



Environmental and Social Management System

Integrating & Investing in The Region's Economies

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GLOSSARY OF TERMS

Abbreviation	Term
AFD	French Agency for Development
AfDB	African Development Bank
CDC	United Kingdom's Development Finance Institution (DFI) wholly owned by the United Kingdom Government.
CITES	Convention on International Trade in Endangered Species
COMESA	Common Market for Eastern and Southern Africa
COMESA STATES	Burundi, Comoros, DRC, Djibouti, Egypt, Eritrea, Ethiopia, Kenya, Libya, Madagascar, Malawi, Mauritius, Rwanda, Seychelles, Sudan, Swaziland, Uganda, Zambia and Zimbabwe
DBSA	Development Bank of Southern Africa
DFI	Development Finance Institution
EAC	East African Community
E&S	Environmental and Social
ESIA	Environmental and Social Impact Assessment
ERM	Enterprise Risk Management
ESAP	Environmental and Social Action Plan
ESMS	Environmental and Social Management System
EXIM	Export Import Bank
FMO	Netherlands Development Finance Company
FI	Financial Intermediaries
IFC	International Finance Corporation
OPIC	Overseas Private Investment Corporation
OHS	Occupational Health and Safety
TDB	The Eastern and Southern African Trade and Development Bank
SADC	Southern African Development Community
SEDD	Social and Environmental Due Diligence
SEMS	Social and Environmental Management System
TDB	Trade and Development Bank
ToR	Terms of Reference

DEFINITIONS

DEFINITION	MEANING
Action Plan	A plan of action acceptable to TDB and designed by a Client to achieve compliance with TDB's environmental and social standards
Client	A company that has received capital or debt directly from TDB
Client E&S Representative	Client appointed representatives in charge of E&S at the client premises.
Compliance Officer	A representative officer from the Compliance and Risk Management Department involved in project appraisal and review in line with TDB's requirements.
E&S Champions	TDB's departmental employees who ensure that E&S aspects are considered during all departmental activities.
E&S Expert	The social and environmental specialist responsible for undertaking the social and environmental assessment and review of a proposed investment in collaboration with other specialist(s) on the project team. The expert can also assist in E&S review, monitoring or supervision activities of portfolio of the investments.
EHS Guidelines	World Bank Group Environmental Health and Safety Guidelines.
ESMS	The Environmental and Social Management System. The documented or implemented assessment and management elements that enable the client to meet the requirements of TDB, including policy and procedure, E&S assessments and implementation, organization structure, E&S Management program, technical and management capacity, training, community relationships, financial resources, E&S based on the project requirements.
ESIA	The process of identifying, predicting, evaluating and mitigating the biophysical, social, and other relevant effects of development proposals prior to major decisions being taken and commitments made.
ESAP	A plan that proposes measures to manage aspects identified in the SEDD to acceptable levels in line with TDB requirements.
SEDD	An assessment and analysis of social and environmental risks and opportunity associated with a project to ensure that the transaction does not carry environmental and social risks which could present a potential liability to TDB.
Excluded Activity	Any business or activity listed on the Exclusion List of the ESMS (Appendix 1)

Lenders

Institutions that offer Lines of Credit to TDB

Lines of Credit

Finance facilities utilised to finance operations that fulfil the institutional conditions set by the lenders and meets international best practice.

EXECUTIVE SUMMARY

RATIONALE AND CONTEXT

The Environmental and Social Management System (ESMS) was developed to outline the requirements and obligations of The Eastern and Southern African Trade and Development Bank (TDB) as they relate to Environmental and Social (E&S) performance. The System is used to evaluate the Environmental and Social performance of all potential investment opportunities and to monitor the E&S performance of the current financed operations.

The ESMS will assist TDB to analyze, control and reduce the negative environmental and social impacts and improve on the positive benefits realized from financed operations. The ESMS addresses the Bank's current and future operations by providing guidance on E&S requirements during the investment decision-making process and on-going management of existing clients. Compliance with the ESMS is a condition for all TDB financed activities.

The ESMS builds on two previous ESMS Policies-ESMS Policy (June 2005) and ESMS policy (September 2010). In addition, the Bank's strategic focus emphasizes growth in infrastructure financing aimed at creating desired developmental impact for the region. This has resulted in the Bank increasing investment in large ticket and complex infrastructure projects which present significant environmental and social risks. The ESMS therefore seeks to:

- Ensure that ESMS policy and procedures are adequate to assess and manage the risks associated with projects and transactions that are envisaged to be financed in the future;
- Ensure that ESMS is in line with internationally acceptable environmental and social standards and best practice.

TDB's ESMS

The ESMS describes the whole environmental management system of TDB including the procedures designed to implement it. The document covers the following components:

TDB's Environmental and Social Policy and Management Commitment

The environmental and social policy seeks to integrate E&S considerations into TDB's activities. TDB is committed to developing, implementing and continuously improving management of E&S risks and opportunities to sustainable financing. In addition, the policy reflects specific policy commitments which include principles of caring for the environment by encouraging environmentally responsible behavior, complying to national environmental legislations in the countries where it operates, adhering to international standards and best practices, regularly engaging with stakeholders and reviewing the social and environmental performance of the projects that it finances among others.

Environmental and Social Assessment and Risk Management Process

This section describes the ESMS process flow and the procedures which would apply during the investment process from deal origination through to the final loan repayment or exit.

The ESMS procedures provide a clear step-by-step guidance for the application of the E&S Policy and identify relevant functions and individuals involved in the implementation

process. The clear identification of roles played by the various departments in the ESMS is geared at ensuring that E&S matters are fully integrated within investment process and ensures that there is a sense of ownership by various individuals throughout the entire process. A detailed description of each stage is included in the Section 4 of the ESMS document.

Compliance Monitoring and Reporting

Compliance monitoring and reporting is an integral part of the ESMS. From disbursement and throughout the operational phase of the investments, operational departments i.e. Trade Finance, Project Infrastructure and Portfolio Management monitor performance of the investments to ensure adherence to the loan agreement, national legal requirements in the host country and that they are in line with international best practices. Action plans and mitigation measures identified during the E&S appraisal are implemented during the monitoring process and the Bank further reports on post investment E & S activities in accordance with internal obligations and line of credit requirements.

Capacity Building and Awareness

The policy provides for periodic training to create awareness on importance of E&S risks assessment and to build internal capacity in E&S assessment and also regarding emerging E&S risks.

Stakeholder Engagement and Grievance Mechanism

The Bank advocates for stakeholder engagement with the aim of fostering cordial relationships between the client and stakeholders, especially those who are directly affected by the project activities. In this regard, a grievance procedure has been developed aimed at identifying and addressing E&S issues before they become grievances.

ESMS Review

TDB's Environmental and Social Management System (ESMS) is reviewed periodically, and such reviews are informed by lessons learned across the portfolio and as well as other good practices that The Bank becomes aware of. The review tracks emerging E&S risks that may affect future business activities and ensures that they are incorporated into the ESMS.

SECTION 1: INTRODUCTION

1.1 BACKGROUND

TDB is currently owned by 24 shareholders comprising 17 COMESA member countries, three non-regional member countries (Tanzania, China and Belarus) and four institutional members (Africa Development Bank, Mauritian Eagle Insurance Co. Ltd, National Pension Fund of Mauritius and Africa Reinsurance Cooperation), Rwanda Social Security Board and Banco Investimento de Nacional). The regional member's shareholding is 81.3% whereas the non-regional shareholding stands at 6.6% and the Institutional Shareholding at 12.1%.

The Bank's mission is to be at the forefront of extending development capital and services to advance regional growth and integration through customer focused and innovative financing instruments. The Bank's product and service offerings are primarily trade, project and corporate finance, and to a lesser extent, equity finance and guarantees with tenures ranging from short to long term. The Bank's geographical focus is the COMESA member states in Africa.

The Bank's clientele include private and public enterprises, in addition to financial and government institutions. Strong risk and governance structures, coupled with international best practices in investment operations also place the Bank in good stead, within the right conditions, to manage and administer special purpose funds in cooperation with investors and international development partners. The African Development Bank (AfDB), the National Pensions Fund of Mauritius, the Mauritian Eagle Insurance Company Ltd, Paritetbank (Belarus) and the People's Bank of China are key institutional and non-regional Member State Shareholders of the Bank, alongside 18 African Member States of COMESA, EAC and SADC.

The Bank has at its disposal Lines of Credit and loan facilities from other international Developmental Finance Institutions (DFI's) and financial institutions. These lines of credit are utilised to finance operations that fulfil the institutional conditions set by the lenders and meet international best practice.

The Bank's purpose and key objectives are as follows:

- Advance regional economic integration and growth through trade and investment;
- Promote the development of infrastructure, exports and enterprises in Member States;
- Provide debt, quasi-equity and equity financing, as well as non-financial products and services, to qualifying entities and projects in Member States;
- Render technical assistance and management services to Member States, partners, donors and relevant stakeholders, including management of special purpose funds; and

- Foster the development and deepening of financial and capital markets in Member States.

To meet these objectives, TDB has to maintain an appropriate ESMS to help manage E&S impacts of financed operations efficiently and effectively and also to ensure improved E&S stewardship of financed activities. The following benefits will be achievable through a properly implemented ESMS:

- Cost savings;
- Reduced risk;
- Increased operational efficiency;
- Positive external relations and public image;
- Improved communication;
- Greater employee stewardship;
- Improved public relations; and
- Access to reasonably-priced funds from line-of-credit providers who place ESMS as a condition for lending out their funds

1.2 RATIONALE AND CONTEXT

TDB adopted its Environmental Policy in June 2005. In 2010, the Bank undertook an exercise to harmonize all its policies and procedures and the harmonized ESM policy was formally approved by the Board of Directors in September, 2010. These policies provided the basis for which the environmental and social risk assessment was carried out by the Bank.

In December 2012, the Bank's Board of Governors adopted the Bank's Fifth Corporate Plan. The Plan emphasized growth in infrastructure financing as a key priority area in the next decade if the desire to create meaningful developmental impact for the region and create value for shareholders is to be achieved.

Increased demand in investment in renewable energy (RE) projects in Sub-Saharan Africa, which is catalyzed by TDB and its financing partners has presented investment opportunities to the Bank on one hand, while also opening up new challenges in assessment and management of E&S risks associated with the RE sub-sector.

Noting that increased investments in infrastructure and renewable energy among other sectors present significant environmental and social risks whose impact may have long-term consequences the Bank took steps to revise its existing policy. The revised environmental policy therefore seeks to:

- Ensure that ESMS policy and procedures are adequate to assess and manage the risks associated with projects and transactions that are envisaged to be financed in the next decade
- Ensure that ESMS is in line with local laws and internationally acceptable environmental and social standards and best practice.

