.
18	Is there a potential for the release to the environment of hazardous materials resulting from their production, transportation, handling, storage and use for project activities?			To be assessed in ESIA.
19	Will the proposed project involve the application of pesticides and fertilizers that have a known negative effect on the environment or human health?			To be assessed in ESIA.
V) Geology, Soils and Climate Change				
20	Would the proposed project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?			To be assessed in ESIA.
21	Is there a possibility that the project will adversely affect the aesthetic attractiveness of the local landscape?			To be assessed in ESIA.
VI) Historical, Archaeological or Cultural Heritage Sites				
22	Based on available sources, consultation with local authorities, local knowledge and/or observations, could the project alter any historical, archaeological, cultural heritage traditional (sacred, ritual area) site?			To be assessed in ESIA.
23	Is the project likely to significantly affect the cultural traditions of affected communities, including gender-based roles?			To be assessed in ESIA.
24	Would the proposed project produce a physical “splintering” of a community?			To be assessed in ESIA.
VII) Land, Property and Social Setting				
25	Will the project result in the permanent or temporary loss of crops, fruit trees and household infrastructure (such as granaries, outside toilets and kitchens, livestock shed etc.)?			Assessment of impacts in EIA and potentially Abbreviated Resettlement Action Plan
26	Is the proposed project likely to affect land tenure arrangements and/or traditional cultural ownership patterns?			Assessment of impacts in EIA and potentially Abbreviated Resettlement Action Plan
27	Would the proposed project result in land acquisition and/or resettlement of			Abbreviated Resettlement

#	Aspect	Status (Yes/No/ Unknown)	Comments/ Justification	If Yes or Unknown, suggestion for specific studies
	populations (more than 20% of land owned by one person and negative effect on economic viability of the land)?			Action Plan
28	Is the project likely to result in influx of people into the affected community (ies)?			To be assessed in EIA.
VIII) Cumulative Impacts				
29	Is there any other project or potential project nearby likely to be affected or to affect this project?			To be assessed in EIA.

Project Categorization

Based on the above information, the indicated colors for each risk / impact will trigger categorisation of projects as indicated in the table below:

Color Code	Risk level	Result for studies needed
	All questions above are answered with **"No"** **Impact risk level One** - **Low risk** (**Category C projects by World Bank standards**): Minimal or no adverse environmental or social risks and/or impacts.	No ESIA or ESMP needs to be prepared.
	Only orange-colored questions are answered with **"Yes"** or **"Unknown"** **Impact risk level two** - **Moderate risk** (**Category B Projects by World Bank standards):** Potential limited adverse environmental or social risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures.	ESIA (partial) to be prepared on a case-by-case basis. Robust ESMP required.
	At least one of the red-colored questions is answered with **"Yes"** or **"Unknown**" **Impact risk level three - High risk (Category A projects by World Bank standards):** Potential significant adverse environmental or social risks and/or impacts that are diverse, irreversible, or unprecedented	Full ESIA and ESMP need to be prepared. Potentially ARAP or equivalent document needed.

Annex 3 Resettlement Screening Form

Project name Project location including map/sketch Type of activity	 (e.g. District, Sector, Cell etc) (e.g. new construction, rehabilitation, periodic maintenance)
Estimated Cost (Rwandan Francs) Proposed date of commencement of work	
Technical drawing/ specifications renewed (circle answer)	Yes No

1. Site Selection: When considering the location of a project, rate the sensitivity of the proposed site in the following table according to the given criteria. Higher ratings do not necessarily mean that a site is unsuitable. They do indicate a real risk of causing undesirable adverse environmental and social effects, and that more substantial environmental and/or social planning may be required to adequately avoid, mitigate or manage potential effects.

Issues	**Site Sensitivity**			**Rating**
	Low	**Medium**	**High**	
Involuntary resettlement	Low population density; dispersed population; legal tenure is well defined.	Medium population density; mixed ownership and land tenure.	High population density; major towns and villages; low-income families and/or illegal ownership of land; communal properties.	

2. Checklist questions:

Physical data	Yes/No answers and bullet lists preferred except where descriptive detail is essential
Site area in ha	
Extension of or changes to existing alignment	
Any existing property to transfer to project	
Any plans for new construction	

Refer to project application for this information.

Land and resettlement	Yes/No answers and bullet lists preferred except where descriptive detail is essential.
Will the subproject involve loss of land and other resources?	
Will the project result into temporary or permanent loss of crops, household infrastructure like shelter, granaries or latrines?	
What is the likelihood of land purchase for the project?	
How will the proponent go about land purchase?	
What level or type of compensation is planned?	
Who will monitor actual payments?	

Refer to the FONERWA's Resettlement Policy Framework

Actions	
List outstanding actions to be cleared before Project appraisal.	
Approval/Rejection	Yes/No answers and bullet lists preferred except where descriptive detail is essential.

Recommendations

Requires a RAP to be submitted on date:_____

Does not require further studies

Reviewer: Name:

Signature:

Date:

Annex 4 Content of Resettlement Action Plan (RAP) and ARAP

Annex 4.1 Content of Resettlement Action Plan

The scope and level of detail of the resettlement plan vary with the magnitude and complexity of resettlement. The plan is based on up-to-date and reliable information about (a) the proposed resettlement and its impacts on the displaced persons and other adversely affected groups, and (b) the legal issues involved in resettlement. The resettlement plan covers the elements below, as relevant. When any element is not relevant to project circumstances, it should be noted in the resettlement plan.

1. Executive Summary

2. **Description of the project:** General description of the project and identification of the project area.

3. **Potential impacts**: Identification of (a) Project component or activities that give rise to resettlement; (b) The zone of impact of such component or activities; (c) The alternatives considered to avoid or minimize resettlement; and (d) The mechanisms established to minimize resettlement, to the extent possible, during project implementation.

4. Objectives: The main objectives of the resettlement program.

5. Socioeconomic studies: The findings of socioeconomic studies to be conducted in the early stages of project preparation and with the involvement of potentially displaced people, including:

(a) The results of a census survey covering:

(i) Current occupants of the affected area to establish a basis for the design of the resettlement program and to exclude subsequent inflows of people from eligibility for compensation and resettlement assistance;

(ii) Standard characteristics of displaced households, including a description of production systems, labor, and household organization; and baseline information on livelihoods (including, as relevant, production levels and income derived from both formal and informal economic activities) and standards of living (including health status) of the displaced population;

(iii) The magnitude of the expected loss total or partial of assets, and the extent of displacement, physical or economic;

(iv) Information on vulnerable groups or persons as provided for in IFC PS5 for whom special provisions may have to be made; and

(v) Provisions to update information on the displaced people's livelihoods and standards of living at regular intervals so that the latest information is available at the time of their displacement.

(b) Other studies describing the following:

(i) Land tenure and transfer systems, including an inventory of common property natural resources from which people derive their livelihoods and sustenance, non-title-based usufruct systems (including fishing, grazing, or use of forest areas) governed by local recognized land allocation mechanisms, and any issues raised by different tenure systems in the project area;

(ii) The patterns of social interaction in the affected communities, including social networks and social support systems, and how they will be affected by the project;

(iii) Public infrastructure and social services that will be affected; and

(iv) Social and cultural characteristics of displaced communities, including a description of formal and informal institutions (e.g., community organizations, ritual groups, non-governmental organizations (NGOs)) that may be relevant to the consultation strategy and to designing and implementing the resettlement activities.

6. Legal framework: The findings of an analysis of the legal framework, covering:

(a) The scope of the power of eminent domain and the nature of compensation associated with it, in terms of both the valuation methodology and the timing of payment;

(b) The applicable legal and administrative procedures, including a description of the remedies available to displaced persons in the judicial process and the normal timeframe for such procedures, and any available alternative dispute resolution mechanisms that may be relevant to resettlement under the project;

(c) Relevant law (including customary and traditional law) governing land tenure, valuation of assets and losses, compensation, and natural resource usage rights; customary personal law related to displacement; and environmental laws and social welfare legislation;

(d) Laws and regulations relating to the agencies responsible for implementing resettlement activities;

(e) Gaps, if any, between local laws covering eminent domain and resettlement and the IFC's resettlement Safegaurds and the mechanisms to bridge such gaps; and

(f) Any legal steps necessary to ensure the effective implementation of resettlement activities under the project, including, as appropriate, a process for recognizing claims to legal rights to land—including claims that derive from customary law and traditional usage.

7. Institutional Framework: The findings of an analysis of the institutional framework covering:

(a) The identification of agencies responsible for resettlement activities and NGOs that may have a role in project implementation;

(b) An assessment of the institutional capacity of such agencies and NGOs; and

(c) Any steps that are proposed to enhance the institutional capacity of agencies and NGOs responsible for resettlement implementation.

8. Eligibility: Definition of displaced persons and criteria for determining their eligibility for compensation and other resettlement assistance, including relevant cut-off dates.

9. Valuation of and compensation for losses: The methodology to be used in valuing losses to determine their replacement cost; and a description of the proposed types and levels of compensation under local law and such supplementary measures as are necessary to achieve replacement cost for lost assets.

10. Resettlement measures: A description of the packages of compensation and other resettlement measures that will assist each category of eligible displaced persons to achieve the objectives of the policy. In addition to being technically and economically feasible, the resettlement packages should be compatible with the cultural preferences of the displaced persons and prepared in consultation with them.

11. Site selection, site preparation, and relocation: Alternative relocation sites considered and explanation of those selected, covering: (a) institutional and technical arrangements for identifying and preparing relocation sites, whether rural or urban, for which a combination of productive potential, locational advantages, and other factors is at least comparable to the advantages of the old sites, with an estimate of the time needed to acquire and transfer land and ancillary resources; (b) any measures necessary to prevent land speculation or influx of ineligible persons at the selected sites; (c) procedures for physical relocation under the project, including timetables for site preparation and transfer; and (d) legal arrangements for regularizing tenure and transferring titles to resettlers.

12. Housing, infrastructure, and social services: Plans to provide (or to finance resettlers' provision of) housing, infrastructure (e.g., water supply, feeder roads), and social services (e.g., schools, health services); plans to ensure comparable services to host populations; any necessary site development, engineering, and architectural designs for these facilities.

13. Environmental protection and management: A description of the boundaries of the relocation area; and an assessment of the environmental impacts of the proposed resettlement and measures to mitigate and manage these impacts (coordinated as appropriate with the environmental assessment of the main investment requiring the resettlement).

14. Community participation: Involvement of resettlers and host communities, including: (a) a description of the strategy for consultation with and participation of resettlers and hosts in the design and implementation of the resettlement activities; (b) a summary of the views expressed and how these views were taken into account in preparing the resettlement plan; (c) a review of the resettlement alternatives presented and the choices made by displaced persons regarding options available to them, including choices related to forms of compensation and resettlement assistance, to relocating as individuals families or as parts of preexisting communities or kinship groups, to sustaining existing patterns of group organization, and to retaining access to cultural property (e.g., places of worship, pilgrimage centers, cemeteries); and (d) institutionalized arrangements by which displaced people can communicate their concerns to project authorities throughout planning and implementation, and measures to ensure that such vulnerable groups as indigenous people, ethnic minorities, the landless, and women are adequately represented.

15. Integration with host populations: Measures to mitigate the impact of resettlement on any host communities, including: (a) consultations with host communities and local governments; (b) arrangements for prompt tendering of any payment due the hosts for land or other assets provided to resettlers; (c) arrangements for addressing any conflict that may arise between resettlers and host communities; and (d) any measures necessary to augment services (e.g., education, water, health, and production services) in host communities to make them at least comparable to services available to resettlers.

16. Grievance procedures: Affordable and accessible procedures for third-party settlement of disputes arising from resettlement; such grievance mechanisms should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.

17. Organizational responsibilities: The organizational framework for implementing resettlement, including identification of agencies responsible for delivery of resettlement measures and provision of services; arrangements to ensure appropriate coordination between agencies and jurisdictions involved in implementation; and any measures (including technical assistance) needed to strengthen the implementing agencies' capacity to design and carry out resettlement activities; provisions for the transfer to local authorities or resettlers themselves of responsibility for managing facilities and services provided under the project and for transferring other such responsibilities from the resettlement implementing agencies, when appropriate.

18. Implementation schedule: An implementation schedule covering all resettlement activities from preparation through implementation, including target dates for the achievement of expected benefits to resettlers and hosts and terminating the various forms of assistance. The schedule should indicate how the resettlement activities are linked to the implementation of the overall project.

19. Costs and budget: Tables showing itemized cost estimates for all resettlement activities, including allowances for inflation, population growth, and other contingencies; timetables for expenditures; sources of funds; and arrangements for timely flow of funds, and funding for resettlement, if any, in areas outside the jurisdiction of the implementing agencies.

20. Monitoring and evaluation: Arrangements for monitoring of resettlement activities by the implementing agency, supplemented by independent monitors.

Annex 4.2 Content of an Abbreviated Resettlement Plan

An abbreviated plan covers the following minimum elements:

(i) A census survey of displaced persons and valuation of assets;
(ii) Description of compensation and other resettlement assistance to be provided;
(iii) Consultations with displaced people about acceptable alternatives;
(iv) Institutional responsibility for implementation and procedures for grievance redress;
(v) Arrangements for monitoring and implementation.