1.3 KEY LESSONS LEARNT FROM IMPLEMENTATION OF PREVIOUS POLICIES

In developing the revised ESMS, the Bank considered the changing context of operating environment as discussed above, and the lessons learned from the implementation of the previous policies. Some of the challenges that the policy seeks to address are as follows:

- **Re-aligning policy with new credit review process and enterprise-wide Risk Management:** In 2012 the Bank enhanced its credit review process through the introduction of New Deal Forum (NDF) and creation of a fully-fledged Compliance and Risk Management Department (CRMD). The revised ESMS therefore seeks to address the two issues as its structure embeds ESMS throughout the credit review process and further the re-alignment takes into account the roles and responsibilities of CRMD this ensures E&S risk assessment is fully integrated into the Bank-wide Enterprise Management System (ERM).
- **Integration of ESMS procedures:** One gap that was identified in the previous ESMS was that while there was a well-articulated policy document in place, its application in various departments varied due to lack of a single coherent document outlining procedures that were applicable across the Bank to aid its implementation. The revised ESMS sets out, in one document, clear step-by step guidelines to assist in implementing the ESMS.
- **Taking into account international best practice:** Whilst the previous policy was developed with input from DFIs which had already well-developed E&S risk assessment safeguards such as AfDB and FMO, there has been significant changes in the E&S space in the recent years. Lack of clarity in specific standards to which the Bank's policy was bench-marked posed challenges in implementing stringent E&S standards in some projects. There was therefore need for the Bank to revise its policy to bench-mark it with international practice.
- **Standardization of tools and templates:** Smooth implementation of the previous policy was also affected by lack of standardised tools and templates mainly to assist officers in the categorization process, the due diligence process and reporting at the level of borrower. The revised policy has a number of tools and templates which provide clear guidelines in the assessment of E&S risk of transactions.
- **Clarification of roles and responsibility:** The new credit review process and the introduction of a fully-fledged CRMD resulted in new officers taking new roles through the risk assessment process. The policy had to therefore be revised to harmonize the roles and responsibilities of individual officers to incorporate the

specific roles in respect to environmental and social system management. The policy emphasises the requirement of engaging E&S experts during the due diligence and monitoring phase of the projects to ensure expert advice is sought by the Bank at all stages of the project in respect to E&S issues.

As part of the complementary annexes to this ESMS, the Bank also developed the following guidelines as annexes:

- **Provision of grievance mechanism:** While the previous policy had provided for stakeholder engagement it lacked clarity on the requirement to have project proponents establish a mechanism to receive and facilitate resolutions of affected peoples' concerns, complaints, and grievances about the project's environmental and social performance. Therefore, the Bank revised its Stakeholder Engagement Plan to guide its clients to develop a dedicated project/ company specific SEP that is proportionate to the risks and impacts of the subprojects being undertaken with TDB's financing.
- **External Communication Mechanism (ECM)** - The objective of the new developed ECM is to provide an opportunity to the public, project affected community and other stakeholders of the Bank to seek clarification and raise concerns about the Bank's operations. For the Bank, it provides a structured mechanism for handling enquires and complaints in a fair and transparent manner.
- **Guidance Note on Protection from Sexual Exploitation and Abuse and Sexual Harassment in TDB-funded Projects** - The annex builds on TDB's ESMS to provide specific guidance that supports risk analysis, control and mitigation measures related to sexual exploitation and abuse (SEA) and sexual harassment (SH) in all TDB-financed activities.
- **E&S Risk Management Procedure for Off-Grid Solar Energy Projects** – which highlights the key issues relevant to off-grid solar projects such as project categorization, E&S issues to focus on during due diligence, and specific tools for off grid solar projects. The procedure covers solar lanterns, solar home systems (SHS) and standalone solar systems for irrigation, poultry, vending, solar powered sewing machines and other uses.

SECTION 2: THE ESMS POLICY FRAMEWORK

2.1 OVERVIEW

This Environmental and Social Management System ("ESMS") was developed to outline the requirements and obligations of The Eastern and Southern African Trade and Development Bank ("TDB" or the "Bank") as they relate to Environmental and Social ("E&S") performance. The ESMS will be used to evaluate all potential investment opportunities E&S performance, and to monitor the on-going E&S performance of financed operations. The ESMS will assist TDB to analyse, control and

reduce the negative environmental and social impacts and improve on the positive benefits that are realised from financed operations during the financed period. The ESMS addresses the Bank's current and future operations by providing guidance on E&S requirements during the investment decision-making process and on-going management of clients. Compliance with the ESMS is a condition for all TDB financed activities.

The ESMS describes the whole environmental management system of the TDB including the procedures designed to implement the ESMS. This ESMS document:

- Provides the rationale for the Bank's E&S policy;
- Describe how E&S issues are considered in the investment processes and how E&S management systems are maintained that meet the requirements of the E&S policy;
- Provides a summary of the environmental and social risks and impacts, as part of project categorization guidelines associated with investments undertaken by TDB within the COMESA region;
- Details the applicable E&S requirements and procedures against which all potential investments made by the Bank will be evaluated;
- Enhances E&S institutional capacity to execute the expanded mandate and increased business envisaged under the TDB's 5th Corporate Plan and enterprise wide risk management policy;
- Develop a structured process and tools for monitoring and recording E&S issues in its investment processes;
- Aim to create environmental and social awareness within the bank and its financed activities;
- Allocate roles and responsibilities to ensure that the ESMS is implemented within TDB and at Client companies;
- Ensure ongoing reporting on E&S performance and impact and incorporate E&S performance reporting in annual and integrated reports;
- Recommend a system for continuous tracking of the emerging Environmental and Social risks that may affect the Banks activities in the future and ensuring they are incorporated into the ESMS.

The ESMS encompasses the aspects contained in the figure 1 below.

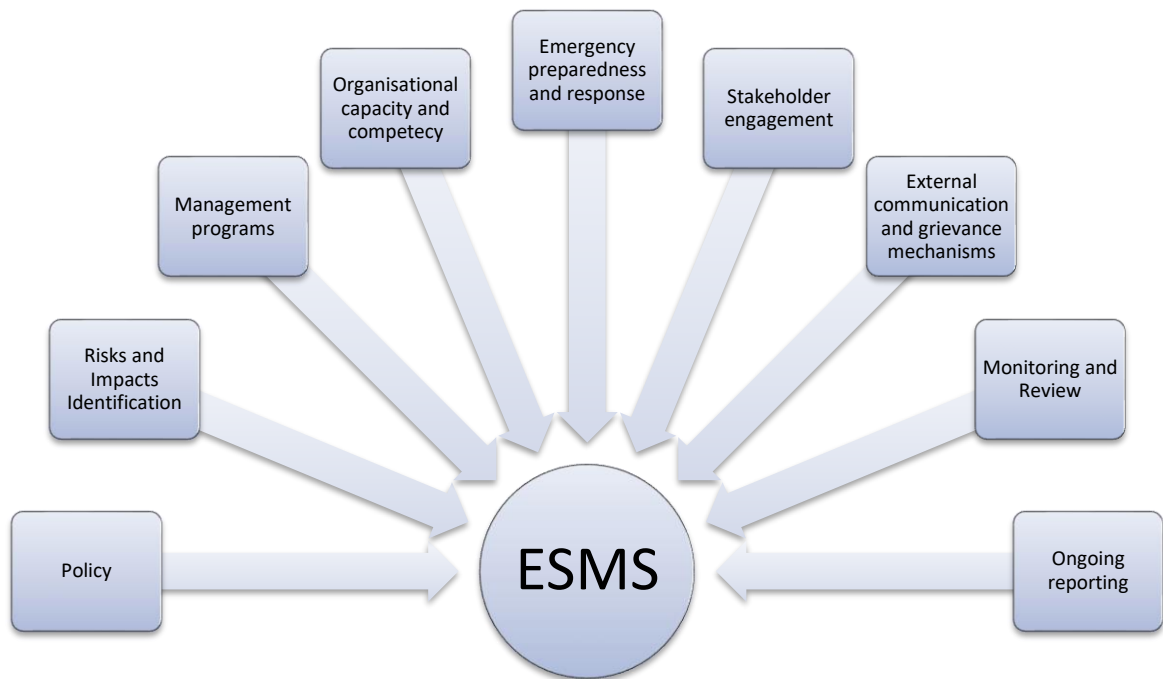


Figure 1: Contents of the ESMS

2.2 TDB'S OPERATING DEPARTMENTS

The Bank is comprised of the following departments.

DEPARTMENT	E&S ROLE AND RESPONSIBILITY
Presidency	<ul style="list-style-type: none"> Overall responsibility for Business Principles and ESMS at the Bank; and ESMS reporting to the Board of Directors.
Finance	<ul style="list-style-type: none"> Responsible for budgeting and control, financial reporting and resource mobilization and management; and Allocating E&S training budget within TDB Bank
Compliance & Risk Management	<ul style="list-style-type: none"> Responsible for managing and reporting of prevalent risks across the Bank and monitoring of compliance with internal controls. (Governance, control and assurance department). Assessing E&S risks as part of the compliance risk management during project appraisal and during the holding period.
Human Resources & Administration	<ul style="list-style-type: none"> Responsible for the Bank's human resources and administrative support services; and Ensure where required, that the appropriate staff with the right expertise are hired to undertake the E&S roles and responsibilities within the Bank.

DEPARTMENT	E&S ROLE AND RESPONSIBILITY
Legal Affairs	<ul style="list-style-type: none"> ▪ Responsible for the Bank's legal affairs including drafting agreements and covenants; and ▪ Ensure the E&S covenants and agreed action plans are incorporated into the loan agreements.
Corporate and Investor Relations	<ul style="list-style-type: none"> ▪ Reporting impact to investors and shareholders; and ▪ Corporate communication to third parties
Project & Infrastructure Finance (PIF)	<ul style="list-style-type: none"> ▪ Responsible for developing the pipeline, appraising the projects and taking them through the documentation process up to first disbursement; and ▪ Ensuring that pipeline deals are assessed according to the TDB's ESMS from the onset.
Trade Finance	<ul style="list-style-type: none"> ▪ Provides trade finance facilities to support export and import trade flows from, to and within the COMESA region; and ▪ Ensuring that pipeline deals are assessed according to TDB's ESMS from the onset.
Fund Management	<ul style="list-style-type: none"> ▪ Responsible for management of an equity closed end Infrastructure focussed fund and an open-ended debt fund predominantly focussed on investments in trade finance, structured trade finance, export finance and project finance or related obligations of companies or other entities (including sovereign entities) located primarily in or having exposure to Eastern and Southern Africa. ▪ Ensuring that all funds and equity deals comply with TDB's ESMS
Portfolio Management	<ul style="list-style-type: none"> ▪ Responsible for the administration and monitoring of PIF loans and investments from first disbursement of funds through project implementation to full repayment of the loan. ▪ Responsible for managing the work-out portfolio and recovery of written off accounts. ▪ Review the E&S permits and approval requirements. ▪ Ensuring that clients comply on an ongoing basis with TDB's ESMS. ▪ Co-ordination of day-to-day issues pertaining to ESMS
Treasury	<ul style="list-style-type: none"> ▪ Ensuring that E&S requirements are identified from the various lines of credit. ▪ Ensuring that the lines of credit E&S requirements are communicated to the finance and operational departments.