Annex 5 Template of ESIA ToRs

1. General Background Information:

1.1. Description of the pertinent background issues: This should include a brief description of the major components of the proposed project, a statement of the need for the project, the objectives it is intended to meet, the implementing agency, a brief history of the project (including alternatives considered), its status and timetable, and a list any associated projects. If there are other projects in progress or planned within the region that may compete for the same resources, they should also be identified here.

1.2. **Objectives:** Summarize the general scope of the environmental assessment and discuss its timing in relation to the project preparation, design, and execution processes.

1.3. Study Area: Specify the boundaries of the study area for the assessment (e.g., water catchment area and land use), as well as any adjacent or remote areas that should be considered with respect to specific impacts (temporary infrastructure). The project could have different study areas corresponding to the level of impact.

1.4. Scope of Work: Define the tasks. In some cases, the tasks to be carried out by a consultant will be known with sufficient certainty to be specified completely in the terms of reference. In other cases, specialised field studies or modelling activities will need to be performed to assess impacts.

2. Description of the Proposed Project: Provide a brief description of the relevant parts of the project using maps of appropriate scale where necessary and include the following information: Project justification; Location; General layout, size, and capacity; Pre-construction activities; Construction activities; Schedule of activities; Staffing and support; Facilities and services; Operation and maintenance activities; Required offsite investments and Life span.

[Note: specify any other type of information relevant to the description of the project category.]

3. Description of the Environment

Assemble, evaluate, and present baseline data on the relevant environmental characteristics of the study area. Include information on any changes anticipated before the project commences. Modify the list below to show critical project information (e.g., information relevant to the project category and other project-specific information). Avoid compiling irrelevant data. Present environmental characteristics of the study area on a map to facilitate the understanding.

3.1. Physical environment: Geology; topography; soils; climate and meteorology; ambient air quality; surface and groundwater hydrology; coastal and oceanic parameters; existing sources of air emissions; existing water pollution discharges; and receiving water quality.

3.2. Biological environment: Flora; fauna; rare or endangered species; ecologically important or sensitive habitats, including parks or reserves, and significant natural sites; species of commercial importance; and species with potential to become nuisances, vectors, or dangerous (of project site and potential area of influence of the project).

3.3. Socio-cultural environment: Population; land use; planned development activities; community structure; employment; distribution of income, goods and services; recreation; public health; cultural/ historic properties and customs, aspirations and attitudes.

4. Description and Analysis of the Legislative and Regulatory Framework and Issues: Describe the pertinent regulations and standards at international, national, regional and local levels that govern environmental quality, health and safety, protection of sensitive areas, protection of endangered species, site, and land use control. ToRs should specify those that are known and should require the consultant to investigate for others. Then review and analyse relevant laws, regulations and guidelines that govern the conduct of the assessment or specify the content of the report, including international treaties, national laws and/ or regulations and/ or guidelines on environmental reviews and impact assessments.

5. Determination of the Potential Impacts of the Proposed Project: Distinguish between positive and negative impacts, direct and indirect impacts, and immediate and long-term impacts. Identify impacts that are unavoidable or irreversible. Wherever possible, describe impacts quantitatively, in terms of the affected environmental components (e.g., area, number) and environmental costs and benefits. Assign economic values when feasible. Characterise the extent and quality of available data, explaining significant information deficiencies and any uncertainties associated with the predicted impacts. If possible, develop ToRs to conduct research to obtain the missing information. Identify the types of special studies likely to be needed for this project category.

The engineering plans should reflect “best practice” in alignment and construction to ensure that potential negative Climate, environmental and social impacts are inimized (e.g., through measures to prevent soil erosion risk, ensure proper drainage, and provide for waste disposal, landfill material and used oil, etc.).

6. Analyse the Alternatives to the Proposed Project: Describe alternatives that were examined in the course of developing the proposed project and identify other alternatives, which would achieve the same objectives. The concept of alternatives extends to site, design, technology selection, construction techniques and phasing, and operating and maintenance procedures taking in consideration project climate change aspects.

Compare alternatives in terms of potential environmental impacts; capital and operating costs; suitability under local conditions; and institutional, training, and monitoring requirements. When describing the impacts, indicate which are irreversible or unavoidable and which can be mitigated. Try to quantify the costs and benefits of each alternative, incorporating the estimated costs of any associated mitigating measures. Include the 'no project' alternative to demonstrate environmental conditions without the project.

7. Develop the Management Plan to Mitigate Negative Impacts: The Environmental Management Plan focuses on three generic areas: mitigation measures, institutional strengthening and training, and monitoring. The emphasis on each of these areas depends on the context- specific project needs.

Mitigation of environmental impact: Recommend feasible and cost-effective measures to prevent or reduce significant negative impacts to acceptable levels. Quantify the impacts and estimate the costs of the mitigation measures.

Consider compensation to affected parties for impacts that 'cannot be mitigated. The plan should include proposed work programs, budget estimates, schedules, staffing and training requirements, and other necessary support services to implement the mitigation measures.

Institutional strengthening and training: Identify institutional needs to implement environmental assessment recommendations. Review the authority and capability of institutions at local, provincial, regional, and national levels and recommend how to strengthen the capacity to implement the environmental management and monitoring plans. The recommendations may cover such diverse topics as new laws and regulations, new agencies or agency functions, inter-sectoral arrangements, management procedures, training, staffing, operation and maintenance training, budgeting, and financial support.

Monitoring: Prepare detailed arrangements to monitor the implementation of mitigation measures and the impacts of the project during construction and operation. Include in the plan an estimate of capital and operating costs and a description of other required inputs (e.g., training and institutional strengthening).

8. Organise and Facilitate Public Consultations, in accordance with the provisions of the General ESIA guidelines and other attendant legislation

9. Prepare the ESIA Report: The ESIA report should be concise and limited to significant environmental issues. The main text should focus on findings, conclusions, and recommended actions supported by summaries of the data collected and citations for any references used in interpreting data. Detailed data should be presented in appendices or in a separate volume.

The ESIA report according to the outline below:

(i) Executive Summary;

(ii) IntroductionPolicy,

(iii) Legal, and Administrative Framework;

(iv) Description of the Proposed Project;

(v) Description of the existing Environment;

(vi) Significant Environmental Impacts and Mitigation Measures;

(vii) Analysis of the Alternatives;

(viii) Emergency Plan;

(ix) Environmental Management Plan (including Monitoring Plan);

(x) Conclusion and recommendation

(xi) List of References;

(xii) Appendices:

- Terms of Reference;
- List of the ESIA team;
- Records of Interagency and Public/NGO Communications;
- Data and Unpublished Reference Documents.

Consulting Team: Identify the expertise to include on the ESIA team. Environmental assessment requires interdisciplinary analysis. Members of the team could consist of people with the following specializations: Environment, sociology, human geography; and/or terrestrial ecology, GIS Expert, etc.

10. Other Information: List data sources, project background reports and studies, relevant publications, and other items to which the consultant's attention should be directed.

Annex 6 Environmental and Social Management Plan (ESMP) Guidance

Why this ESMP Guidance document?

This document outlines the key elements of an Environmental and Social Management Plan (ESMP) capturing the typical Environmental and Social (E&S) impacts and associated mitigation measures that need to be considered at minimum in the context of FONERWA funded project requiring ESIA/ESMP.

The content of this ESMP shall be guided and sourced from the Environmental and Social Impact Assessment (ESIA) process as required by Rwandan law and the FONERWA ESMF and RPF).

What is the intention of this ESMP Guidance document?

The intention of this ESMP Guidance is to assist the Project developers, responsible for a specific FONERWA funded project in avoiding/mitigating negative Cilmate, E&S impacts during the planning, construction and operation phases of the project. The project developer will typically engage a construction contractor (Contractor) to undertake the construction works. Therefore, the contract between the project developer and Contractor should include the obligation of the Contractor to implement the ESMP during the project construction works.

Who needs to follow the ESMP?

The implementation of this ESMP will be a mandatory part of the construction contract so that the Contractor will be obliged to support preparation and ensure implementation of the ESMP. The project developer will oversee and monitor the ESMP implementation and will have ultimate responsibility for it, both during construction and operation. The mitigation measures, responsibilities and monitoring requirements need to be further conveyed to any sub-contractors engaged by the Contractor. In the end every worker on the ground needs to be aware of the ESMP and his or her specific responsibilities under it.

How to use this ESMP Guidance document?

The project developer - together with the Contractor - shall use this document as guidance and amend it to the project specifications, characteristics and risks. Thus, this ESMP Template should **not** be used “as is” for a project but serves as a basis for a project-specific ESMP, commensurate with the relevant E&S risks and potential impacts of the project.

The main body of this guidance document serves as a template to be amended with project specific information on project description, roles and responsibilities, training requirements and stakeholder engagement approach. The text in italics and grey highlighted include instructions for the authors of the ESMP (project developer and Contractor).

Each project has its own unique characteristics and some of the mentioned topics may not be relevant at all, while others may be highly acute and challenging to tackle. As such, this guidance should be applied in a prudent and realistic manner as appropriate on a case-by-case basis. In the event that any E&S issues appear to become critical, the project developer’s programme managers should seek for support by FONERWA.

The Template for the ESMP, subject to amendment for your Project, is provided below.

Environmental and Social Management Plan (ESMP)
<Project Name/ Location>

<Author>

<Date/ Version>

1. Introduction

The Project Developer (PD) *<Name of the PD>* is planning to construct a *<Name intervention, e.g. school, water distribution system etc.>* ("the Project"). The Project will be constructed at a site in *<Name of location/ village/ Sector/District>*. The construction activities will be executed by the construction contractor (Contractor) *<Name of the Contractor>* with the following sub-contractors: *<Name of the sub-contractors if known already>*.

The purpose of this Environmental and Social Management Plan (ESMP) is to provide a consolidated summary of all the Environmental and Social commitments relevant for the construction phase of the Project. The measures focus on environmental (such as air emissions, biodiversity, and environmental contamination) and social aspects (such as the protection of human rights, communication with local stakeholders, safety of workers and communities). This ESMP also gives an overview about the E&S Management System that is being implemented to ensure systematic and effective execution of these commitments, including roles and responsibilities between the PD and the Contractor.

The ESMP can be updated as the Project proceeds through detailed design and construction to reflect the results of discussions with stakeholders and to include details of any other E&S developments.

2. Project Description

Add here a description of the Project. This description should be based on:

a. *Available documentation (e.g. the technical design, ESIA and other E&S reports, existing project descriptions, maps, aerial pictures) and*

b. *Site visit(s) to the proposed project site to understand the overall site setting and to identify sensitive areas. Interviews should be conducted with persons present in the area (if any) to understand the land ownership and land use, locally available resources, potential constraints for the project, social/ cultural/ economic/ ecologic sensitivities etc.*

Under the headings below you find some topics that may be relevant for your Project. Please fill with Project specific information.

3. Project Context

- *Is it a greenfield (undeveloped land) or brownfield (previously developed land) development?*
- *How is the land ownership status? Who owns the land to be used for the Project? (including informal/traditional users and land title rights, conflicting land claims if any),*
- *How is the land currently used? (Agriculture, pasture, forest, no use, vacant)*
- *Provide a succinct description of environment/social baseline and known/potential sensitivities. Are there any protected areas or sites of cultural importance close by? Are there indigenous peoples living in the area? How far away is the closest house/ settlement?*

- *Are there other construction activities close by?*
- *What is the Project's Area of Influence which is the area where the Project itself and any associated infrastructure (e.g. water pipelines) are located. The AoI should be presented in a map if feasible.*
- *Provide any further information relevant for the Project Context.*

4. Project Activities

- *Describe Type of Project, e.g. building (e.g. housing, school, market, health post, clinic), infrastructure (water pipeline, road, bridge), small irrigation dam, terrazing, etc.*
- *Describe activities to be completed during preparation and construction, e.g. site levelling, excavation activities, demolition of existing buildings, use of heavy equipment, construction of access roads and power supply etc.*
- *Provide a map of the project design (technical drawings) if available.*
- *Explain duration of operation.*

5. Stakeholders

- *Provide names of statutory entities/ authorities/ ministries involved with the Project.*
- *Describe other local stakeholders, e.g. current land owners/ users, communities adjacent to the Project site, local decision makers, opinion leaders (traditional or formal).*
- *Make reference to the Stakeholder Engagement Plan - SEP (see FONERWA ESMF)*

6. Roles and Responsibilities

Please provide further details around responsibilities within the PIA and the Contractor along the headings below.

7. Project Developer (PDe)

The PDe has the overall responsibility for E&S management during the construction and operation phase of the Project. This includes the following responsibilities:

- Ensuring compliance with all relevant national legislation, as well as with the environmental controls and mitigation measures contained in this ESMP.
- Ensure that the design and planning is in compliance with national requirements and aligned with international best practise (See Chapter 0).
- Monitoring the performance of contractors and sub-contractors used for providing workforce, supplies and services (see Monitoring provisions in Chapter 0, *Table 1*).
- Acting as point of contact for consultation and feedback to stakeholders and the public (stakeholder engagement).
- Training of construction workers to raise awareness in the fields of E&S topics and in general implementation of this ESMP.

Please provide further details around responsibilities within the PD. Who is responsible for implementation of this ESMP? Who is responsible for monitoring? Who is responsible for overseeing

the Contractor performance with respect to E&S management and the implementation of this ESMP? Who is responsible during operation?
Include an organizational chart if available.

8. Contractors

The Contractor is required to fulfil the commitments as set out in this ESMP as well as to ensure that its sub-contractors fulfil the ESMP. This includes the following:

- Conduct monitoring and on-site audits to verify implementation of the ESMP (see Monitoring provisions in Chapter 6.2, *Table 1*) and report on findings to the PIA.
- Communicate any environmental issues and incidents to the PIA immediately.
- Support the PIA with the training of the construction workers to raise awareness in the fields of E&S topics and in general implementation of this ESMP.

Please provide further details around responsibilities within the Contractor. Who is responsible for implementation of this ESMP? Who is responsible for monitoring? Who is responsible for overseeing the sub-Contractors performance with respect to E&S management and the implementation of this ESMP?
Include an organizational chart if available.

9. Other Entities

Counterparts (public authorities) if involved in the Project shall be informed on the ESMP and involved in its implementation. Also, responsibilities of these authorities shall be named.

10. Training

The Project developer (PDe) will provide an Induction Training to all its employees and Contractor personnel working on the Project before early works start. This Induction Training shall be conducted for all new workers, also if they join the construction site later during construction activities. The goal of the training is for PIA employees and Contractor personnel (including sub-contractors) to understand:

- The mitigation measures included in this ESMP and how it will be implemented on site including responsibilities.
- The sensitivities of the area (if any) in which the Project will be constructed and operated.
- Occupational Health and Safety (H&S) rules at the construction site (e.g. personal protective equipment, rules of conduct, first aid).
- The Project's Grievance Mechanism and the basic worker's rights (see 8 Core Labour Standards below).
- How to deal with enquiries/ questions/ grievances by the public/ local stakeholders.
- Interaction rules with the people living close to the construction site (Code of Conduct) and how to deal with unauthorised visitors to the site.
- How to deal with unforeseen incidents/ emergency situations.
- The roles and responsibilities within the PDe, the Contractors, sub-Contractors and workers with respect to environmental and social issues.

The PD keeps records of the training sessions. The training will be repeated as needed during the construction (and operation) activities.

The training should as a minimum include the above topics. Please amend the text as needed to add further topics to the induction training. After completing the Induction Training refresher trainings may be needed. It is in the responsibility of the PD and the Contractor to prepare a detailed training plan, especially for the construction workers.

11. Project Standards (National and International)

Please refer to the FONERWA ESMF, Volume-1 and include the named relevant standards here.

12. Stakeholder Engagement and Grievance Mechanism

The Project Developer (PDe) will ensure that the local communities are informed at an early stage about the planned Project, timelines, potential impacts and communication channels. The PDe will also seek for feedback from the communities about the Project. As part of its community liaison process, the PDe will apply the Grievance Mechanism as per the FOWERWA's ESMF&RPF to ensure that all stakeholder comments, suggestions and objections are captured and considered. It will allow the affected community and the workers to express their concerns and any complaints directly to the PDe. Contact details and information on the procedure, including grievance form, will be distributed to the local communities.
All comments and complaints will be investigated by the PDe and appropriate action taken as necessary. Records of all complaints and actions will be maintained on site.

13. Register of E&S Aspects

This section provides best practice measures usually to be applied for small and medium-scale buildings and infrastructure projects. Not all the aspects, impacts and mitigation measures outlined in the below text and Table 1 may be relevant for each project due to the regional context, the seasonality and project specifications. Deleting mitigation measures should, however, only be done with a thorough justification. Additional measures may be added as needed based on the ESIA process. Operational impacts are not included in the Table 1 below but may be relevant for specific project types, e.g., waste management facilities, wastewater treatment plants or small-scale hydropower plants. The ESMP always needs to cover both construction and operation phase and should always be based on the outcomes of the ESIA and further guidance provided FONERWA ESMF/ RPF.

14. Planning and Design

The Project will be planned and designed by the PDe with the following basic considerations:

- Avoid land acquisition of private land and displacement of persons.
- Avoid forests, protected areas or ecologically sensitive areas.
- Avoid culturally sensitive areas (e.g. places of worship, holy trees).
- Design the Project to:
  - Ensure that key/routine maintenance and operations can be implemented by the community/beneficiaries.
  - Apply low-maintenance solutions in the design of buildings, e.g. based on other buildings of the same type in the region.
  - Account for proper ventilation and adequate resistance to severe weather or natural disasters.
  - If feasible, develop a maintenance plan with the beneficiaries of the building.

- Plan the Project to make use of local resources to avoid construction traffic and associated impacts to the communities.
- Plan the Project so as to minimize use of natural resources (material, water, land).
- Engage with the persons living in the area around the Project site (including neighbours, local decision makers) early in the planning process and throughout construction activities to inform them about the planned construction and also seek for their feedback around potential sensitivities (protected areas, places of worship, holy trees etc.). Site visits and discussions with the local population should be conducted throughout the design and planning phase. A grievance mechanism will be designed and established for workers and the public during the planning phase already.
- Hire unskilled workers and skilled workers, if available, from the local communities to encourage social growth and development in the region.
- Conduct Induction Training for workers as outlined in this ESMP before start of construction.
- Establish core E&S procedures already at the planning stage. This includes as a minimum:
  - Incident Reporting (fatal accidents, medical treatment cases; first aid cases; restricted work injuries; near misses; environmental events).
  - Grievance Mechanism (for workers and community).
  - Recruitment Procedure for the upcoming construction phase.
  - Training Procedures/Training material as outlined above (Occupational H&S; Community H&S; environmental sensitivities).
  - Work site/ construction site risk assessment and corresponding Construction H&S Plan.
- Manage operational impacts as needed and as identified during the ESIA study phase.

15. Construction

The *Table 1* below sets out all E&S commitments that are to be fulfilled by the Contractor - supported by the PDe - during the construction activities. The table includes 5 columns (Topic/ potential impact; Mitigation/Enhancement Measure; Means of verification of fulfilment;Responsibility and Monitoring provisions).

Table 1 - Construction Phase E&S Aspects and best Practice Mitigation Measures

Topic/ Potential Impact	Mitigation, Management and Enhancement Measures	Means of Verification	Responsibility	Monitoring Procedure
A. General Requirements for ESHS Management				
1. Responsibilities and Liabilities	Ensure that all workers, suppliers and possible subcontractors are familiar and comply with the requirements and specifications of the ESHS and this ESMP.	Induction training performed and recorded Contracts with subcontractors and suppliers	Contractor/PDe	Review of training records Review of Contracts to ensure that project requirements are included
	Adjust this ESMP to the specific project, define the frequency of the monitoring procedure and share it with PD and FONERWA. Identify whether further Management Plans have to be prepared.	Final project specific ESMP	Contractor/PDe	Review prior to finalization of project specific ESMP
4. Resources allocated to ESHS Management	Assign ESHS responsible and define the requirements and responsibilities. Responsible for contact with stakeholders (Relations officer or Community Liaison officer)	Final project specific ESMP Communicate with the relevant authorities the ESHS responsible	Contractor/PDe	Review prior to finalization of project specific ESMP
6. Reporting	Reporting of progress and incidents, accidents, observations, near misses.	Final project specific ESMP. Reporting protocol for ESHS incidents	Contractor/PDe	Review once prior to finalization of project specific ESMP
7. Code of Conduct	Establish a Code of Conduct taking into consideration legislation, safety rules, substance abuse, environmental sensitivity, communicable diseases, gender issues (sexual harassment), respect for local beliefs and customs, community interactions etc.	Code of Conduct in place and rules shared with personnel	Contractor/PDe	Review of Code of Conduct Induction records Review of reported punishable or misconduct behaviours Review of grievance records
8.ESHS Training	Provide H&S Instruction and Training and awareness to the workforce regarding H&S risks and mitigation measures (including indirect workers) tailored to project scope.	Training performed and recorded	Contractor/PDe	Review of training records

Topic/ Potential Impact	Mitigation, Management and Enhancement Measures	Means of Verification	Responsibility	Monitoring Procedure
Specific Requirements for ESHS Management				
B. Protection of the Environment and People				
10. Protection of adjacent areas	Restrict excavation activities during periods of intense rainfall. Use temporary bunding to reduce the risk of sediment, oil or chemical spills to the receiving waters.	No excavation during intense rainfall	Contractor/PDe	Check weather forecast and inspect the site conditions prior to excavation.
	Carry out excavation works in cut off ditches to prevent water from entering excavations.	No water entering excavations	Contractor/PDe	Random site inspection
	Ensure that means of protection are in place to avoid or minimise adverse effects on vegetation, soils, groundwater and surface water, biodiversity, natural drainage, and the water quality in areas within the works area. Construction methods to minimise impacts to the extent possible.	No impacts identified in the adjacent environment	Contractor/PDe	Regular monitoring of adjacent natural resources.
	Ensure that work site boundaries and limits are in accordance with plans agreed upon in advance. All construction activities should be carried out within boundaries.	Marking the borders of works site boundaries and usage of warning signs	Contractor/PDe	Site inspection prior to commencement of activities.
	Ensure to stay out of surrounding wetland areas.	Pre-construction survey to make sure that site is not in wetland areas	Contractor/PDe	During site selection
	Ensure to keep the following distances from permanent water course and outside of floodable areas; sensitive urban services and buildings (health centre, school, water supply for populations); any housing.	Marking the borders of works site boundaries in line with given limits and usage of warning signs	Contractor/PDe	Site inspection prior to commencement of activities.
	After construction, form reshaped land so that it is inherently stable, adequately drained, and suitable for the desired long-term land use and allows natural regeneration of vegetation	Visual inspection and comparison with adjacent undisturbed areas	Contractor/PDe	Regular monitoring
	Minimise visual impacts.	Visual inspection and comparison with adjacent undisturbed areas	Contractor/PDe	Review of grievance records

Topic/ Potential Impact	Mitigation, Management and Enhancement Measures	Means of Verification	Responsibility	Monitoring Procedure
12. Pollution prevention	Ensure all works carried out minimise pollution risk (e.g. liquid effluents; air emissions; noise and vibration management; vehicle and equipment maintenance and selection; fuel, oil and chemical storage and handling.) including the whole duration of the project.	Ensure that potential pollutants are not stored and handled within 50 meters of sensitive receptors (particularly watercourses).	Contractor/PDe	Regular site inspection Review of grievance records
13. Effluents	Ensure appropriate containment and storage of construction wastewater, including sanitary water. No untreated effluent is discharged.	No untreated wastewater discharge	Contractor/PDe	Regular site inspection Review of grievance records
14. Emissions and dust	Use to the extent possible, vehicles in appropriate technical conditions. Provide emissions control equipment where applicable (e.g. filters).	Technical Specification Sheet	Contractor/PDe	Prior to commencement of works and each time new equipment/vehicle is used at the site. Review of grievance records Visual inspection on regular basis
	Use low sulphur content fuels, in line with legal provisions in force as well as local availability.	Technical Specification Sheet	Contractor/PDe	Regular documentation inspection
	Ensure vehicles are switched off when not in use. Sensitise drivers.	Engines switched off	Contractor/PDe	Site inspection
	Best practice to ensure minimisation of dust emissions (e.g. proper stockpiling, watering etc.) during dry and windy conditions and transportation.	Watering conducted, no dust emissions are observed, no workers' grievances	Contractor/PDe	Regular site inspection Review of grievance records
	Ensure speed limits on site. Sensitise drivers.	Speed signs installed Training performed and recorded Accident/incident reports	Contractor/PDe	Random site inspection Review of grievance records Review of accident/incident records Review of training records
15. Noise and vibration	Avoid operations and vehicle movements at night.	No work conducted between 10pm and 7 am/ no grievances received	Contractor/PDe	Random site inspection Review of grievance records Review of accident/incident records Review of training records
	Set traffic speed limits. Sensitise drivers.	Speed limit signs Driver Training Records as part of Induction training	Contractor/PDe	Random site inspection Review of grievance records Review of accident/incident records

Topic/ Potential Impact	Mitigation, Management and Enhancement Measures	Means of Verification	Responsibility	Monitoring Procedure
				Review of training records
	Locate stationary equipment (such as power generators) as far as possible from nearby receptors (e.g. worker resting areas, populated areas and environmentally sensitive areas). Make sure that noise levels don't exceed 120db in case of equipment or vehicle use.	Distances between equipment and receptors are kept	Contractor/PDe	Once prior to commencement of works Monitor noise levels in case equipment is used Review of grievance records
16. Waste	Identify waste management facilities and waste management contractors. Ensure disposal through waste contractors licensed for treatment/removal/recycling of each of the waste types.	Waste management through licensed contractors, if feasible Waste management contracts Waste transfer notes	Contractor/PDe	Inspect waste management facilities Proof of contractors' certifications Review of waste transfer records
	Ensure that all wastes produced are properly collected, segregated, stored, transported and treated	Waste collection areas existent, waste inventories Waste transfer notes	Contractor/PDe	Random site inspection, Review of waste inventories Review of waste transfer records
	Minimise the waste production to the extent possible.	Records of waste production are kept Waste Management Plan Training performed and recorded	Contractor/PDe	Monitor (e.g. monthly) the amount of waste produced Review of training records
	Document all waste related operations (type of wastes, quantities produced etc.).	Storage, transport and treatment of waste is documented Waste transfer notes Waste inventories	Contractor/PDe	Review of waste transfer records Review of waste inventories
	Appropriate and safe storage of fuels, construction materials, wastes and any materials that can cause spills (e.g. batteries from energy generators).	Safe storage of materials Spill response procedure Spill response and remediation equipment in place.	Contractor/PDe	Random site inspection
17. Vegetation	Limit vegetation clearing to areas within the site boundary where it is	Vegetation clearing minimal	Contractor/PDe	Site inspection prior to commencement