2.3 APPLICABLE ENVIRONMENTAL AND SOCIAL STANDARDS AND GUIDELINES

The Bank will ensure that all potential investment opportunities are reviewed and evaluated against the following applicable requirements and guidelines:

- National laws of an E&S nature applicable to the countries and sectors of interest;
- Lines of Credit Side-letters and E&S reporting requirements (such as AfDB, CDC, DBSA, FMO, AFD, EXIM Banks and other present or future Lender's);
- Applicable EU, UN and Office of Foreign Asset Control (OFAC) Sanction Lists, where applicable;
- TDB's E&S Categorisation Guidelines as detailed in Appendix 4;
- IFC Performance Standards 2012; and
- AfDB Operational safeguards.

The Bank shall, to the extent possible, ensure that its respective clients comply with all applicable laws, rules and regulations of any government, regulatory body, licensing agency, or professional association in the country of domicile where the financed operation will occur. In particular, TDB shall ensure, to the extent permitted under any domestic law, that the Client or, in the case where the transactions is structured for on-lending to specified eligible sub-borrowers, that such Client's sub-borrowers contract to observe the relevant E&S guidelines adopted by TDB. In the event of an absence of national standards in the country where the investment will be made, or a conflict between TDB's requirements and that of the country concerned, clients must comply with the more stringent standard, whether expressed as a law, rule or regulation.

2.4 PROJECT CATEGORISATION

Whilst TDB financed operations are necessary for economic development within the COMESA region, there are a number of potential E&S risks and impacts that are diverse and vary in level and degree of severity. TDB's E&S Categorisation Guidelines contained in Appendix 4 were developed to identify the potential E&S risks associated with potential financed investments based on the sectors and categorise the projects based on the significance of the anticipated impacts.

Investments will fall into the following four categories listed below and examples of sector/projects within the four categories are highlighted in Annex 4 :

2.4.1 Category 1

The project is likely to have significant adverse environmental impacts that are sensitive, diverse or unprecedented. A potential impact is considered "sensitive" if it may be irreversible (e.g., lead to loss of a major natural habitat), affect vulnerable groups or ethnic minorities, involve involuntary displacement

and resettlement, or affect significant cultural heritage sites. A full Environmental and Social Impact Assessment (ESIA) is required.

2.4.2 Category 2

The project may result in specific environmental impacts, but these impacts are site specific and few if any of them are irreversible. In most cases mitigation measures are predetermined Performance Standards, Guidelines, or design criteria. Potential adverse environmental impacts on human populations or environmentally important areas are less adverse than those of Category 1 projects. Although a full EIA is not required, environmental assessment focusing on the anticipated impacts is required.

2.4.3 Category 3

The project is likely to have minimal or no adverse environmental impacts. No further environmental assessment is required.

2.4.4 Category 4

The project involves investment of funds through a financial intermediary in subprojects that may result in adverse environmental impacts, or the FI has operations which may have adverse environmental impacts (e.g. project finance). Verification that the project sponsor is capable of and committed to conducting environmental review of projects and managing relevant operations to ensure that financed projects meet certain environmental requirements is required.

This category is further divided into: -

- *FI-1:*
When an FI's existing or proposed portfolio includes, or is expected to include, substantial financial exposure to business activities with potential significant adverse environmental or social risks or impacts that are diverse, irreversible, or unprecedented.
- *FI-2:*
When an FI's existing or proposed portfolio is comprised of, or is expected to be comprised of, business activities that have potential limited adverse environmental or social risks or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures; or includes a very limited number of business activities with potential significant adverse environmental or social risks or impacts that are diverse, irreversible, or unprecedented.
- *FI-3:*
When an FI's existing or proposed portfolio includes financial exposure to business activities that predominantly have minimal or no adverse environmental or social impacts.

SECTION 3: THE ESMS POLICY AND MANAGEMENT COMMITMENT

3.1 TDB'S ENVIRONMENTAL AND SOCIAL POLICY COMMITMENT

3.1.1 Overview

The environmental and social policy seeks to integrate environmental and social (E&S) considerations into the TDB's activities. TDB is committed to developing, implementing and continuously improving management of E&S risks and opportunities to contribute to sustainable development.

Sustainable development is core to delivering on the Bank's growth objectives. Underpinning our corporate philosophy and growth path is an appreciation that our growth drivers cannot be achieved effectively without a committed focus to E&S management and sustainable development. This policy implements applicable environmental and social requirements and procedures contained within COMESA countries. Additionally, this policy reflects specific policy commitments that have been made by TDB with respect to environmental and social policies and procedures.

3.1.2 Purpose of Policy

The policy describes the TDB's philosophy and approach to managing E&S risks and impacts in its investments.

3.1.3 Principles

TDB commits to the following principles:

- Caring for the environment by minimizing harm and encouraging environmentally responsible behaviour to conserve biodiversity and maintain ecosystem services in all Bank financed activities.
- Meeting the requirements of national legislation in all the countries in which TDB resources are to be invested.
- Undertaking its activities in line with applicable international standards and industry good practice.
- Fostering value-driven ethical behaviour and good governance practices informed by respect for human rights.
- Implementing all reasonable precautions to protect the health and safety of employees and promote the health and safety of workers within TDB and in all Bank financed activities.
- Mitigating against the project's climate change impacts, as far as reasonably possible.
- Ensuring that affected communities are appropriately engaged on issues that could potentially affect them.
- Providing and maintaining appropriate environmental and social systems that support E&S best management practice and value addition.

- Engaging with stakeholders and regularly review environmental, social performance and continually evaluate environmental objectives and targets to achieve continuous improvement.

The E&S policy, provided as an independent document, and other elements of the ESMS shall be reviewed and updated periodically in order to ensure its continued applicability to the activities of TDB and its clients.

3.1.4 Broad Environmental and Social Risks Related to TDB

Whilst TDB financed operations are necessary for economic development within the COMESA region, there are a number of potential E&S risks and impacts that are diverse and vary in level and degree of severity.

Largely the potential E&S risk that may arise from the Bank's intervention, would be sector related risks as opposed to the Country where a specific transaction is located, save for a few markets where the basic environmental and social laws are not well developed. Another important factor to consider is the extent of exposure in respect to the product lines (financing windows) i.e. Trade Finance (TF) compared to Project and Infrastructure Finance (PIF). Between the two financing windows, the Bank is skewed towards Trade Finance. The predominant sectors of intervention on the Bank's portfolio are Manufacturing; Agribusiness and Infrastructure (including Energy) in respect to the PIF financing window; whilst financing under TF financing window is mainly for strategic commodities (agricultural and petroleum) undertaken through issuance of Letters of Credit.

Some of the potential E&S risks that may arise mainly from the predominant sectors of intervention such as Agribusiness; Manufacturing and Heavy Industry; Infrastructure (including energy) are as shown in the table below.

Table 3.1: Potential Environmental and social risks

SECTOR	LEVEL OF E&S RISK EXPOSURE	LIST OF SOME RELEVANT E&S RISKS/ISSUES INCLUDE
Agribusiness	Medium to high	Environmental <ul style="list-style-type: none"> • Solid waste • Wastewater • Energy consumption • Emissions to air Occupational Health and Safety <ul style="list-style-type: none"> • Physical hazards • Exposure to noise • Biological hazards • Chemical hazards • Exposure to heat and cold • Land use /cover conversion • Non-compliance with local and international laws • Labour and working conditions • Labour in-migration associated social dynamics

SECTOR	LEVEL OF E&S RISK EXPOSURE	LIST OF SOME RELEVANT E&S RISKS/ISSUES INCLUDE
Manufacturing and heavy industry (e.g cement plant)	Medium to high	<p>Environmental</p> <ul style="list-style-type: none"> • Air Emissions • Energy consumption and fuels • Wastewater • Solid waste generation • Noise <p>Occupational Health and Safety</p> <ul style="list-style-type: none"> • Dust • Heat • Noise and vibrations • Physical hazards • Radiation • Chemical hazards and other industrial hygiene issues ▪ Non-compliance to local E&S laws
Infrastructure (Renewable Energy hydro plants and wind farms)	High	<p>Environmental</p> <ul style="list-style-type: none"> • Air Emissions • Energy consumption and fuels • Wastewater • Solid waste generation • Noise <p>Occupational Health and Safety</p> <ul style="list-style-type: none"> • Dust • Heat • Noise and vibrations • Physical hazards • Radiation • Chemical hazards and other industrial hygiene issues

While the above table lists some of the specific E&S risk that are likely in the Bank's portfolio, the Bank recognizes that there are a number of issues that cut across sectors which include: Land related issues; labour conditions across the value chain; use of energy efficient technologies among other. Accordingly, the policy has been developed to ensure that the risks outlined in the table and emerging E&S risk are identified and adequately addressed throughout the investment cycle.

The Bank also recognizes that if the highlighted E&S issues are not identified and mitigated they may impact on the Bank's operations, as the E&S policy is well aligned to it's the overall Enterprise Risk Management Framework. Some of the direct impacts that may affect the Bank from the highlighted E&S issues include:

- **Collateral/Guarantee Risk:** Reduction in the value of the collateral associated with transactions/clients due to E&S problems
- **Legal Risk:** E&S Impacts which result in any legal disputes/actions against the Bank

- **Credit/Financial Risk:** Clients unwilling or unable to fulfill contractual obligations from E&S issues e.g. civil liability, impaired solvency, settlements
- **Funding Risk:** Poor lending practices resulting in the Bank not being eligible for international development financing
- **Liability Risk:** Foreclosure and responsible for E&S liabilities with an asset used as a guarantee, joint liability, internal assets required
- **Reputational Risks:** Risk of negative publicity associated with the Bank's lending and client activity. Reduced brand value and image

3.1.5 Application of TDB's Environmental and Social Policies to our Investments

In order to meet the above principles, TDB has set the following E&S operational requirements to its financed operations, within the constraints of the financial targets set:

- Screen all investments financed by the TDB against the Exclusion List (Appendix 1).
- Screen our investments for E&S impacts and benefits prior to approving any finances through a well-defined due diligence analysis and decision-making process.
- Ensure clients comply with national and international environment, social, health and safety regulations applicable to the financed operations and services.
- Ensure TDB invests mainly in socially and environmentally responsible companies;
- Require the adoption of TDB's E&S Standards as defined in this ESMS by our clients, business partners and supply chain.
- Monitor and enforce compliance of E&S aspects/covenants of the Bank's clients in a legally acceptable manner.
- Ensure that the decision makers of the client companies are more active in taking preventive measures that avoid potential E&S risks that ultimately could result in future liability or insurance claims. This can be achieved through providing guidance to the decision makers as well as creating commitment with them towards putting in place the adequate preventive measures.
- Identify projects that provide environmental and social benefits such as in renewable energy, energy efficiency, water sector, etc.