Topic/ Potential Impact	Mitigation, Management and Enhancement Measures	Means of Verification	Responsibility	Monitoring Procedure
clearing	strictly necessary.	Marking the borders of works site boundaries		of activities.
	Describe the methods of vegetation clearance. Ensure that no chemicals/pesticides are used, burning of vegetation is restricted etc. Do not clear vegetation more than two months in advance of operations	No use of fires or chemicals on site Marking the borders of works site boundaries Usage of warning signs	Contractor/PDe	Site inspection prior to commencement of activities. Site inspection during site clearance
	Avoid clearing mature trees and endangered species.	No mature trees cleared	Contractor/PDe	Site inspection prior to commencement of activities.
18. Biodiversity	Avoid to the extent possible areas of ecological value.	Areas of ecological value avoided	Contractor/PDe	Site assessment prior to site selection. Ecological value assessment if needed.
	Avoid natural habitats disturbance.	No habitats disturbed	Contractor/PDe	Inspection of construction practices.
19. Erosion and sediment transport	If construction takes place on inclined surfaces/slopes, ensure preventive erosion control measures are applied (e.g. plan to retain trees and other vegetation, use of natural contours for roads and drainage networks, excavated drainage channels).	Preventive temporary and permanent erosion control measures in place Landscape and Bio restoration plan in place	Contractor/PDe	Random site inspection to check if measures where applied
	Ensure that topsoil is stripped and stored properly. After construction, topsoil will be used for restoration of the area. Topsoil should not be mixed with subsoil, therefore needs to be stored separately.	Topsoil stored and re-used for restoration.	Contractor/PDe	Monitor if topsoil is properly stripped and stored
	Optimal stockpiling.	Stockpile height limited	Contractor/PDe	Random site inspection
20. Site rehabilitation	Ensure revegetation and restoration of cleared areas where possible after construction using native species.	Revegetation completed	Contractor/PDe	One-time inspection after construction
	Ensure that rehabilitated areas don't pose health and safety risks (such as holes, ponds).	Reinstatement completed	Contractor/PDe	Inspection after construction Inspection after heavy rainfalls and snow
	Reinstatement of construction working area to the best possible	Reinstatement completed	Contractor/PDe	One-time inspection after construction

Topic/ Potential Impact	Mitigation, Management and Enhancement Measures	Means of Verification	Responsibility	Monitoring Procedure
	after construction activities are completed.			Inspection after heavy rainfalls and snow
	Rehabilitate borrow areas, backfill material stockpile sites and access roads, where applicable.	Rehabilitation completed	Contractor/PDe	One-time inspection after construction Inspection after heavy rainfalls and snow
C. Health and Safety				
21. Health and Safety Plan	Develop a Health and Safety Plan.	HS Plan in place	Contractor/PDe	Review of HS Plan
22. Accident reporting procedure	Ensure all H&S related incidents (e.g. observations, accidents) on site are recorded and followed up properly.	Incident recording process in place	Contractor/PDe	Check incident/accident records
23. Personal protective equipment	Ensure the provision of Personal Protective Equipment (PPE) for workers (hardhats, masks, safety glasses, safety boots etc. depending on project type).	PPE used by everyone on-site Training performed and recorded	Contractor/PDe	Random site inspection Review training records
24. Emergency scenarios prevention	Ensure immediate cleaning of any spills and remediation of contaminated areas after construction.	Workers trained. Emergency response team (ERT) is in place	Contractor/PDe	Random site inspection after spill events One-time inspection after construction Review of training records Review of ERT
	Provide necessary prevention equipment and teams on site in line with applicable regulations to respond to emergency scenarios e.g. fire, explosion, floods, natural hazards etc.	Prevention equipment and team is in place Training performed and recorded	Contractor/PDe	Regular site inspection Review list of equipment Review of ERT Review of training records
	Maintain high standard in housekeeping on site. Construction materials and light equipment should be stored properly.	Visual verification of good housekeeping on-site	Contractor/PDe	Random site inspection
25. First-aid	Ensure minimum first aid provisions on site (suitably stocked first-aid kits; a person, respectively an adequate number of first-aid helpers, and ensure that staff and workers are informed about first-aid	Suitable first aid kits on site Ensure the presence of first aid helpers in all shifts	Contractor/PDe	Regular monitoring of first aid kits Review of First Aider Certificates Review of number of First Aiders

Topic/ Potential Impact	Mitigation, Management and Enhancement Measures	Means of Verification	Responsibility	Monitoring Procedure
	arrangements).	First aid certificates		required by local legislation
26. Access to health care and training	Ensure the workforce has access to primary healthcare on site, providing prescriptions and vaccinations.	Healthcare available on site Medical surveillance records	Contractor/PDe	Random site inspection Review of grievance records Review of medical records (in case not confidential)
	In case more than 35 workers are present on site, ensure that a hospital, medical clinic or a health centre can be reached within a period of 45 minutes.	Medical centres in the proximity of the site	Contractor/PDe	Medical centres in the proximity of the site identified once prior the commencement of works
27. Hygiene, accommodation and food	Ensure provision of Health and Safety (H&S) and hygienic and sanitary facilities at the site, including shaded welfare areas, bathrooms, changing rooms and potable water. Ensure toilets and changing rooms are separated between male and female employees.	Appropriate H&S and sanitary facilities provided at site	Contractor/PDe	Campsite inspection prior to accommodation of the workers. Regular inspection Review of grievance records
	Ensure the provision of adequate space, supply of water, adequate sewage and garbage disposal system, appropriate protection against heat, cold, damp, fire and disease-carrying animals, adequate sanitary and washing facilities, adequate lighting, and basic medical services, in accordance with all applicable health and safety regulations and norms.	Appropriate conditions for workers on site	Contractor/PDe	Campsite inspection prior to accommodation of the workers. Regular inspection Review of grievance records
	Report any occurrence of any communicable diseases amongst the workforce (STD, HIV/AIDS, TB, malaria and Hepatitis B and C). Sensitise workers.	Communicable Diseases Register Training performed and recorded	Contractor/PDe	Review of diseases register and disease prevention programme if available. Review of training records
D. Local labour and relations with local communities				
28. Labour conditions	Ensure minimum legal labour standards as per ILO regulations (child/forced labour, sexual assault, no discrimination, equal opportunities, working hours, minimum wages) are met.	Grievance Mechanism Records, Training performed and recorded	Contractor/PDe	Review of Inspection reports (also from labour authorities), Review of grievance records Review of training records
	Ensure that all direct and indirect workers have access to and are aware about the Grievance Mechanism where they can raise workplace relevant complaints anonymously.	Grievance Mechanism in place and grievances recorded	Contractor/PDe	Review of grievance register Review of training records

Topic/ Potential Impact	Mitigation, Management and Enhancement Measures	Means of Verification	Responsibility	Monitoring Procedure
		Training performed and recorded		
	Ensure all workers have the same rights and are treated equally.	Non-discrimination policy in place	Contractor/PDe	Random site inspection Review of grievance register
29. Local recruitment	Ensure local communities are preferred for the supply of goods and services to the Project and Project personnel, where appropriate.	Local Procurement and Employment Records	Contractor/PDe	Review procurement and employment rules and records Review of grievance register
30. Transport	Organise carpools/buses for worker transportation where needed.	Carpools/ buses used	Contractor/PDe	Review of grievance register
31. Community interaction	Engage/ communicate/inform communities. Ensure consultations with the local authorities and communities regarding the construction. Obtain local knowledge regarding chance finds and land acquisition matters.	Minutes of Meetings Grievance Mechanism	Contractor/PDe	Review of grievance register Minutes of consultation meetings
	Initiate an efficient Grievance Mechanism to allow potentially affected individuals to raise their concerns.	Grievance Mechanism in place, grievances recorded	Contractor/PDe	Review of grievance register
	Engage with the local community and potential affected households to understand their needs and identify the risk of damage to their livelihood basis through the Project (e.g. taking of pastureland, lack of access to water). Should land acquisition be inevitable, a timely and fair compensation should be given to all affected persons.	Minutes of Meetings Grievance Mechanism records Management Plan for Land Acquisition and Compensation if needed	Contractor/PDe	Review of grievance register and meeting minutes
32. Damage to people and property	Ensure all contractors implement codes of conduct concerning employment and workforce behaviour (including but not limited to safety rules, zero tolerance for substance abuse, environmental sensitivity of the area, dangers of sexually transmissible diseases and HIV/AIDS, gender equality and sexual harassment, respect for the beliefs and customs of the populations and community relations in general).	Workers Code of Conduct Grievance Mechanism records	Contractor/PDe	Worker interviews, Review of grievance log
	Ensure that site areas are provided with appropriate security, fencing, signage and lighting. Use hazard notices/signs/barriers to protect children and other vulnerable people from harm and prevent	H&S planning of construction site done, items installed	Contractor/PDe	Inspection prior to the activities. Random site inspection Review of grievance register

Topic/ Potential Impact	Mitigation, Management and Enhancement Measures	Means of Verification	Responsibility	Monitoring Procedure
	access to non-workers.			
33. Land acquisition and land take	Avoid to the extent possible land take of both formal and informal landowners/land users. If land take is inevitable, no forced eviction should take place. Owners should be compensated prior to access to land. Engage with the local community to understand the land ownership and land use.	Grievance Mechanism Management Plan for Land Acquisition and Compensation if needed	Contractor/PDe	Once during site selection Review of grievance log Follow up of land acquisition/compensation process
34. Traffic management	Ensure safe driving by Project personnel (e.g. through training /induction).	Driver Training Records as part of Induction training	Contractor/PDe	Review of training records
	Target signage and outreach activities to improve public awareness of traffic changes and potential hazards for high-risk sections of public roads, including near the site and laydown areas.	Warning signs Minutes of Meetings	Contractor/PDe	Inspection if traffic routes, Review of grievance register
35. Fossils/ Archaeological Chance Finds	Establish specific procedures to manage the protection of archaeological and historical sites, chance finds and fossils. Ensure all finds of cultural heritage are reported immediately to the relevant authority and avoid excavation in the ultimate neighbourhood of a chance find, fence the chance find and await instructions from the competent authority.	Notification records to relevant authority Training records, Records about chance finds	Contractor/PDe	Site inspection

Annex 7 Guide for some Sector Specific environmental impacts and mitigation measures

Annex 7.1 Smal scale Irrigation Systems

Potential Negative Impacts	General Best Practice Mitigation Measures
Disturbance of terrestrial species and loss of habitats / species	Conduct Biodiversity Baseline surveys if required by RDP during environmental clearance.
	Avoid disturbance of legally protected and/or ecological valuable areas if required by RDP during environmental clearance.
	Create biodiversity offsets if habitat or biodiversity is negatively impacted or lost if required by RDP during environmental clearance.
Loss of habitats and species in rivers and creeks	Maintain ecological flow in rivers and creeks necessary to sustain habitats.
Pollution of the natural environment and health risks to communities	Avoid pesticide use where possible, prefer biological agriculture (see also WHO Pesticide Evaluation Scheme).
Salinization of irrigated lands	Plan for and iImplement water drainage measures.
Worker H&S	Develop and implement Occupational Health and Safety (OHS) Plans as appropriate
	Identify, control and monitor health and safety risks in work areas
	Provide adequate resources and expertise to manage health and safety risks.
	Ensure the use of Personal Protective Equipment (PPE) for workers, e.g., shoes, sun protection, gloves etc.
	Maintain high standard in housekeeping on site, e.g. keep construction sites clean, ensure that work material is stored away properly when not used, do not leave sharp items on ground.

Annex 7.2 Solar Energy Projects

Environmental or Social Risks	Mitigation measures
Solar thermal heating	
Visual impact on buildings' aesthetics	• Adoption of standards and regulations for environmentally friendly design; • Good installation practices; • Improved integration of solar systems in buildings; • Avoid siting of solar panels on buildings of historic interest or in conservation areas.
Routine & accidental releases of chemicals	• Recycling of the used chemicals; • Good practices—appropriate disposal.
Land use	• Proper siting and design.