- Where applicable, assist client companies with E&S value add propositions as part of the action plan to improve E&S awareness and management.
- Monitor and report on our contribution to the E&S development of our clients in a transparent, credible and timeous manner to all relevant stakeholders.
- Overall, actively supporting the development of businesses within member states and supply of goods and services that meet E&S international best standards.

3.2 ORGANIZATION RESPONSIBILITY, RESOURCES AND CAPACITY

The implementation of the ESMS will be achieved by deploying the following resources:

3.2.1 TDB's Internal Roles and Responsibilities

The table below details the roles and responsibilities for the personnel involved in the ESMS implementation.

TITLE	RESPONSIBILITY
President	<ul style="list-style-type: none"> ▪ Overall responsibility for Business Principles and ESMS at the Bank. ▪ ESMS reporting to the Board of Directors.
Compliance and Risk Management (CRMD)	<ul style="list-style-type: none"> ▪ Responsible for managing and reporting (to Management and the Board) on Bank-wide risk including the E&S Risk; ▪ Assessing E&S risks as part risk management during project appraisal and during the holding period. ▪ Measuring and reporting on aggregated risk exposure across the Bank (including E&S Risks); ▪ Coordinating the design, implementation and monitoring of business continuity and other corporate risk management plans; ▪ Monitoring of compliance with internal controls. (Governance, control and assurance department). ▪ Monitor and report on progress with implementation of Departmental based risk management plans ▪ Reviews Client submissions to ensure that they comply with the applicable regulations of the host country regulatory regime. ▪ Review E&S monitoring reports on a periodic basis and recommend enhancements where necessary.
Investment/Trade Finance Officer	<ul style="list-style-type: none"> ▪ Ensure appropriate consideration of E&S aspects at each stage of the investment process. ▪ Ensure that appropriate environmental, social representations, warranties, and covenants are incorporated in each Client agreement. ▪ Liaise with the ESMS Coordinator to ensure the correct E&S requirements are included in the investment documents and adequate resources are committed to allow effective and appropriate implementation of the ESMS policy and procedures.

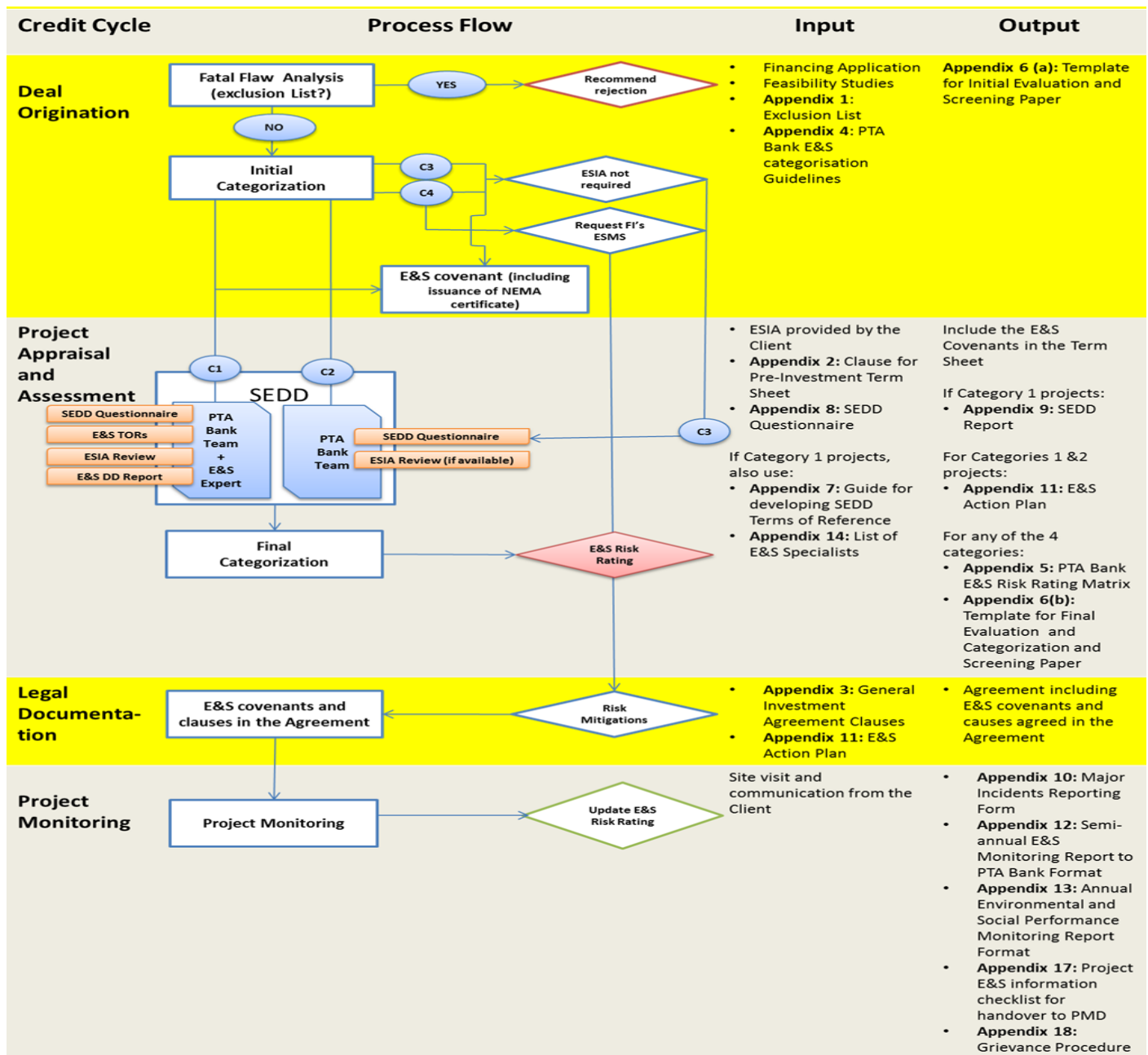
TITLE	RESPONSIBILITY
	<ul style="list-style-type: none"> ▪ In consultation with E&S manager, set an appropriate terms of reference and budget for the SEDD.
ESMS Manager	<ul style="list-style-type: none"> ▪ Ensure compliance with the Bank's E&S Policies and overall responsibility for the implementation of the ESMS at the Bank and clients. ▪ Participate in pipeline meetings and other appropriate forums to contribute to the investment process. ▪ Report E&S issues/infringements to the lenders and ensure that risks are appropriately remedied. ▪ Supervising and approving all E&S reports. ▪ Answering any queries from lenders of an E&S nature. ▪ Ensuring that E&S training needs of staff are met. ▪ Management of the ESMS document and ensuring that it is reviewed on a periodic basis.
ESMS Coordinator	<ul style="list-style-type: none"> ▪ Ensure that resources are committed at the Client Level for E&S and OHS management processes. ▪ Evaluating environmental and social compliance of Clients activities with the applicable ESMS requirements. ▪ Participate and contribute on all SEDDs whether it is being driven by external consultants or in-house resources. ▪ Work with the Client and the Investment Officer to ensure that adequate resources are committed to allow effective and appropriate implementation of the ESMS policy and procedures. ▪ Maintain on-going liaison and correspondence with the Client ESMS representative. ▪ Develop a program with the Client for the submission of quarterly or semi-annual E&S reports to TDB. ▪ Review annual E&S reports on Banks projects.
E&S Specialist	<ul style="list-style-type: none"> ▪ Ensure appropriate consideration of E&S as part of the SEDD or investment monitoring process. ▪ Ensure the correct E&S requirements are included in the investment documents and adequate resources are committed to allow effective and appropriate implementation of the ESMS policy and procedures. ▪ Report local E&S issues/infringements/incidents to TDB and ensure that all emergency incidents are appropriately addressed, and risks remedied where possible. ▪ Maintaining and updating a list of potential E&S and OHS risks inherent in TDB's evolving business portfolio; ▪ Prepare bi-annual reports on local E&S issues/infringements and ensure that all serious incidents are appropriately addressed, and risks remedied where possible. ▪ Ensure that the Client is compliant with the Bank's E&S Policy.
Legal Officer	<ul style="list-style-type: none"> ▪ Prepare loan conditions and covenants ▪ Ensure appropriate E&S clauses and action plan are included in the legal agreements signed with the Bank's clients.

TITLE	RESPONSIBILITY
	<ul style="list-style-type: none"> ▪ Review any amendments to the loan conditions and covenants. ▪ Liaising with the ESMS manager to maintain a current E&S legal register for all the countries within which TDB operates.
Client (Borrower)	<ul style="list-style-type: none"> ▪ Comply with TDB's ESMS ▪ Provide project information as requested by TDB; ▪ Carry out ESIA along with feasibility studies and public consultations including disclosure of the ESIA findings to the authorities and the public ▪ Securing appropriate E&S permits from the relevant authorities ▪ Prepare and E&S management plan and compensation schemes ▪ Prepare appropriate agreements on impacts relating to resettlement, livelihood losses and indigenous people. ▪ Monitor implementation of E&S management plan and action plan to ensure compliance. ▪ Submit regular monitoring reports to TDB
Client ESMS representative	<ul style="list-style-type: none"> ▪ Engagement with the contractors and communities to ensure that E&S requirements are met. ▪ The implementation of TDB's E&S policies and ESMS at the Client level. ▪ Documenting and reporting local E&S issues/infringements to the Bank's ESMS coordinator. ▪ Ensure the implementation of remedial actions on serious incidents and appropriately address risks. ▪ Monitoring the implementation of Environmental and Social Action Plans at a Client level. ▪ Training client staff on an on-going basis on E&S issues and impacts related to their activities and on the implementation of the ESMS.

SECTION 4: ESMS PROCESS FLOW AND PROCEDURES

This section describes the ESMS process flow and procedures which would apply during the investment process, from deal origination through to final loan repayment or exit. This section focuses on TDB's E&S requirements and commitments that are to be integrated into the overall investment management approach.