Environmental or Social Risks	Mitigation measures
Photovoltaic power generation	
Land use: large areas are required for central systems. Reduction of cultivable land	• Use in isolated and deserted areas; • Avoidance of ecologically and archeologically sensitive areas; • Integration in large commercial buildings (facades,roofs); • Use as sound isolation near hospitals.
Visual intrusion—aesthetics	• Careful design of systems; • Integration in buildings as architectural elements; • Use of panels in modern architecture instead of mirrors onto the facade of buildings.
Impact on ecosystems (applicable to large PV schemes).	• Avoidance of sensitive ecosystems and areas of natural beauty, archaeological sites.
Use of toxic and flammable materials (during construction of the modules).	• Avoidance of release of potentially toxic and hazardous materials with the adoption of existing safety regulations and good practice.
Slight health risks from manufacture, use & disposal	• Good working practices (use of protecting gloves, sunglasses, clothing during construction).
Solar thermal electricity	
Construction activities	• Good working practices; • Site restoration; • Avoidance of sensitive ecosystems and areas of natural beauty.
Visualimpact—aesthetics	• Proper siting (avoidance of sensitive ecosystems and areas of natural beauty, densely populated areas).
Land use	• Proper siting.
Effect on the ecosystem, flora and fauna (especially birds)	• Proper siting (avoidance of sensitive ecosystems).
Impact on water resources water use (for cooling of steam plant) and, possibly, water pollution due to thermal discharges or accidental discharges of chemicals used by the system	• Appropriate constraints (not the excessive use of existing resources);Improved technology (use of air as heat-transfer medium); • Exploitation of the warm waterin the nearest industry in the production stream. • Good operating practices and compliance with existing safety regulations; • Employees should be educated and familiarized with the systems.
Safety issues (occupational hazards)	• Respect Good practices guidelines for safety.

Annex 7.3 Waste management options—key advantages and disadvantages and Best Practice Mitigation Measures

Option	Advantage	Disadvantages	General Best Practice Mitigation Measures
Recycling	• Conservation of resources • Supply of raw materials to industry • Reduction of waste disposed to landfill and incineration	• Diverse range of processes • Emissions from recycling process • May be more energy used for processes than original manufacture • Currently low demand for products • Requires co-operation from individuals	• Evaluation of waste production processes and identification of potentially recyclable materials • Identification and recycling of products that can be reintroduced into the manufacturing process or industry activity at the site • Establishing recycling objectives and formal tracking of waste generation and recycling rates • Providing training and incentives to employees in order to meet objectives
Composting	• Reduction of waste to dispose to landfill and incineration • Recovery of useful organic matter for use as soil amendment, • Employment opportunities	• Odours, noise, vermin nuisance • Bio-aerosols—organic dust containing bacteria or fungal spores • Emits volatile organic compounds • Potential pathway from use on land for contaminants to enter food chain	• Composting operations for organic non-hazardous wastes; properly designed, permitted and operated landfills or incinerators designed for the respective type of waste.
Sewage treatment	• Safe Protects sources of potable water supply • Protects sources of potable water supply	• Discharges may contain organic compounds, endocrine disrupting compounds, heavy metals, pathogenic microorganisms • Odour nuisance	• Understanding potential impacts and risks associated with the management of any generated hazardous waste during its complete life cycle • Ensuring that contractors handling, treating, and disposing of hazardous waste are reputable and legitimate enterprises, licensed by the relevant regulatory agencies and following good international industry practice for the waste being handled • Ensuring compliance with applicable local and international regulations • Regular monitoring of groundwater quality in cases of Hazardous Waste on site storage and/or pretreatment and disposal

Option	Advantage	Disadvantages	General Best Practice Mitigation Measures
Incineration	• Reduces weight and volume of waste, about 30% is left as ash which can be used for materials recovery • Reduces potential infectivity of clinical waste Produces energy for electricity generation	• Discharges contaminated waste water • Emits toxic pollutants, heavy metals, and combustion products	• Regular monitoring of groundwater quality in cases of Hazardous Waste on site storage and/or pretreatment and disposal.
Landfill	• Cheap disposal method Waste used to back fill quarries before reclamation, • Landfill gas contributes to renewable energy supply	• Water pollution from leachate and run off, • Air pollution from anaerobic decomposition of organic matter to produce methane, carbon dioxide, nitrogen, sulphur and volatile organic compounds, • Emission of known or suspected carcinogens or teratogens (*e.g.* arsenic, nickel, chromium, benzene, vinyl chloride, dioxins, polycyclic aromatic hydrocarbons) • Animal vectors (seagulls, flies, rats) for some diseases.	Waste should be stored so as to prevent or control accidental releases to air, soil, and water resources in area location where: • Waste is stored in a manner that prevents the commingling or contact between incompatible wastes, and allows for inspection between containers to monitor leaks or spills. Examples include sufficient space between incompatibles or physical separation such as walls or containment curbs , • Store in closed containers away from direct sunlight, wind and rain • Secondary containment systems should be constructed with materials appropriate for the wastes being contained and adequate to prevent loss to the environment.

Annex 7.4 Ecosystem rehabilitation

Environmental & Social Risks	General Best Practice Mitigation Measures
Increase of conflict with increasing incompatibility of surrounding land use, with restoration activities, and with increasing social value of land displaced by restoration and land use negatively affected by restoration.	Apply principles of good ecological restoration practice which include: • Ensuring all stakeholders are fully aware of the full range of possible alternatives, opportunities, costs and benefits offered by restoration. • Empowering all stakeholders, especially disenfranchised resource users. • Engaging all relevant sectors of society and disciplines, including the displaced and powerless, in planning, implementation and monitoring. • Involving relevant stakeholders in the definition of boundaries for restoration. • Considering all forms of historical and current information, including scientific and local knowledge, innovations and practices. • Providing short-term benefits leading to the acceptance of longer-term objectives. • Providing for the accrual of ecosystem goods and services. • Striving towards economic viability.
Risks of Invasive plant species	• Controlling invasive plant species in ecological restoration. • Incorporating biological and environmental spatial variation into the design. • Allowing for linkages within the larger landscape. • Emphasizing process repair over structural replacement. • Allowing sufficient time for self-generating processes to resume. • Treating the causes rather than the symptoms of degradation. • Include monitoring protocols to allow for adaptive management. • Treating the causes rather than the symptoms of degradation.

Annex 7.5 Mining

Environmental and social Risks	General Best Practice Mitigation Measures
Water use and quality	• The quality and quantity of mine effluent streams discharged to the environment, including stormwater, leach pad drainage, process effluents, and overall mine works drainage should be managed and treated to meet the applicable effluent discharge guideline values. • Discharges to surface water should not result in contaminant concentrations in excess of local ambient water quality criteria outside a scientifically established mixingzone. Receivingwater-bodyuseandassimilative capacity, including the impact of other sources of discharges to the receiving water, should be considered with respect to acceptable contaminant loadings and effluent discharge quality as described in the General EHS Guidelines. • Efficient oil and grease traps or sumps should be installed and maintained at refueling facilities, workshops, fuel storage depots, and containment areas, and spill kits should be available with emergency response plans. • Water quality in open storage systems (e.g., leachate areas, solution ponds, and tailings ponds or impoundments) should be based on the results of a site- specific risk assessment with appropriate control measures put in place to mitigate the risk or meet the effluent guideline values. • Management of storm water by: ✓ Reducing exposure of sediment-generating materials to wind or water (e.g. proper placementof soil and rock piles); ✓ Divert run-off from undisturbed areas around disturbed areas including areas that have been graded, seeded, or planted. Such drainage should be treated for sediment removal; ✓ Reducing or preventing off-site sediment transport; ✓ Establishing riparian zones. ✓ Timely implementation of an appropriate combination of contouring techniques, terracing, slope reduction / minimization, runoff velocity limitation and appropriate drainage installations to reduce erosion in both active and inactive areas; ✓ Final grading of disturbed areas, including preparation of overburden before application of the final layers of growth medium, should be along the contour as far as can be achieved in a safe and practical manner; ✓ Revegetation of disturbed areas including seeding should be performed immediately following application of the growth medium to avoid erosion.
Wastes	
1. Waste rocks dumps	Management of waste rock dumps includes the following: • Dumps should be planned with appropriate terrace and lift height specifications based on the nature of the material and local geotechnical considerations to minimize erosion and reduce safety risks. • Management of Potentially Acid Generating (PAG) wastes should be undertaken as described in the guidance below. • Potential change of geotechnical properties in dumps due to chemical or biologically catalyzed weathering should be considered.

Environmental and social Risks	General Best Practice Mitigation Measures
2. Tailings	Recommended tailings management strategies include: • Design, operation, and maintenance of structures according to specifications of ICOLD[3] and ANCOLD[4], or other internationally recognized standards based on a risk assessment strategy. • Design of tailings storage facilities should take into account the specific risks / hazards associated with geotechnical stability or hydraulic failure and the associated risks to downstream economic assets, ecosystems and human health and safety. • On-land disposal in a system that can isolate acid leachate-generating material from oxidation or percolating water, such as a tailings impoundment with dam and subsequent dewatering and capping. On- land disposal alternatives should be designed, constructed and operated according to internationally recognized geotechnical safety standards. • Thickening or formation of paste for backfilling of pits and underground workings during mine progression.
3. Leach-pad Waste	Recommended practices for the management of leach-pad waste include the following: • Leachate collection and treatment should continue until the final effluent criteria are consistentwith guideline values. • Decommissioned leach pads should utilize a combination of surface management systems, seepage collection, and active or passive treatment systems to ensure post closure water resource quality is maintained.
4. General Non-. Hazardous Waste	Recommended practices for the management of household and non-process related industrial waste include the following: • Non-hazardous solid wastes should be managed according to the recommendations presented in the General EHS Guidelines. • Non-hazardous solid waste should be collected for recycling or disposal at an approved sanitary landfill. • Non-hazardous solid waste should not be disposed of together with waste rock or overburden except under exceptional circumstances to be fully documented in the environmental and social assessment of the project.
5. Hazardous Waste	Recommended practices for the management of hazardous waste include the following: • Hazardous waste, including waste oils and chemicals, spent packaging materials and containers, should be managed as described in the General EHS Guidelines. • Hazardous waste should be handled by specialized providers (in accordance with regulatory permi ts) of hazardous waste management facilities specifically designed and operated for this purpose. When such services are unavailable within a feasible distance of the mine, the mine should establish and operate its own waste facility with the necessary permits. • Combustion of waste oils should preferably be undertaken as a supplementary fuel in power generation facilities and in accordance with emissions guidelines applicable to combustion sources
6. Hazardous Materials	Recommended mitigation measures of hazardous materials include: • Providing secondary containment to restrict movement into receiving water bodies (e.g., sumps, holding areas, impermeable liners), for example: • Constructing pipelines with double-walled or thick-walled sections at critical locations

[46] For additional information, refer to the Mining Association of Canada (MAC – www.mining.ca): A Guide to the Management of Tailings Facilities (1998)

[4] International Commission on Large Dams (ICOLD) available at:http://www.icold-cigb.net,

Environmental and social Risks	General Best Practice Mitigation Measures
	(e.g., large stream crossings), -Installing shutoff valves to minimize spill volumes and to isolate flow in critical areas.
Land Use and Biodiversity	Recommended strategies include consideration of the following: • Whether any critical natural habitat will be adversely impacted or critically endangered or endangered species reduced. • Whether the project is likely to impact any protected areas. • The potential for biodiversity offset projects (e.g., proactive management of alternative high biodiversity areas in cases where losses have occurred on the main site due to the mining development) or other mitigative measures. • Whether the project or its associated infrastructure will encourage in- migration, which could adversely impact biodiversity and local communities. • Consideration of partnerships with internationally accredited scientific organizations to , for example, undertake biodiv ersity assessments, conduct ongoing monitoring, and manage biodiversity programs . • Consultation with key stakeholders.
1. Terrestrial Habitats	Recommended management strategies include: • Siting access routes and facilities in locations that avoid impacts to critical terrestrial habitat and planning exploration and construction activities to avoid sensitive times of the year. • Minimizing disturbance to vegetation and soils. • Implementation of mitigation measures appropriate for the type of habitat and potential impacts including, for example, post-operation restoration (which may include baseline inventories, evaluations, and eventual rescue of species), offset of losses, or compensation of direct users. • Avoiding or minimizing the creation of barriers to wildlife movement, or threats to migratory species (such as birds) and providing alternative migration routes when the creation of barriers cannot be avoided. • Planning and avoiding sensitive areas and Conducting activities such that the risk of landslides, debris or mud flows, and bank or alluvial fan destabilization is minimized. • Imp lementing soil conservation measures by implementing buffer zones. • Ensuring that the growth medium is sufficient to support native plant species appropriate for the local climate and consistent with proposed future land uses. Overall thickness of the growth medium should be consistent with surrounding undisturbed areas and future land use. • Manage vegetation growth along access roads and at permanent above-ground facilities. Remove invasive plant species and replant native species. Vegetation control should employ biological, mechanical and thermal vegetation control measures and avoid the use of chemical herbicides as much as possible.
2. Aquatic Habitats	Recommended management strategies include the following: • Minimizing the creation and extent of new access corridors. • Decommissioning and re-vegetating exploration access routes, and installing barricades to limit access. • Maintaining, to the extent possible, natural drainage paths and restoring them if they are disrupted. • Maintaining water body catchment areas equal or comparable to pre-development conditions. • Protecting stream channel stability by limiting in-stream and bank disturbance and employing appropriate setbacks from riparian zones.

Environmental and social Risks	General Best Practice Mitigation Measures
	• Attenuating surface runoff from high precipitation events using on-site storage and water management infrastructure (e.g., storage ponds, sumps, low gradient ditches, clean water diversions). • Designing te mporary and permanent bridges and culverts to manage peak flows depending on the associated potential risk. • Constructing, maintaining, and reclaiming watercourse crossings that are stable, safe for the intended use, and that minimize erosion, mass wasting and degradation of the channel or lakebed.
Air Quality	
1. Dust	Fugitive dust emissions from the dry surfaces of tailings facilities, waste dumps, stockpiles and other exposed areas should be minimized. Recommended dust management strategies include: • Dust suppression techniques (e.g. wetting down, use of all- weather surfaces, use of agglomeration additives) for roads and work areas, optimization of traffic patterns, and reduction of travel speeds. • Exposed soils and other erodible materials should be revegetated or covered promptly. • New areas should be cleared and opened-up only when absolutely necessary. • Surfaces should be re-vegetated or otherwise rendered non-dust forming when inactive. • Storage for dusty materials should be enclosed or operated with effi cient dust suppressing measures. • Loading, transfer, and discharge of materials should take place with a minimum height of fall, and be shielded against the wind, and consider use of dust suppression spray systems. • Conveyor systems for dusty materials should be covered and equipped with measures for cleaning return belts.
2. Gaseous Emissions	The main sources of gaseous emissions are from combustion of fuels in power generation installations, mobile emissions, methane emissions and from drying, roasting, and smelting operations. Recommended emissions reduction and control strategies for stationary steam and power generation activities from sources with a capacity equal to or lower than 50 Megawatt thermal (MWth) and from mobile sources are addressed in the General EHS Guidelines.
3. Noise and Vibration	Recommended management strategies include: • Noise levels at the nearest sensitive receptor should meet the noise guidelines in the General EHS Guidelines. • Where necessary, noise emissions should be minimized and controlled through the application of techniques which may include: ✓ Implementation of enclosure and cladding of processing plants; ✓ Installation of proper sound barriers and / or noise containments, with enclosures and curtains at or near the source equipment (e.g. crushers, grinders, and screens); ✓ Installation of natural barriers at facility boundaries, such as vegetation curtains or soil berms; ✓ Optimization of internal- traffic routing, particularly to minimize vehicle reversing needs (reducing noise from reversing alarm) and to maximize distances to the closest sensitive receptors.
Energy use	Apply the following recommended energy conservation measures: • Use of non-invasive technologies such as remote sensing and ground-based technologies to minimize exploratory digging and drilling.

Environmental and social Risks	General Best Practice Mitigation Measures
	• Correctly sizing motors and pumps used in the excavation, ore moving, ore crushing, and ore handling process, as well as using adjustable speed drives (ASDs) in applications with highly varying load requirements.
Visual Impacts	Mining operations should prevent and minimize negative visual impacts through consultation with local communities about potential post-closure land use, incorporating visual impact assessment into the mine reclamation process. Reclaimed lands should, to the extent feasible, conform to the visual aspects of the surrounding landscape. The reclamation design and procedures should take into consideration the proximity to public viewpoints and the visual impact within the context of the viewing distance. Mitigation measures may include strategic placement of screening materials including trees and use of appropriate plant species in the reclamation phase as well as modification in the placement of ancillary facilities and access roads.
Occupational Health and Safety	Apply Occupational Health and Safety measures as specified in Environmental, Health, and Safety Guidelines of Mining projects[5]

Annex 7.6 Biomass energy system based on agricultural and forestry residues

Environmental and Social Risks	General Best Practice Mitigation Measures
1. Effluent emissions, on-site contamination, hazardous materials issues	
1. 1. Methane (CH4) emissions	• Consider available best practice in designing, operation and maintenance of waste storage facilities. • Compliance with good practice methods for methane collection to avoid venting.
1.2. Emissions of NOx, SO_2, CO, particulates, VOC	• Compliance with local, national and/or international air quality standards limits. • Respect Environmental, health and safety guidelines (on Air Emissions and Ambient Air Quality)[6].
1.3. Emissions of CO_2 and other greenhouse gases	• Respect Environmental, health and safety guidelines (on Air Emissions and Ambient Air Quality).
1.4. Solid waste (ash)	• Compliance with good practice of Disposal methods (depending on volume and chemical composition ash may be suitable for use as a fertilizer).
2. Biodiversity protection issues	
2.1. Removal of a source of nutrients for the forest, and possible soil erosion and/or compaction	• Compliance with best practice forestry management guidelines concerning forestry residue removal, such as the IFC's Forestry Policy and national Forestry policy. • Consider Prevailing ground conditions (e.g. mountainous or flat terrain) before harvesting.

[5] https://www.ifc.org/wps/wcm/connect/595149ed-8bef-4241-8d7c-50e91d8e459d/Final%2B%2BMining.pdf?MOD=AJPERES&CVID=jqezAit&id=1323153264157

[6] as provided by the International Finance Corporation (IFC) available under: www.ifc.org/enviro/enviro/pollution/guidelines.htm)

3. Worker health and safety issues	
3.1. Accidents due to methane emissions from livestock waste storage	• Compliance with good practice methods for methane collection to avoid venting. • Fire prevention measures in place (e.g. storage facility clearly marked with "Fire Hazard" signs and located away from possible ignition areas, emergency equipment, availability of secondary containment, etc.). • Operation and maintenance routines in place. • Training of personnel. • Emergency plans in place, particularly those implemented in case of fire or explosion. • Outstanding worker compensation claims.
3.2. Accidents from generation activity	• Compliance with international, local, and national health and safety regulations,. • Operation and maintenance routines in place,. • Training of personnel. • Emergency plans in place. • Outstanding worker compensation claims.
4. Environmental issues sensitive to public opinion	
4.1. Possible pathogen release	• Consider available best practice in designing, operation and maintenance of waste storage facilities (e.g. availability of secondary containment). • Employment of best practice methods for organic waste storage (e.g. composting) to reduce pathogens. • Siting of waste storage facilities (e.g. located away from human and livestock quarters or other vulnerable areas, etc.).
4.2. Bad odour from dry animal waste storage facilities	• Do not locate owaste storage facilities at proximity to populated areas, human quarters or working areas, etc.. • Consider available best practice in designing, operation and maintenance of waste storage facilities (e.g. availability of secondary containment). • Employment of best practice methods for organic waste storage to reduce odour.
4.3 Bad odour from wet animal waste storage facilities	• Do not locate owaste storage facilities at proximity to populated areas, human quarters or working areas, etc.. • Consider available best practice in designing, operation and maintenance of waste storage facilities (e.g. availability of secondary containment). • Employment of best practice methods for organic waste storage to reduce odour.
4.4. Noise from generation activities	• Compliance with noise emission levels.

Annex 8 Socio-economic and land asset inventory forms

Annex 8.1 Socio-economic Household Datasheet of PAPs

Name of interviewer ID Code		Signature
Name of supervisor ID Code		(after verification of interview)

Cell Name		Number of Concession in Village (GPS Coordinates)	

Date:

Day Month Year

Name of Head of Extended Family	
Number of Nuclear Families in Extended Residential Group (including household of head of extended family)	

Name	Relationship to head of family	Sex		Place of birth	Age	Marital Status	Residence Tenure	Religion	Education Level	Income Earner		Economic activities	
		M	F							Ye s	N o	Primary	secondary
1.													
2.													
3.													
4.													
5.													
6.													

Relation to Head of Family: **1** HOH; **2** Spouse of HoH; **3** Child of HoH; **4** Spouse of child of HoH; **5** Grandchild of HoH; **6** Parent of HoH; **9** Other (specify)

Marital Status: 1 Married; **2** Widowed; **3** Divorced; **4** Unmarried; **0** No answer

Residential status: 1 PRP (Permanent Resident); **2** RA (Resident Absent), **3** Member of non-resident HH

4 Visitor; **9** other (specify); 0 No answer

Occupations

Principle Occupation: 1 Farmer; **2** Shepherd; **3** Household; **4** Merchant; **5** Religious leader; **6** Artisan; **7** Transport; **8** Unemployed; **9** Other (specify); **0** No answer

Secondary Occupations: ……

Educational Level: 1 Illiterate; **2** Three years or less; **3** Primary School; **4** Secondary school; **5** Technical School; **6** Religious School; **0** No Answer

Religion: 1 Christian (Specify denomination); **2** Muslim; **3** Other (specify); **0** No Answer

Annex 8.2 Land asset inventory for Project Affected People

Village:

Cell: **Date:**

Survey No.	Name of HH Head	No of persons in Household	Total land holding of Household (m^2)	Land to be acquired (m2)	Land use Type	Loss of % total	Loss of assets	Loss of crops	Loss of other assets	Other losses
							Structures permanent (m2); Structures temporary	Fruit trees lost type and number; Agricultural land lost (m^2) Other (specify)	e.g. graveyards, wells etc (type & no)	Residence rented; Business lost; Income loss

Annex 9 Entitlements of Project Affected People

Sector

Cell **Date**

Survey No.	Name of Head of Household	Compensation for Land	Compensation for Structures	Compensation for crops and trees	Compensation for other assets and losses (e.g. graveyards, wells, businesses, etc)	Total (Rwf)
		• Quantity/(m^2) • Unit Price (Rwf) per m^2 • Entitlement Rwf)	• Quantity (m^2) • Unit Price (Rwf) per m^2 • Entitlement Rwf)	• Quantity Unit • Unit Price (Rwf) Entitlement (Rwf)	• Quantity Unit • Unit Price (Rwf) Entitlement (Rwf)	
		•	•	•	•	
		•	•	•	•	

Annex 10 Template and Example Questionnaire for ESIA Consultation Protocol and Public Consultation and Disclosure (PCD) Planning

This example is Appropriate to Guide Meetings with Village Leaders and Key Informants (KIs) in Villages

Introduce the ESIA Team.

Present a fixed introduction about the project which must be inserted here xxxxxe.g. we are collecting information from key informants and decision makers to help us plan for an Environment and Social Assessment survey at XXXX and for ESIA Impact Consultations in XXXX in terms of when, where and how to consult the community. We have an ESIA Leaflet containing general information about the project's Environmental and Social Impact Assessment. We are happy to go through the ESIA Leaflet with you or you can read it in your own time. *Hand out Leaflet and discuss if required. This helps Public Relationship Building and ESIA Awareness Raising.*

PCD/SE PROTOCOL SURVEY FOR PUBLIC CONSULTATION AND DISCLOSURE PLAN DEVELOPMENT				
Questionnaire No:	**Date:**	**Village Name & venue:**		
Key Contact in Village:	**Name of Enumerator:**	**Name, Role & Contact Details of Respondent:**		
1. So everyone interested in the village may attend consultations what are the best times and days/dates to hold:				
	Weekdays	Weekends	AM/ Time	PM/Time
a) Individual consultation meetings				
b) Community meetings				
c) Household level consultations				
d) Focus group discussions (gender, age, livelihood groups etc.)				
2. What times and days/dates must we avoid to ensure maximum attendance e.g. livelihood, cultural or education activities etc. that should be considered in planning survey/consultations?				
3. What times and days/dates must we avoid to ensure maximum attendance e.g. livelihood, cultural or education activities etc. that should be considered in planning survey/consultations?				
4. What places/venues (e.g. schools, library etc.) are suitable for organizing: • Individual consultation meetings • Community meetings • Focus group discussions				
5. Are there any religious, political or cultural issues we must consider during the consultation process?				
6. Who do you think should be included in the consultation process and why?				

7. What are information interests of the village i.e. key questions to the project managers from community (for production of FAQ document)?
8. What are the community presentation needs i.e. consultation materials illiterate, school children, blind/deaf?
9. Which are most important sources of information on local & national issues for the community? (rank order using numbers: 1,2,3, etc.) : 1) TV 2) Radio 3) Internet 4) Newspaper 5) Other source
10. Do you have any other recommendation relating to the consultation process, protocol or any messages to give to the Project planners in terms of their communication strategy (PCDP) or ESIA activities (Refer back to ESIA Leaflet)

Annex 11 ESMP Monitoring Guidance

The Project Developer will implement an Environmental and Social Management Plan (ESMP) and will ensure that the ESMP will be adhered to by the Contractor and all subcontractors. To monitor the related commitments an ESMP Monitoring Table shall be used (see example below that can be transposed to an Excel Sheet). The sheet can be amended as needed but should include as a minimum:

- ESMP commitments
- Date of Inspection
- Findings/ Observations (potentially including a colour code red/orange/green)
- Defined Corrective Actions (if any).

The ESMP shall be monitored on a **monthly basis by the Contractor and on a semi-annual basis by the FONERWA Environmental and Social Safeguard Specialist**. This means that the responsible person for the ESMP implementation at the Contractor will do at least one site visit per month to the construction site with the ESMP commitments at hand. After each site visit the status of compliance with the ESMP commitments shall be noted down in the Excel Sheet, including corrective actions if any.