4.1. E&S PROCESS FLOW DIAGRAM



Please note that in the above diagram C1, C2, C3 and C4 respectively stand for Category 1, 2, 3 and 4. The ESMS procedures provide a clear step-by-step guidance for the application of the E&S

Policy and identify relevant functions and individuals involved in the implementation as detailed in the following table.

INVESTMENT CREDIT CYCLE	E&S RISK ASSESSMENT STAGE	E&S PROCEDURES/OUTCOME/ROLES AND RESPONSIBILITIES	TEMPLATES/TOOLS/ REPORTS
FATAL FLAWS ANALYSIS	Initial scrutiny: E&S Fatal Flaws Analysis	<p>Upon receipt of an application, the project will be analysed against the three main elements that form the E&S Fatal Flaws Analysis, which are:</p> <ul style="list-style-type: none"> ▪ Exclusion sectors as per the Exclusion List in Appendix 1; ▪ The potential that the project E&S impacts cannot be mitigated, or which poses a risk of significant reputational risk in national or local media; and ▪ The project history of serious negligent and non-conformance with E&S regulatory requirements in the host country. <p>Trade Finance and Project & Infrastructure Finance departmental officers will provide project baseline information and prepare a project brief. In the case the project has fatal flaws, the Investment Officer shall complete the Template for Initial Evaluation and Screening Paper in which the project rejection shall be recommended.</p> <p>In the case the project has no fatal flaws, the initial project categorisation shall be done, as detailed below before submitting the project to New Deal Forum (NDF).</p>	<ul style="list-style-type: none"> ▪ Appendix 6(a): Template For Initial Evaluation and Screening Paper ▪ Appendix 1: Exclusion List
DEAL ORIGINATION AND NEW DEAL	Initial Project Categorisation	<p>The proposed project shall be screened to decide on the nature and extent of the E&S risks and impact for the project. The following steps will apply:</p> <ol style="list-style-type: none"> 1. If no fatal flaws are identified, A Non-Disclosure Agreement (NDA) will be signed between TDB and the client, in order to aid TDB in sourcing additional information required for the development of the Screening Paper. Upon signing of the NDA, E&S 	<ul style="list-style-type: none"> ▪ TDB's E&S Categorization Guidelines ▪ Appendix 2: Clause for Pre-Investment Agreements ▪ Non-Disclosure Agreement (NDA) to be

INVESTMENT CREDIT CYCLE	E&S RISK ASSESSMENT STAGE	E&S PROCEDURES/OUTCOME/ROLES AND RESPONSIBILITIES	TEMPLATES/TOOLS/ REPORTS
		<p>related information such as previous ESIA's, licenses, permits and audit reports will be reviewed, and E&S risks and impacts highlighted.</p> <p>2. Trade Finance and Project & Infrastructure Finance departmental officers with the assistance of E&S Manager or Coordinator shall identify E&S issues and risks associated with the project on a desktop review basis in order to classify the project into the appropriate initial project categorization (1, 2, 3, or 4). TDB's E&S Categorization Guidelines (Appendix 4) shall be used to facilitate the initial project categorization. The guidelines are designed to guide departmental officers in the determination of potential E&S impacts associated with the project. A brief project description, the result of the Fatal Flaws Analysis, the initial project category and the initial E&S risks and mitigation shall be summarized in a Screening Report in line with the Template for Initial Evaluation and Screening (Appendix 6(a)).</p> <p>3. The Initial Evaluation and Screening Report signed by the Investment Officer shall be submitted to the E&S Manager or Coordinator for review and sign off before submission to the NDF.</p> <p>4. The NDF will deliberate on the Screening Report and if the project is given the go ahead, a Term Sheet shall be prepared to be proposed to the Client. The Term Sheet will include E&S Covenants and Clauses as recommended during the NDF.</p>	signed where applicable.
PROJECT APPRAISAL & ASSESSEMENT	E&S Risk Assessment (Due Diligence)	The categorisation of the project depends on the type, location, sensitivity and scale of the project, as well as the nature and magnitude of its potential impacts. For this reason, the level of effort and resources applied in the E&S risk	<ul style="list-style-type: none"> ▪ Appendix 8: SEDD Questionnaire ▪ Appendix 7: SEDD Terms of Reference;

INVESTMENT CREDIT CYCLE	E&S RISK ASSESSMENT STAGE	E&S PROCEDURES/OUTCOME/ROLES AND RESPONSIBILITIES	TEMPLATES/TOOLS/ REPORTS
		<p>assessment has to be commensurate to the categorization:</p> <p>1. Category 1: for this category the project sponsor is responsible for preparing a full Environmental and Social Impact Assessment (ESIA) report and submits it to TDB for review prior to the launching of the appraisal mission. TDB's due diligence team will undertake a desktop review of the ESIA in terms of it meeting the minimum requirements of TDB's ESMS requirements. During the due diligence, the team would focus on validating the E&S risks identified and proposed mitigation measures, in addition it would identifying any gaps that may be apparent in line with the TDB's ESMS</p> <p>For a category 1 project, an enhanced SEDD shall be required and shall consist of:</p> <ul style="list-style-type: none"> ▪ Development of SEDD Terms of Reference (appendix 7) and share them with the List of E&S specialist (Appendix 14) to facilitate the hiring of an E&S External Expert to undertake an independent E&S risks review of the project ▪ Undertaking a site visit to assess the types of E&S risks likely to be encountered. The site visit will also provide for the assessment of the institutional capacity of the client with regard to the E&S management of the project, particularly during implementation. TDB's due diligence team shall use the SEDD Questionnaire (Appendix 8) as a guide through the SEDD during a site visit ▪ The E&S External Expert shall review and comment on the ESIA report submitted by the client and provide the Bank with an SEDD Report which shall at the minimum cover the 	<ul style="list-style-type: none"> ▪ Appendix 14: List of E&S specialist ▪ Appendix 9: SEDD Report Format ▪ Appendix 5: E&S Risk Rating Tool ▪ Appendix 6(b): Template for Final Evaluation and Screening Paper

INVESTMENT CREDIT CYCLE	E&S RISK ASSESSMENT STAGE	E&S PROCEDURES/OUTCOME/ROLES AND RESPONSIBILITIES	TEMPLATES/TOOLS/ REPORTS
		<p>aspects as listed in SEDD Report Format (Appendix 9).</p> <ul style="list-style-type: none"> ▪ All ESIA Reports should at a minimum cover aspect as outlined in the SEDD Questionnaire (Appendix 8). <p>2. Category 2: for this category the review process shall follow the same steps as category 1, however the assessment requirements are less stringent compared to Category 1 projects. Where their applicable local legislation require an ESIA to be undertaken for the project the client is responsible for preparing the ESIA report. The compiled report will be made available to TDB for review prior to the launching of the appraisal mission. For category 2 projects, with the exception of such projects that are deemed environmentally sensitive, there shall be no specific requirement for an EMP, however an Action Plan shall be required for implementing any planned mitigation measures identified.</p> <p>An SEDD shall be required and shall consist of:</p> <ul style="list-style-type: none"> ▪ Reviewing the ESIA to identify the positive and negative impacts of the project (The Bank's team) in line with TDB's ESMS; ▪ Undertaking a site visit. TDB's due diligence team shall use the SEDD Questionnaire (appendix 8) as a guide through the SEDD during a site visit; ▪ TDB's due diligence team to submit an SEDD Report with recommendations based on the site visit and the ESIA. <p>3. Category 3: for this category there is no Environmental and Social Impact</p>	

INVESTMENT CREDIT CYCLE	E&S RISK ASSESSMENT STAGE	E&S PROCEDURES/OUTCOME/ROLES AND RESPONSIBILITIES	TEMPLATES/TOOLS/ REPORTS
		<p>Assessment (ESIA) required. The SEDD shall involve the completion of the SEDD Questionnaire (Appendix 8) with the sponsor.</p> <p>4. Category 4: for this category which applies where the Banks invests in other financial institutions through lines of credit and/or equity, all Financial Intermediaries (FI's) shall provide the Bank with a written Environmental and Social Management System (ESMS) that will be used for E&S assessment of their subprojects.</p> <p>The findings and recommendations of the SEDD will advise on:</p> <ul style="list-style-type: none"> ▪ The Final Project Categorization and E&S Risk Rating Matrix; ▪ The appropriate E&S Action Plan to be put in place so as to address identified E&S risks identified during the SEDD; ▪ The E&S covenants to be incorporated in the Facility Agreement. <p>For the more significant risk identified during the SEDD and the completion of the E&S Risk Identification Checklist (refer to Appendix 4) , its Likelihood and its Consequences are assessed and given a rating based on the Table 3 of TDB's E&S Risk Rating Matrix (Appendix 5).</p> <p>The E&S Risk Rating is made up of the following steps:</p> <ol style="list-style-type: none"> 1. Likelihood Rating which is determined by the probability of the event to occur and based on past experience at the site with regards to the reported incidents as detailed in Table 1 of TDB's E&S Risk Rating Matrix; 2. Consequence Rating which is determined by the severity of the likely impact and based on the assessment of residual risks on 	

INVESTMENT CREDIT CYCLE	E&S RISK ASSESSMENT STAGE	E&S PROCEDURES/OUTCOME/ROLES AND RESPONSIBILITIES	TEMPLATES/TOOLS/ REPORTS
		<p>people, environment and legal compliance as per the rating Table 2 of TDB's E&S Risk Rating Matrix;</p> <p>3. Risk Rating Matrix which determines the significance of the identified risks by combining the Likelihood Rating with the Consequence Rating.</p> <p>The outcome of the SEDD is the Final Evaluation and Screening Report (Appendix 6(b)) that will contain the Final Project Categorization and the project E&S Risks Rating according to the E&S Risk Rating Matrix (Appendix 5).</p> <p>A Final Evaluation and Screening Report signed by the Investment Officer shall be submitted to the E&S Manager or Coordinator for review and sign off. This document shall serve to compile the project appraisal results to be submitted to Operational and Technical Committee (OTC), the Credit Committee (CC) and the INVESCO for discussions on the findings, conclusions and recommendations of the SEDD especially the sufficiency of the proposed Environmental and Social Action Plan (ESAP).</p> <p>The different committees shall give an opinion on project appraisal process and the ability of the proposed ESAP to bring the E&S risks to a level of risk acceptable to TDB. This is defined as that level of risk which demands mitigation measures that will not materially affect the client's ability to service debt obligations or reputation.</p>	
LEGAL DOCUMENTATION	E&S Clauses	<p>Trade Finance and Project & Infrastructure Finance departmental officers with the assistance of Legal officers/ES expert/Manager/Coordinator shall ensure inclusion of appropriate E&S covenants and ESAP clauses in the Facility Agreement (or equivalent instrument) in line with the Term Sheet and the recommendation of TDB's Committees (OTC, CC, INVESTO). E&S</p>	<ul style="list-style-type: none"> ▪ Appendix 3: Clause for General Investment Agreements ▪ Appendix 10: Major Incident Report

INVESTMENT CREDIT CYCLE	E&S RISK ASSESSMENT STAGE	E&S PROCEDURES/OUTCOME/ROLES AND RESPONSIBILITIES	TEMPLATES/TOOLS/ REPORTS
		<p>clauses shall cover E&S reporting and monitoring requirements, and actions to be taken when in breach as may be advised by the E&S expert(s).</p> <p>The Agreement shall <i>inter alia</i> include in annexure the following formats to be filled by the client when necessary:</p> <ul style="list-style-type: none"> ▪ E&S Action Plan (Appendix 11); ▪ Semi-Annual E&S Monitoring Report (Appendix 12); ▪ Major Incident Report (Appendix 10) 	<ul style="list-style-type: none"> ▪ Appendix 11: Action Plan ▪ Appendix 12: Semi-Annual E&S Monitoring Report
PROJECT IMPLEMENTATION AND MONITORING		<p>1. With regards to project monitoring post investment, Trade Finance and Portfolio Management departmental officers with the assistance of Legal officers and/or Compliance Officer shall make sure that:</p> <ul style="list-style-type: none"> ▪ Conditions precedent to the first disbursement with respect to E&S covenants are met, in particular the issuance of environmental permitting agency ▪ E&S requirements are included in all contracts with Client, their developers and third-party contractors; ▪ Client has appropriate insurance policies in place; ▪ Client's compliance with the government and local government requirements, as well as the E&S policies; ▪ Adequate resources are committed to allow effective and appropriate implementation of the ESMS at client level; ▪ Appropriate action is taken on complaints, orders, directives, claims, citations or notices from any authority under any 	<ul style="list-style-type: none"> ▪ Appendix 10: Major Incident Report ▪ Appendix 11: Action Plan ▪ Appendix 12: Semi-Annual E&S Monitoring Report ▪ Appendix 13: Annual Environmental and Social Performance Report

INVESTMENT CREDIT CYCLE	E&S RISK ASSESSMENT STAGE	E&S PROCEDURES/OUTCOME/ROLES AND RESPONSIBILITIES	TEMPLATES/TOOLS/ REPORTS
		<p>applicable law or local requirements;</p> <ul style="list-style-type: none"> ▪ On-going stakeholder engagement is performed and that a grievance mechanism for affected communities is maintained and that all grievances are dealt with accordingly. <p>2. With regards to Reporting, Trade Finance and Portfolio Management departmental officers with the assistance of E&S Coordinator and Manager shall ensure that, the client is adhering to the ESMS in line with covenants in the Facility Agreement and submits to the Bank a Semi-Annual E&S Monitoring Report (Appendix 12).</p> <p>3. E&S Coordinator and Manager are responsible for the preparation and completion of an Annual Environmental and Social Performance Report (Appendix 13). The outcome including a summary of the impacts shall be incorporated in the TDB's Annual Reports, where applicable.</p>	
PROJECT COMPLETION/EXIT		<p>Investment completion reviews the performance of the investment against the loan agreement. The aim is to generate lessons learnt which find their way into a consolidated report on key learning experiences and recommendations for consideration in future interventions. The inclusion of the External E&S Expert in post-project evaluation is recommended for Category 1 and Category 2 projects.</p>	<ul style="list-style-type: none"> ▪

SECTION 5:PROJECT COMPLIANCE MONITORING AND REPORTING

5.1 COMPLIANCE MONITORING

From the first disbursement and during the operational phase of the investment, TDB's Portfolio Management Department (PMD) and Trade Finance (TF) Department monitors the progress and performance of the investment in line with the loan agreement. Monitoring among other issues, aims to ensure that the client complies with the environmental and social (E&S) conditions stipulated in the loan agreement and ensure ongoing compliance with the national and local legal requirements within the host country and where applicable international best practices.

Monitoring also ensures that the action plan and mitigation and management measures identified in the E&S appraisal are implemented and where the recommended management measures are ineffective or adequate, corrective alternatives are implemented. In addition, TDB's PMD and TF teams provide assistance in building institutional capacity of the client with regards to E&S performance of the project.

E&S conditions at the project level will be captured and monitored by the use of TDB's defined reporting tools, including the following:

- Major Incidents Reporting Form (Appendix 10);
- Semi-Annual E&S Monitoring Report (Appendix 12);
- Annual Environmental and Social Performance Monitoring Report (Appendix 13) ;
- Annual Development Effects Report ¹;
- Project E&S Information Checklist for Handover to PMD (Appendix 17); and
- Grievance Log Form (Appendix 18).

- Annual Environmental and Social audit Report based on PS Guidance Notes for PS1-PS8 (Appendix 19)- by both internal and independent external experts/specialist

- Annual ESMS review and self-assessment (Appendix 20)- by both internal and independent external experts/specialist

- Environmental and Social Management System (ESMS) Implementation Handbook – GENERAL (Appendix 21)

¹ Please note this document was not part of the Appendices of the ESMS version provided for ERM review and use

The forms and reports listed above are to be completed by the Client at the project level. Together with the internal supervision reports prepared by the Bank's Officers, the E&S status of TDB financed projects are compiled and to be further reported. TDB will then report on post investment ESMS activities on projects in accordance with internal obligations and the requirements of its stakeholders/lines of credit. The risk rating will be updated based on findings of the E&S monitoring reports.

The following reporting tools will be used to monitor E&S situations at various stages of the investment.

5.1.1 Reporting on Major Incidents

Within 24 hours of their occurrence, the Client SEMS representative will be required to provide reports to TDB for further reporting to the Lenders on significant incidents which have, or could potentially have material impacts on the client's operations, the welfare of employees, contractors or members of the public, or the environment, including, but not limited to:

- Fires or explosions.
- Significant fuel/chemical spills.
- Significant pollution discharges above limits of normal operation.
- Major work-related injuries (including injured employees, contractors and members of public).
- Work-related fatalities (including deaths of employees, contractors and members of public).
- Incidents significantly affecting the health of employees, contractors or members of public).
- Regulator enforcement actions/notices.
- Major security breaches.
- Strikes or employee unrest.
- Incidents requiring operations to be substantially curtailed or shut-down; and
- Significant community unrest or public relations incidents.

Clients should use the Major Incident Reporting Form (Appendix 10) to report incidents and detail what actions have been taken to remedy the situation to TDB.

Based on the information garnered from the Major Incident Reporting Form (Appendix 10), TDB will notify in writing the lenders (providers of that specific credit line) of the incident.

5.1.2 Project E&S Information Checklist

The Clients are required to complete a Project E&S Information Checklist for every project prior to handover to the Bank. The checklist consists of a brief description of the intended project, environmental and social categorization, and a list of documents in accordance to the project category required to be provided to the PMD.

A template for the Project E&S Information Checklist for Handover to PMD is attached in Appendix 17.

5.1.3 Grievance Log

Following the grievance procedure established by the Bank, Clients will develop a grievance procedure to ensure that all grievances raised by external stakeholder groups will be logged. External stakeholders include affected communities, local government authorities, non-governmental and other civil society organizations, local institutions and other interested or affected parties.

In accordance to the TDB's grievance procedure, all grievance shall be forwarded to the owners of the grievance procedure within the Client Company (expected to be the SEMS Officer), who will log the grievance using the official Grievance Log Form and ensures that actions are taken to address the grievance. All grievances shall be resolved in the shortest time possible. The Client SEMS Officer shall monitor the progress of the resolution of each grievance should be tracked in terms of timeframes, responsible parties and actions. Grievances should be monitored through follow up contact for at least 28 days following the resolution of the grievance.

The Client SEMS Officer will compile concise quarterly and annual reports of all grievances logged, results of these activities and grievances, and monitoring of the success of the stakeholder engagement and grievance resolution process. This will be made available for internal reporting to TDB's SEMS Manager and SEMS Officer.

A template for the Grievance Log Form is attached in Appendix 18.

5.1.4 Semi-Annual Reporting

The E&S coordinator will be responsible for compiling the semi-annual reports, which must detail all ESMS processes and changes enacted during the period. Should it not be feasible to compile a semi-annual report, a reason shall be provided for this and agreed with TDB and an annual report will be required. The reports must describe possible foreseeable risks and possible implementation of E&S standards during the investment. The report findings will be reported to the CRMD who will then report to TDB's Board of Directors, when necessary.

A template for semi-annual reporting is attached in Appendix 12.

5.1.5 Annual Reporting to Investors

TDB will report to the lenders and shareholders through an annual E&S Performance Monitoring Report and Development Effects Report within 90 days of the end of the financial year. The above reporting steps will afford TDB an opportunity to review or adjust the E&S Policy and reporting procedures and identify areas for improving their implementation as necessary.

This will include reporting on the following:

- Implementation and operation of the ESMS.
- E&S performance of the Clients.
- Status of Clients respective E&S Action Plans (if applicable).

A template for semi-annual reporting is attached in Appendix 13.

5.1.6 Completion/Exit

Investment completion reviews the performance of the investment against the loan agreement. The aim is to generate lessons learnt which find their way into a consolidated report on key learning experiences and recommendations for consideration in future interventions. The inclusion of the environmental specialist in post-project evaluation is highly recommended for Category 1 and Category 2 projects.

5.1.7 Summary of Reporting Requirements

A summary of E&S risk assessment to be conducted and reports to be written and submitted at each stage are as follows:

Report	Author	Stage	Purpose	Template
Reporting on Major Incidence	Client SEMS Officer	Post Investment and in case of Emergency/ Incidents	Report accidents or injuries that have occurred at a project.	Appendix 10
Project E&S Information Checklist	Client SEMS Officer	Prior to project handover to the Bank	Environmental and social categorisation and identification of necessary project documents.	Appendix 17
Grievance Reporting procedure /	Client SEMS Officer	Within 5 days of receipt of the grievance, if it is assessed	Report grievances raised by external stakeholders	Appendix 18

Grievance Log		to be Level 2 or Level 3 as per Appendix 18.		
Semi-annual Report	Client SEMS Officer	Post Investment	Report on quarterly progress of the project; to provide TDB with synopsis of the project's compliance.	Appendix 12
Annual Report	Client SEMS Officer & TDB's SEMS coordinator	Post Investment	Evaluate annual performance on E&S compliance; provide ESG evaluation on the project.	Appendix 13

SECTION 6: AWARENESS AND TRAINING

The tables below show typical E&S training requirements for TDB employees. These may be amended based on the E&S requirements. A comprehensive training for employees of the Bank will be undertaken on the updated ESMS and will involve key departmental employees. Training will cover the ESMS application to particular projects or investment as well as cover the content of any lines of credit investment agreements and side letters.