Main observations/ critical issues/ corrective actions shall be reported in the quarterly reports via the MEIS.

A final monitoring audit shall be conducted upon completion of construction activities and before hand-over of the contractor to the Project Developer.

Should any environmental or Health and Safety incidents be observed or reported by the construction workers, this shall be reported to the District immediately (see Incident Reporting Sheet).

Example for an ESMP Monitoring Table for FONERWA funded projects

Topic/ Potential Impact	Mitigation, Management and Enhancement Measures	Means of Verification	Responsibility	Monitoring Procedure	Date of Inspection/ Review/ ESMP Monitoring DD/MM/JJ	
Occupational Health and Safety					**Findings/ Observations**	**Corrective Action**
…						
…						
Ambient Air					**Findings/ Observations**	**Corrective Action**
…						

Colour Code for Findings/ Observations
Red Flag. Major Non-compliance with ESMP requirements. Urgent Action needed to protect ecological and human environment and avoid risks to the Project schedule.
Minor Non-compliance. Action needed but no immediate threat for ecological and human environment or Project schedule.
In compliance with ESMP commitment.

Annex 12 Contractor Management Plan

The project developer must ensure that contractors[7] respect FONERWA's Environmental and Social Safaguards including specific requirements set out in the ESCP and so the project must:

- Assess the environmental and social risks and impacts associated with contracts;
- Ensure contractors engaged with the project are legitimate and reliable and have knowledge and skills to perform project tasks in accordance with commitments;
- Incorporate all relevant aspects of the ESCP into tender documents;
- Require contractors to apply relevant aspects of the ESCP and relevant management tools including appropriate and effective non-compliance remedies;
- Monitor contractor compliance with contractual commitments; and
- Ensure contractors have equivalent arrangements with their subcontractors.

[7] Further details are set out in the Environmental Guidelines for Contractors Undertaking Construction Activities of FONERWA funded Projects (Annex-7 of FONERWA's ESMF, Volume 2)

Annex 13 Environmental and Social Commitment Plan (ESCP)

FONERWA funded Projects must develop and implement an ESCP, to set out measures and actions required to achieve compliance with the ESSs over a specified timeframe and agreed with FONERWA forming part of the legal agreement.

The draft ESCP must be disclosed before the Project appraisal and must consider ESIA findings, results of the public consultation and disclosure, stakeholder engagement as well as FONERWA's E&S due diligence. The ESCP is a summary of the measures and actions required to avoid, minimize, reduce or mitigate potential environmental and social risks and Project impacts with completion dates for each action specified in the ESCP. Further, the ESCP must set out a process that allows for adaptive management of proposed Project changes or unforeseen circumstances, how such changes will be managed and reported and any necessary changes will be made to the ESCP and management tools.

The ESCP must describe the different management tools the Project will use to develop and implement agreed measures and actions which will include as necessary, environmental and social management plans, environmental and social management frameworks, operational policies and manuals, management systems, procedures, practices and investments. All management tools must have measures for the Project to meet the requirements of Rwandan laws and regulations and FONERWA's ESMF&RPF.

The management tools must define outcomes against baseline conditions with performance indicators that can be tracked over agreed time adopting a long-term and phased approach, that is responsive to changes in Project circumstances, unforeseen events, regulatory changes and the results of monitoring and evaluation. The Project must notify FONERWA promptly of any proposed changes to the scope, design, implementation or operation of the project that may cause an negative change in the environmental or social risks or impacts of the Project and, where appropriate, additional assessment and stakeholder engagement, for FONERWA approval of any changes to the ESCP and management tools which must be disclosed.

The ESCP forms part of the legal agreement and must consolidate into one summary document, the actions required for the Project to achieve compliance with FONERWA's ESMF&RPF over an agreed timeframe. The ESCP must take into account the ESIA findings, FONERWA's environmental and social due diligence and the results of public consultation and disclosure and other engagements with stakeholders. The ESCP serve as a tool to facilitate the identification of potential environmental and social risks and impacts and mitigation measures. The draft ESCP will be disclosed as early as possible, and before project appraisal. The ESCPs contents must include:

- **Summary of measures and actions to address environmental and social risks and impacts** of the project. It will form the basis for monitoring the environmental and social performance of the project. All requirements must be set out clearly to facilitate compliance, and monitoring. Depending on the project, the ESCP may specify funding to be made available for completion of a measure or action, and include other details relevant to completion;
- **Process for adaptive management of proposed project changes or unforeseen circumstances**. The process must set out how such changes or circumstances will be managed and reported and any necessary changes will be made to the ESCP and relevant management tools;

- **Summary of the organizational structure** that must be established to implement actions agreed in the ESCP. The organizational structure must consider different roles and responsibilities of the project and agencies responsible for project implementation, and identify specific personnel with clear responsibility and authority;
- **Summary of the training needs** to provide to address actions required under the ESCP, identifying the recipients of such training and the required human and financial resources;
- **Details of the systems, resources and personnel** the project must put in place to carry out monitoring and others used to complement or verify monitoring activities.

The ESCP's content will differ from project to project. For some, the ESCP will capture all relevant obligations of the Project, and there will be no requirement for additional plans. For other projects, the ESCP will refer to further plans, either plans that already exist or plans that must be prepared (e.g., an ESMP, a resettlement plan, a hazardous waste plan) which set out detailed project requirements. In such circumstances, the ESCP will summarize key aspects of the plans. Where plans are to be developed, the ESCP will set out timeframes for plans completion.

Finally, as part of the ESCP the project must:

(i) implement all measures and actions identified in the ESCP in accordance with agreed timeframes specified, and will review the status of implementation of the ESCP as part of monitoring and reporting;

(ii) maintain, and strengthen throughout the project life cycle, the organizational structure to oversee environmental and social aspects of the project. Social and environmental responsibilities should be well defined and communicated to all project staffs involved. Sufficient high-level commitment, and human and financial resources, will be provided on an ongoing basis to implement the ESCP;

(iii) ensure that those directly responsible for activities relevant to ESCP implementation are adequately qualified and trained so that they have the knowledge and skills necessary to perform and meet E&S standards. The project, must provide training to address the specific measures and actions required by the ESCP, and to support effective and continuous social and environmental performance;

(iv) notify FONERWA promptly of any proposed changes to scope, design, implementation or operation of the project that may cause adverse change in the environmental or social risks or impacts of the project;

(v) carry out additional assessment and stakeholder engagement in accordance with FONERWA's ESSs, and propose changes, for FONERWA's approval in accordance with any assessment and/or consultation findings. The updated ESCP must be disclosed.

Template of Environmental and Social Commitment Plan[8]

MATERIAL MEASURES AND ACTIONS	TIMEFRAME	RESPONSIBILE ENTITY/ AUTHORITY	DATE OF COMPLETION
I. MONITORING AND REPORTING			
REGULAR REPORTING [Environmental, social, health and safety (ESHS) performance needs to be monitored and reported. This needs to be reflected in the ESCP,] Prepare and submit to FONERWA the regular monitoring reports on the environmental, social, health and safety (ESHS) performance of the Project, including but not limited to the implementation of the ESCP, status of preparation and implementation of E&S documents required under the ESCP, stakeholder engagement activities, functioning of the grievance mechanism(s).	*[Indicate frequency of reporting, e.g. quarterly, six-monthly, annual throughout Project implementation]* .		
II. SUMMARY ASSESSMENT (IFC PS1-8)			
II.1. Assessment and management of environmental and social risks and impacts			
[Type here]	[Type here]	[Type here]	[Type here]
[Type here]	[Type here]	[Type here]	[Type here]
[Type here]	[Type here]	[Type here]	[Type here]
[Type here]	[Type here]	[Type here]	[Type here]
III. Capacity Support			
Specify Training to be provided	**Specify Targeted Groups and Timeframe for Delivery**		**Specify Training Completed**
[Type here]	[Type here]		[Type here]
[Type here]	[Type here]		[Type here]
[Type here]	[Type here]		[Type here]

[8] World Bank ESCP template, version 2, July 2019

Annex 14 Template of Project Labor Management Procedure (LMP)

1. Objectives of LMP: [Indicate the main objective of LMP]

2. Legal and other requirements: [Indicate national policies, laws, international treaties ratified by Rwanda and systems which are applicable to the implementation of the intended Fonerwa project].

3. Overview of Labor Use: [This section describes the number of Project Workers. Project Workers will include direct workers, contracted workers and local labor including skilled labor and unskilled labor. The direct workers are workers on the project structure and these will be public servants under employment contracts recruited in accordance with the normal recruitment procedures of contractual staff in public service, considering the minimum age for admission to employment without discrimination of any kind. International migrants will have the rights for competition following the requirements of relevant laws on employment in Rwanda. As regard to the implementation of FONERWA funded project, skilled workers and unskilled workers shall also be part of the project workers. The total number of workers to be employed on the project, and the different types of workers include the direct workers, contracted workers].

4. Assessment of key Potential Labor Risks: [This section will describe potential labor risks of the project: injuries, noise, electrical shocks, Respiratory Diseases, etc…].

5. Overview of Labor Legislation (Terms and Conditions & Occupational Health and Safety): [This section sets out the *key aspects* of national labor legislation with regards to terms and conditions of work, and how national legislation applies to different categories of workers identified].

6. Responsible Staff: [This section identifies the organs and/or staff within the project who will be responsible for engagement and management of project workers in respect to the categories they belong to. The organs/staff who will be responsible for OHS, training of workers, addressing workers' grievance are also identified under this section].

7. Policies and Procedures: [This section sets out information on OHS, reporting and monitoring and other general project policies. Where relevant, it identifies applicable national legislation].

8. Age of Employment: [This section sets out Process that will be followed to verify the age of project workers in accordance with the Law N° 66/2018 of 30/08/2018 regulating labour in Rwanda].

9. Terms and Conditions: [This section sets out details regarding (i) Specific wages, hours and other provisions that apply to the project; (ii) Maximum number of hours that can be worked on the project (iii) Any collective agreements that apply to the project. When relevant, provide a list of agreements and describe key features and provisions.

X. Grievance Mechanism: [This section indicates how Grievance Redress Mechanism will be applied especially under the Provisions in law N° 66/2018 of 30/08/2018 regulating labor in Rwanda].

Annex 15 Chance Finds Procedure

This Chance Finds Procedure needs to be communicated to the Contractors and needs to be mentioned in the ESMP.

I) For Archaeological or cultural heritage sites:

The Institute of National Museums of Rwanda (INMR) is responsible for recovering these items. Chance find procedures will be applied as follows:

- Stop the project activities in the area of the chance find .
- Delineate the discovered site or area .
- Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, Security guards shall be present until the responsible local authorities and INMR authorities take over this portion of the site.
- Notify the supervisory Engineer who in turn will notify the responsible local authorities and the General Authority (INMR) of Antiquities immediately (within 24 hours or less).
- Responsible local authorities and the General Authority of Antiquities (INMR) would be in charge of protecting and preserving the site before deciding on subsequent appropriate procedures. This would require a preliminary evaluation of the findings to be performed by the archeologists of the General Authority of Antiquities (within 72 hours). The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage; those include the aesthetic, historic, scientific or research, social and economic values.
- Decisions on how to handle the finding shall be taken by the responsible authorities and the General Authority of Antiquities. This could include changes in the layout (such as when finding an irremovable remain of cultural or archeological importance) conservation, preservation, restoration and salvage.
- Implementation for the authority decision concerning the management of the finding shall be communicated in writing by the General Authority of Antiquities; and
- Construction work could resume only after permission is given from the responsible local authorities and the General Authority of Antiquities concerning safeguard of the heritage.

(II) For relocation of graves or religious artefacts:

The procedure shall comprise of:

- Consultation with communities and designated government agencies on movement of cultural artifacts.
- Families must be compensated for both the logistical and the ritual costs of exhuming family graves and transferring remains to a new site.
- The articles 14,15, 16, 18, 19 of the law N°11/2013 of 11/03/2013 Determining *The Organisation and Use of Cemeteries* should be followed in relocating any of the graves at

the cemetry before construction can commence.

- Relocation of artifacts and structures associated with religious worship can occur only after consultation with ritual practitioners (priests and spirit mediums) and must include compensation for associated rituals.

These procedures must be referred to as standard provisions in construction contracts, when applicable. During project supervision, the Site Engineer shall monitor the above regulations relating to the treatment of any chance find encountered are observed.

Annex 16 ESIA Review Guidance

In an effort to ensure quality identification and assessment of environmental and social risks of projects, ensure that project affected persons are adequately consulted and compensated, FONERWA has developed these guidelines to aid in the evaluation of the ESIA Consultant's output against FONERWA and RDB Requirements. The guidelines spell out the main factors to consider in the evaluation of the compliance of the consultants' outputs to the Terms of Reference for the specific studies.

While reviewing, the ToR for the ESIA shall be considered.