Table 6.1: General TDB Staff Training Requirements

General TDB staff	Detailed training content	Frequency	Expected benefits (including Certificate)	Examples of training provider
Internal Training	<p>The training content should include as a minimum the following:</p> <ul style="list-style-type: none"> ▪ TDB environmental policy ▪ TDB's SEMS and other E&S guideline documents ▪ Environmental awareness and management ▪ Pollution prevention and management (air, 	Bi annual	<ul style="list-style-type: none"> ▪ General environmental awareness within TDB staff. ▪ E&S awareness to be included as part of the induction of new staff. 	Internal (ESMS Manager and Coordinator)

	<p>water, soil, waste, noise etc.)</p> <ul style="list-style-type: none"> ▪ Management of cultural resources ▪ Hazardous materials ▪ Management ▪ Waste and wastewater ▪ Introduction to environmental legal compliance 			
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Table 6.2: Departmental Champions Training Requirements

E&S Departmental Staff/Champions	Detailed training content	Frequency	Expected benefits (including Certificate)
Certificate E&S Training	<p>Training should cover the following topics:</p> <ul style="list-style-type: none"> ▪ Introduction to environmental assessment and management ▪ Introduction to environmental law ▪ Sustainable development ▪ Case studies in environmental and social issues such as: <ul style="list-style-type: none"> – Land management – Pollution – Water management – Biodiversity – Coastal and marine management – Human settlements – Environmental health – Energy – E&S technology solutions – Natural disasters and environmental performance – Gender and non-discrimination – Labour practices 	Annually	<ul style="list-style-type: none"> ▪ One or two week certificate course. ▪ Basic requirements for E&S identification and management in line with the ESMS.
E&S and ESMS training	<ul style="list-style-type: none"> ▪ Review the ESMS requirements and the tools used to ensure compliance with the ESMS. 	Annually after ESMS review	<ul style="list-style-type: none"> ▪ ESMS contents, operating procedures and

	<ul style="list-style-type: none"> ▪ Environmental reporting 		<p>TDB commitments with regards to E&S management.</p> <ul style="list-style-type: none"> ▪ Advanced training on E&S to provide input into the implementation and management of the ESMS. ▪ Understand the lessons learnt from previous experiences and the improvements in the ESMS and way to achieve better performance.
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Table 6.3: E&S Manager and Coordinator Training Requirements

ESMS Manager and Coordinator	Detailed training content	Frequency	Expected benefits (including Certificate)
E&S Comprehensive training	<ul style="list-style-type: none"> ▪ Introduction to environmental and social management ▪ Environmental and social framework legislation and corporate governance ▪ Environmental management systems and instruments ▪ Pollution prevention, management and resource productivity ▪ Monitoring, auditing and state of the environment reporting ▪ Sustainability ▪ Stakeholder consultation and public participation processes ▪ Environmental impact assessments including: <ol style="list-style-type: none"> 1. International perspectives on Environmental Assessment (EA) 2. Legal mandate for EIA 3. Comparative legal requirements for the region and EIA case law 4. EIA process, cost and techniques 	Every two years	<ul style="list-style-type: none"> ▪ Comprehensive understanding of E&S issues that may impact on TDB's operations ▪ Expected outcomes include obtaining a Certificate or diploma in environmental management

ESMS Manager and Coordinator	Detailed training content	Frequency	Expected benefits (including Certificate)
	<ol style="list-style-type: none"> 5. Quality and effectiveness of EIA reports and processes 6. EIA and the planning interface 7. EIA and decision making 8. Integrated Development Planning 9. Land Use Management 10. Project E&S Life Cycle Assessment (LCA) 11. Strategic Environmental Assessment (SEA) 12. Social Impact Assessment (SIA) <ul style="list-style-type: none"> ▪ Geographic information systems ▪ Sector specific impact assessments ▪ Climate change ▪ Development financial institutions environmental management frameworks and standards ▪ Equator Principles 		

TDB Directors	Training content	Frequency	Expected benefits	Examples of training provider
Internal Training	<p>The training content should include:</p> <ul style="list-style-type: none"> ▪ TDB's SEMS and other E&S guideline documents ▪ Environmental awareness and management 	Once every two years.	<ul style="list-style-type: none"> ▪ General environmental awareness within TDB's Bank Directors. ▪ E&S awareness to be included as part of the induction of new Directors. 	Consultant who reviews TDB's ESMS.

SECTION 7: ESMS REVIEW

This ESMS will be reviewed periodically by TDB and will be informed by lessons learned across the portfolio as well as other good practices that TDB becomes aware of. This review will include a review of the Appendices. The review will continuously track emerging E&S risks that may affect the Banks activities in the future and ensuring they are incorporated into the ESMS.

A review of the ESMS may also be triggered by any change in the scope of the Shareholders Charter, any change in the operations which introduce or changes any material environmental, social or occupational health and safety risk, any failures of this ESMS to appropriately manage E&S risks to the satisfaction of the Lenders or change in TDB's E&S Policies.

TDB will inform the Lenders and shareholders of significant proposed changes

SECTION 8: STAKEHOLDER ENGAGEMENT

Stakeholder engagement measures will work pro-actively towards developing and fostering positive relationships between the Client and stakeholders, particularly those directly affected by the project activities. Stakeholder engagement will aim to:

- Provide stakeholders with project information at appropriate times and in accessible forms;
- Communicate planned project phases, developments and changes to all stakeholders in good time (e.g. opening of new operations);
- Involve stakeholders in project decision-making that will affect/influence their lives;
- Enhance stakeholders' capacity to identify unanticipated projects impacts, and to be able to communicate these to the Client such that they can be resolved;
- Assist affected people in adapting to the social and economic changes brought about by the Project through information and participation;
- Ensure that stakeholders can report concerns and grievances easily;

The management of impacts through stakeholder engagement can be divided into two main strategies.

- Proactive engagement where portfolio company goes out to stakeholders to elicit their involvement and to share information in order to address issues that may be of concern prior to their arising. This process is ongoing throughout the project implementation.

- Reactive engagement i.e. responding to concerns or grievances raised by stakeholders in a coherent and predetermined manner. This approach is facilitated through the establishment of a Grievance Procedure as described below.

SECTION 9: DISCLOSURE OF INFORMATION

Disclosure of relevant project information helps Affected Communities and other stakeholders understand the risks, impacts and opportunities of the project. The client will provide Affected Communities with access to relevant information on:

- (i) the purpose, nature, and scale of the project;
- (ii) the duration of proposed project activities;
- (iii) any risks to and potential impacts on such communities and relevant mitigation measures;
- (iv) the envisaged stakeholder engagement process; and
- (v) the grievance mechanism.

SECTION 10: GRIEVANCE PROCEDURE

Stakeholder engagement measures will work pro-actively towards identifying and addressing E&S issues before they become grievances. However, when grievances are reported they need to be addressed in a consistent and verifiable manner as part of the implementation of the ESMS. For this reason a Grievance Procedure needs to be followed to:

- Enable stakeholders to easily identify and report any grievance regarding the project's performance; and
- Ensure that, through a defined process and within a predictable timeframe, stakeholders receive a response and/or resolution to the grievance.

A grievance is when stakeholders report a complaint or what they perceive to be poor performance linked to an operation within a Client company, with the expectation of an explanation, or a change to the activity that has caused the grievance, or redress/compensation.

The Grievance Procedure (Appendix 18) should be followed for all grievances relating to Client companies as a whole, as well as any issues related to any potential resettlement and rehabilitation.

CONCLUSION

TDB recognises that E&S issues should be given early consideration prior to investment (commitment). The foregoing procedures should reduce E&S risk of unexpected impacts and should assist in ensuring the following.

- Ensuring that for each potential deal, TDB is convinced that the E&S assessment and due diligence made during the pre-investment period are accurate to demonstrate the nature and level of risk to make the Bank comfortable to make a decision from an E&S perspective.
- The Client is complying with at least the local and national environmental, social and labour regulations, and with TDB'S ESMS.
- The client must be at least sensitive to the impact of the environment on sustainable development and profitability.

The implementation of this ESMS will ensure that TDB's E&S performance is safeguarded, strengthened, made more effective, brought in line with international best practice and ensure adherence to lenders requirements.

APPENDICES

APPENDIX 1: EXCLUSION LIST

TDB will not finance directly or any project, infrastructure or trade finance activity involving:

1. Production or trade in military arms, weapons and ammunitions
2. Production or trade in any product or activity deemed or legislated as in a member state deemed or legislated as illegal (i) in that state, or (ii) under regulations or international conventions and agreements of general application, or subject to international **phase-outs** bans, including but not limited to certain pharmaceuticals, pesticides/herbicides, ozone depleting substances and Polychlorinated Biphenyls (PCBs).
3. **Production of, use of, or trade in, unbonded asbestos fibers².**
4. Areas gazetted by host countries through national or international legislation and deemed to have a high biodiversity and/or cultural value, or any other activities that leads to substantial destruction of the environment.
5. Production or use of or trade in hazardous materials such as radioactive materials. This does not apply to the purchase of medical equipment, quality control (measurement) equipment and any equipment where TDB considers the radioactive source to be trivial and/or adequately shielded.
6. Production or trade in wildlife or wildlife products regulated under CITES
7. Gambling, casinos and equivalent enterprises.
8. Production or trade in alcoholic beverages (excluding beer and wine)
9. Production or trade in tobacco (where tobacco products from part of a substantial³ part of a project's primary financed business activities)
10. Production or trade in radioactive materials. This does not apply to the purchase of medical equipment, quality control (measurement) equipment and any equipment where IFC considers the radioactive source to be trivial and/or adequately shielded.
11. Production or activities involving harmful or exploitative forms of forced labour/harmful child labour.
12. Production or activities that impinge on the lands owned, or claimed under adjudication, by Indigenous Peoples, without full documented consent of such peoples
13. Prostitution and/or Pornography
14. Projects involved in the conversion or degradation of Critical Forest Areas
15. Projects Impacting upon World Heritage sites
16. Projects Impacting upon UN listed protected areas and natural parks
17. Unsustainable fishing methods (e.g. Blasting and drift net fishing in marine environment using nets in excess of 2.5 KMs in length)

² This does not apply to purchase and use of bonded asbestos cement sheeting where the asbestos content is less than 20%.

³ For financial institutions and investment funds, 'substantial' means more than 10% of their underlying portfolio volumes.

A reasonableness test will be applied when the activities of the project company would have a significant development impact but circumstances of the country require adjustment to the Exclusion List.