General Review Criteria

The following elements will be used to check the quality of the ESIA reports during review:

S. No	Review Criteria	Finding (Yes/No)	Recommendations
Report Format			
1	Includes all the content as stipulated in the Terms of Reference (baseline studies, impact assessment, mitigation planning).		
2	Includes a table of contents at the beginning of the document.		
3	Reads as a single document with appropriate cross-referencing.		
4	Uses consistent terminology with a glossary.		
5	References all information sources used.		
6	Has a clear explanation of complex issues.		
Report Content			
7	Includes necessary information for each major project component.		
8	Describes stakeholder engagement activities.		
9	Considers stakeholders' views.		
10	Provides clear, easy-to-understand information to decision makers and the public.		
11	Provides relevant and sufficient information for the specific decision-making situation.		
12	Has a clear structure with a logical sequence.		
13	Is concise, comprehensive and objective.		
14	Is written in an impartial manner without bias.		
15	Includes a full description of the project to be developed.		
16	Makes effective use of diagrams,		

S. No	Review Criteria	Finding (Yes/No)	Recommendations
	illustrations, photographs and other graphics to support the text.		
17	Contains a good description of the methods used for the studies of each environmental or social topic.		
18	Includes a clear discussion of alternatives.		
19	Makes a commitment to mitigation (with a Plan / Program) and to monitoring (Environmental and Social Management Plan and sub-plans).		
20	Resolves (proposing consistent mitigation solutions) all significant impacts.		
21	Proposes mitigation solutions that are consistent with good international practices.		
22	Has a Non-Technical Summary that does not contain technical terminology.		
23	Refers to the World Bank Operational Policies (and further international best practice) as required by the FONERWA ESMF.		

1. General Review Criteria

The following elements will be used to check the quality of the ESIA reports during review:

S. No	Review Criteria	Finding (Yes/No)	Recommendations
Report Format			
1	Includes all the content as stipulated in the Terms of Reference (baseline studies, impact assessment, mitigation planning).		
2	Includes a table of contents at the beginning of the document.		
3	Reads as a single document with appropriate cross-referencing.		
4	Uses consistent terminology with a glossary.		
5	References all information sources used.		
6	Has a clear explanation of complex issues.		
Report Content			
7	Includes necessary information for each major project component.		
8	Describes stakeholder engagement activities.		
9	Considers stakeholders‘ views.		
10	Provides clear, easy-to-understand information to decision makers and the public.		
11	Provides relevant and sufficient information for the specific decision-making situation.		
12	Has a clear structure with a logical sequence		
13	Is concise, comprehensive and objective.		
14	Is written in an impartial manner without bias.		
15	Includes a full description of the project to be developed.		
16	Makes effective use of diagrams, illustrations, photographs and other graphics to support the text.		
17	Contains a good description of the methods used for the studies of each environmental or social topic.		
18	Includes a clear discussion of alternatives.		
19	Makes a commitment to mitigation (with a Plan / Program) and to monitoring (Environmental and Social Management Plan and sub-plans).		
20	Resolves (proposing consistent mitigation solutions) all significant impacts.		
21	Proposes mitigation solutions that are consistent with good international practices.		

S. No	Review Criteria	Finding (Yes/No)	Recommendations
22	Has a Non-Technical Summary that does not contain technical terminology.		
23	Refers to the World Bank Operational Policies (and further international best practice) as required by the FONERWA ESMF.		

2. Specific Review Criteria for ESIA

S. No	Review Criteria	Finding (Yes/No)	Recommendations
Project Description			
1	The purposes and objectives of the development are adequately explained.		
2	The design, size or scale of the development, and the nature and duration of charts and/or maps are used effectively for this purpose.		
3	Important design features, especially those for environmental planning and socio-economic management (e.g. pollution control, waste management, and erosion control, handling of toxic or hazardous materials, worker services) are highlighted.		
4	The nature and quantities of material needed during both the construction and operational processes.		
5	The numbers of workers involved with the project during both construction and operation are estimated.		
6	The land area taken up by the development site is well defined and its location clearly shown on a map.		
7	Where alternate plans, designs or sites are being considered each is adequately discussed.		
8	The types and quantities of waste matter, energy and residual materials and the rate at which these will be produced, are adequately estimated. Uncertainties are acknowledged and ranges or confidence limits given where possible.		
9	The Area of Interest expected to be affected by the development is delimited with the aid of suitable scale map(s).		
Baseline Environment			
10	The important components of the affected environments are adequately identified and described. The methods and investigation undertaken for this purpose are disclosed and are appropriate to the size and complexity of		

S. No	Review Criteria	Finding (Yes/No)	Recommendations
	the assessment task. An appropriate amount of field work was done. Uncertainties are indicated.		
11	Existing data sources were searched and, where relevant, used. These include local authority records and previous studies.		
12	Local land use and development plans were consulted and other data collected as necessary to assist in the determination of the probable future state of the environment, in the absence of the project, taking into account natural fluctuations and human activities.		
Impact Identification and Assessment			
13	All important issues identified in the ESIA/ESMP terms of reference are included in the report. Deviations and exclusions are adequately accounted for.		
14	Direct and indirect impacts are identified using a systematic methodology (e.g. project specific checklists, matrices, impact networks expert judgment, and extensive consultations). A brief description of the impact identification methods is given along with the rationale for using them.		
15	Due attention is paid to environmentally sensitive areas, to off-site, time delayed or recurring (e.g. seasonal) impacts and to cumulative or synergistic effects with existing and anticipated developments.		
16	Impacts are analysed as the deviation from baseline conditions, i.e. the difference between environmental conditions expected if the development were not to proceed and those expected as a consequence of it.		
17	The significance of impacts is assessed using appropriate national and international quality standards where available. Explicit account is taken of the values placed on affected environmental features locally, nationally and (where appropriate) internationally.		
18	Individuals, groups, communities and government agencies affected by the project are clearly identified.		
19	Concerned stakeholders (e.g. individuals, groups, communities, Government agencies) have been adequately consulted and their views accounted for in the development of mitigation measures.		
20	It is clear to what extent the mitigation methods will be effective. Where effectiveness		

S. No	Review Criteria	Finding (Yes/No)	Recommendations
	is uncertain or depends on assumptions about operating procedures, climatic conditions, etc. Data is introduced to justify the acceptance of these assumptions.		
ESMP			
21	An effective environmental monitoring and management plan (ESMP) is presented to deal with expected; possible but uncertain; and unforeseen impacts caused by the project. Training needs are identified. The costs of the program are estimated. Developer and government responsibilities are distinguished, reporting and review procedures are specified.		
22	Structure and responsibility for environmental management (considering operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting and staff training). Description of existing capacity and projected organizational changes intended to ensure the effective implementation of the ESMP, including approval and licensing requirements; reports on the ESMP (legal and organizational requirements and commitments); environmental training: description and schedule; including technical assistance programs, if applicable; ESMP projected budget.		

Summary Review Recommendations:

Agency	Recommendations
FONERWA Environmental and Social Safeguard Specialist	

3. Specific Review Criteria for RAP

The following aspects will be considered during review of RAP reports by both Project Developers and FONERWA:

S. No	Review Criteria	Finding (Yes/No)	Recommendations
1	Adequate identification of all people affected by the project and all adverse impacts on their livelihoods associated with the project's land acquisition.		
2	Large-scale maps showing demarcated individual affected households, with registration numbers derived from the population census.		
3	Detailed survey of all losses that will result for each household, enterprise, or community affected by the project.		

S. No	Review Criteria	Finding (Yes/No)	Recommendations
4	Detailed analysis of the data collected in the census, assets inventory, and socioeconomic studies.		
5	Adequate stakeholder identification, mapping and engagement regarding the RAP strategy for livelihood restoration.		
6	Adequate review and documentation of the legal and administrative procedures applicable to the project.		
7	A comprehensive compensation framework that specifies all forms of asset ownership or use rights among the affected persons and the project's strategy for compensating them for the partial or complete loss of those assets.		
8	Detailed and relevant livelihood restoration programme developed.		
9	An implementation budget with all resettlement costs itemized by categories of impact, entitlement, and other resettlement expenditures including training, project management, and monitoring.		
10	Details on the roles and responsibilities of all project players and related organizations clearly outlined.		
11	Evidence of consultations with relevant identified and mapped stakeholders and affected persons.		
12	Grievance Redress Procedures developed and clear.		
13	Appropriate schedule to monitor and report on the effectiveness of RAP implementation.		

Summary Review Recommendations:

Agency	Recommendations
FONERWA Environmental and Social Safeguard Specialist	

Annex 17 Annual Climate, Environment & Social Report Form to be completed by FONERWA Environmental and Social Safeguard Specialist

Project reference year: ……
Reporting year: ……
Date of report: …….

I) PROJECT SUMMARY

Please enter projects by category in the following table

PROJECT CATEGORY	Approved this year	Application included a Climate, E & S screening checklist	Full ESIA study and other Recommended specific study	Partial ESIA or ESMP	RAP or ARAP	Field Appraisal
CATEGORY A (IL3)						
Ex: Large-scale irrigation scheme						
……						
…….						
CATEGORY B+, B (IL2)						
Ex : Medium and Small-scale irrigation schemes projects, Forest management or reforestation, Rehabilitation of wetlands, Riverbank stabilization, etc….						
……						
……						
CATEGORY C (IL1)						
…….						
…….						
Total						

II) CATEGORY A – Results of full ESIAs, RAPs etc

Type of projects that have been subjected to ESMP, RAPs, etc	Impacts identified included:	Are mitigation or monitoring measures being carried out adequately? If not, why ?
[type here]	[type here]	[type here]

Describe key unforeseen Environmental and /or social problems associated with any projects:

Problem	Actions taken	Actions to be taken
[type here]	[type here]	[type here]

III) CATEGORY B- Results of partial ESIAs, ESMPs

Type of projects that have been subjected to partial ESIAs or	Impacts identified included:	Are mitigation or monitoring measures being carried out adequately? If not, why ?
[type here]	[type here]	[type here]

Describe key unforeseen Environmental and /or social problems associated with any projects:

Problem	Actions taken	Actions to be taken
[type here]	[type here]	[type here]

IV) CATEGORY C- No ESIAs or ESMPs needed but require some E&S measures for project sustainability

Please Summaries the key Environmental and social issues that have been identified from screening processes

[type here]

Describe key unforeseen Environmental and /or social problems associated with any projects:

Problem	Actions taken	Actions to be taken
[type here]	[type here]	[type here]

V) MANAGEMENT ISSUES

Please summaries key points concerning the activities of the following actors on

Climate, Environmental and social issues for FONERWA funded projects

Actors	Activity
Government agencies working with FONERWA on Environmental and/ or social issues (MoE, REMA, RDB, etc.)	[type here]
Private sctor and CSOs	[type here]

FONERWA Development partners (DFID, KfW, SIDA, etc..)	[type here]
NGOs in partnership with FONERWA to examine Environmental and / or social issues	[type here]
District Environmental Committee (DEC)	[type here]

Completed by: [type here the name]

Position: [type here the position]

Date: [type here]

Annex 18 Sample Grievance Redress Form

Grievance Form		
Grievance Number		Copies to forward to:
Name of the recorder		(Original) Receiver Party
District/ Sector/Cell		(Copy)- Responsible Party
Date		
INFORMATION ABOUT GRIEVANCE		
Define the Grievance		
INFORMATION ABOUT THE COMPLAINANT		Forms of Receipt
Name-Surname		Phone line Community/Information meetings MailInformalOther
Address		
Village/ Cell		
Sector/ District		
Signature of Complainant		

DETAILS OF GRIEVANCE				
1. Access to land and Resources Fishing grounds • Lands • Pasture lands • House • Water • Latrines • Commercial site • Other	**2. Damage to** • House • Land • Latrines • Livestock • Means of livelihood • Water • Road access • Other	**3. Damage to Infrastructure or Community Assets** • Road • Bridge/ Passageways • Power • Water sources, canals and water infrastructure for irrigation and animals • Drinking water • Other	**4. Decrease or Loss of Livelihood** • Agriculture • Animal husbandry • Beekeeping • Small scale trade • Other	**5. Traffic accident** • Injury • Damage to propert y • Damage to livestock • Other
6. Incidents Regarding Expropriation and Compensation (Specify)	**7. Resettlement Process (specify)**	**8. Employment and recruitment (Specify)**	**9. Construction Camp and Community Relations** • Nuisance from dust • Nuisance from noise • Vibrations due to explosions	**10. Other (specify)**

Grievances Close Out Form

Grievance Number:……
Define immediate action required:……
Define long term action required (if necessary)……

Verification of corrective action and sign off

Corrective action taken	**Due date**

Responsible Party

Notes: This part will be filled in and signed by the complainant when he/she receives the compensation or file is closed out

Complainant

Name and Signature..... Date: …….

Representative of Responsible Party
Title, Name and Signature..... Date:.....

Annex 19 Rapid Screening Tool for Climate Vulnerability

Project Title:								
Area:.....		**Sector……..District……Province…….**						
	Incidences of Extreme climate Events and impact on the Project performance	**Likelihood of occurrence during the period (year)**			**Impact on the project**			
		H	**M**	**L**	**H**	**M**	**L**
1	Floods						
2	Drought						
3	Landslides						
4	Earthquakes						
5	Volcanic Activities						
6	Disease epidemics and pest outbreaks						
7	Involuntary displacement						

H	**High**
M	**Moderate**
L	**Low**

National Fund for Environment

ESMF and RPF User Manual

November 2020

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