APPENDIX 2: CLAUSE FOR PRE-INVESTMENT AGREEMENTS

“When a prospective investment opportunity is proposed for financing, TDB conducts a social and environmental review as part of its overall due diligence. This review will be appropriate to the nature and scale of the investment, and commensurate with the level of social and environmental risks and impacts.

The purpose of the review is to ensure that the Client conforms to TDB's Social and Environmental, Management System, [including related to prevention of sexual exploitation and abuse and sexual harassment in TDB-funded projects](#). TDB's social and environmental review which shall form an integral part of TDB's overall appraisal of the development, including the evaluation of financial risks.

To conduct its review, TDB may request development-specific information be provided. This information will be treated as confidential in accordance with the terms of this agreement.

TDB does not finance any new business activity that cannot be expected to meet with these requirements over the life of the investment.”

APPENDIX 3: GENERAL INVESTMENT AGREEMENT CLAUSES

TDB undertakes to incorporate *inter alia*, the following terms or other terms that shall have similar effect into its investment agreements:

1. The Client has not received nor is it aware of any existing or threatened complaint, order, directive, claim, citation or notice from any authority under applicable *[specify country]* law and local requirements which has, or could reasonably be expected to have, a material adverse effect or any material impact on the implementation or operation of the development;
2. The Client shall design, construct, operate, maintain and monitor the project in compliance with the Government of *[specify country]* and local requirements, as well as TDB's ESMS;
3. The Client shall use all reasonable efforts to ensure the E&S performance of the project is in compliance with the reference framework of art.11 ;
4. [The Client shall Implement the mitigation and management measures specified in the Environmental and Social Action Plan including those related to SEA and SH \[Specify action plan measures\]](#)
5. [The Client shall ensure that all the bidding documents and contracts for works or non-consulting services under the Project require that the contractor, sub-contractor or consultant adopt a code of conduct that shall be provided to and signed by all workers, as applicable to such works or non-consulting services commissioned or carried out pursuant to said contracts, which shall, inter alia, cover sexual exploitation and abuse and sexual harassment, along with an action plan designed to effectively implement said code of conduct, including appropriate training on said code of conduct.](#)

6. The Client shall not employ or make use of forced labour; shall not employ or make use of child labour; shall not discriminate in terms of recruitment, progression, terms and conditions of work and representation on the basis of personal characteristics unrelated to inherent job requirements, including gender, race, colour, caste, disability, political opinion, sexual orientation, age, religion, social or ethnic origin, marital status, membership of workers' organisations, legal migrants, or HIV status;
7. The Client shall pay wages which meet or exceed industry or legal national minima and provides reasonable working conditions including a safe and healthy work environment, working hours that are not excessive and clearly document terms of employment; and in situation where workers are employed in remote locations for extended periods of time to ensure that such workers have access to adequate housing and basic services;
8. The Client shall adopt an open attitude towards workers' organisation and respect the right of all workers to join or form workers' organisations of their own choosing, to bargain collectively and to carry out their representative functions in the workplace.
9. The Client shall provide an appropriate grievance mechanism that is available to all workers and where appropriate other stakeholders.
10. The Client shall Implement the mitigation and management measures specified in the Environmental and Social Action Plan [Specify action plan measures];
11. Within [30] days after the end of each Financial Year/Half Year, the Client shall deliver to TDB the Annual/Semi-Annual Monitoring Report consistent with the requirements of this Agreement confirming compliance with the Action Plan, the social and environmental covenants or, as the case may be, identifying any non-compliance or failure, and the actions being taken to remedy any such deficiency;
12. Within three (3) days after its occurrence, the Client shall notify TDB of any social, labour, health and safety, security or environmental incident, accident or circumstance having, or which could reasonably be expected to have, any material impact on the implementation or operation of the project in compliance with TDB's Social and Environmental Policy or a Material Adverse Effect, specifying in each case the nature of the incident, accident, or circumstance and the impact or effect arising or likely to arise, and the measures the Client is taking or plans to take to address them and to prevent any future similar event; and keep TDB informed of the on-going implementation of those measures.
13. The client will comply with international standards and conventions for the protection of the environment and labour laws (including Occupational Health & Safety) according to the International Labor Organization (ILO), the International Finance Corporation's Performance Standards 1 to 8 and relevant World Bank EHS Guidelines) in accordance with the applicable laws and regulations of the country in which the Project is being implemented.

APPENDIX 4: TDB'S E&S CATEGORISATION GUIDELINES

INTRODUCTION

TDB as a Pan African institution that is keeping pace with the development of international best practice has developed these guidelines to assist with the appraisal of projects from an environmental and social (E&S) perspective. Globally, International Development finance institutions, such as the World Bank and its private sector arm, the IFC, have been key in driving the development of best practices with respect to E&S risk assessment and management disciplines. As a result, the different environmental assessment policies and procedures that many financial institutions apply and implement in their operations are underpinned by the same framework. However, the support mechanisms required for the implementation of the environmental assessment procedures tend to vary.

These guidelines are intended to be a guiding tool for TDB to identify and address key E&S challenges when undertaking its activities. These challenges are:

- Land degradation and loss of biodiversity.
- Depletion of non-renewable resources;
- Climate change;
- Air pollution;
- Water availability and quality;
- Human rights and vulnerability;
- Employment and working conditions;
- Occupational health and safety;
- Involuntary resettlement; and
- Production and disposal of waste.

The E&S guidelines below describe the project appraisal process and in particular the categorisation of projects based on potential E&S risks that can be associated with the project.

ENVIRONMENTAL AND SOCIAL APPRAISAL PROCESS

The environmental appraisal process being primarily a qualitative assessment involves planning, gathering and validating information, evaluating the information, and reporting on the appraisal results in order to make the investment decision. TDB's appraisal process through which applications or requests for financial assistance are processed and products and services are rendered can be divided into six steps namely:

- New deal receipt;
- Project screening and categorization;
- Project appraisal and Investment review and decision;
- Development of covenants;

- Portfolio management; and
- Project completion/ exit.

CATEGORISATION GUIDELINES

Project categorisation will start with the completion of the checklist below to identify potential E&S risks and impacts.

E&S Risk Identification Checklist

The checklist below will be used to identify E&S impacts anticipated that are associated with a project. The checklist captures temporary, permanent, short- and long-term impacts.

Project aspects	Yes/No/N.A	Description of the issue:
Is the project area in or close to -		
▪ densely populated area		
▪ cultural heritage site		
▪ protected area		
▪ wetland		
▪ mangrove		
▪ estuarine		
▪ buffer zone of protected area		
▪ special area for protection of biodiversity		
▪ Will project require temporary or permanent support facilities?		
▪ Will project cause any loss of precious ecology, ecological, and economic functions due to construction of infrastructure?		
▪ Are ecosystems related to project fragile or degraded?		
▪ Will project cause impairment of ecological opportunities?		

Project aspects	Yes/No/N.A	Description of the issue:
<ul style="list-style-type: none"> ▪ Will project cause increase in peak and flood flows? (including from temporary or permanent waste waters) 		
<ul style="list-style-type: none"> ▪ Will project cause air, soil or water pollution? 		
<ul style="list-style-type: none"> ▪ Will project cause soil erosion and siltation? 		
<ul style="list-style-type: none"> ▪ Will project cause increased waste production? 		
<ul style="list-style-type: none"> ▪ Will project cause Hazardous Waste production? 		
<ul style="list-style-type: none"> ▪ Will project cause threat to local ecosystems due to invasive species? 		
<ul style="list-style-type: none"> ▪ Will project cause Greenhouse Gas Emissions? 		
<ul style="list-style-type: none"> ▪ Will project cause use of pesticides? 		
<ul style="list-style-type: none"> ▪ Does the project encourage the use of environmentally friendly technologies? 		
<ul style="list-style-type: none"> ▪ Other environmental issues, e.g. noise and traffic 		
<ul style="list-style-type: none"> ▪ Does the project respect internationally proclaimed human rights including dignity, cultural property and uniqueness and rights of indigenous people? 		
<ul style="list-style-type: none"> ▪ Are property rights on resources such as land tenure recognized by the existing laws in affected countries? 		
<ul style="list-style-type: none"> ▪ Will the project cause social problems and conflicts related to land tenure and access to resources? 		
<ul style="list-style-type: none"> ▪ Does the project incorporate measures to allow affected stakeholders' information and consultation? 		
<ul style="list-style-type: none"> ▪ Will the project affect the state of the targeted country's institutional context? 		
<ul style="list-style-type: none"> ▪ Will the project cause change to beneficial uses of land or resources? (including loss of downstream beneficial uses (water supply or fisheries)? 		
<ul style="list-style-type: none"> ▪ Will the project cause technology or land use modification that may change present social and economic activities? 		

Project aspects	Yes/No/N.A	Description of the issue:
<ul style="list-style-type: none"> ▪ Will the project cause dislocation or involuntary resettlement of people? 		
<ul style="list-style-type: none"> ▪ Will the project cause uncontrolled in-migration (short- and long-term) with opening of roads to areas and/or possible overloading of social infrastructure? 		
<ul style="list-style-type: none"> ▪ Will the project cause increased local or regional unemployment? 		
<ul style="list-style-type: none"> ▪ Does the project include measures to avoid forced labour and/or child labour? 		
<ul style="list-style-type: none"> ▪ Does the project include measures to ensure a safe and healthy working environment for workers employed as part of the project? 		
<ul style="list-style-type: none"> ▪ Will the project cause impairment of recreational opportunities? 		
<ul style="list-style-type: none"> ▪ Will the project cause impairment of indigenous people's livelihoods or belief systems? 		
<ul style="list-style-type: none"> ▪ Will the project cause disproportionate impact to women or other disadvantaged or vulnerable groups? 		
<ul style="list-style-type: none"> ▪ Will the project involve and or be complicit in the alteration, damage or removal of any critical cultural heritage? 		
<ul style="list-style-type: none"> ▪ Does the project include measures to avoid corruption? 		
<ul style="list-style-type: none"> ▪ Does national regulation in affected country require Environmental Impact Assessment and/or Social Impact Assessment for this type of activity? 		
<ul style="list-style-type: none"> ▪ Is there national capacity to ensure a sound implementation of EIA and/or SIA requirements present in affected country? 		
<ul style="list-style-type: none"> ▪ Is the project addressing issues, which are already addressed by other alternative approaches and projects? 		
<ul style="list-style-type: none"> ▪ Will the project components generate or contribute to cumulative or long-term environmental or social impacts? 		
<ul style="list-style-type: none"> ▪ Is it possible to isolate the impact from this project to monitor E&S impact? 		

Project Categories

Investments will fall into the following any of the four categories listed below:

Category 1

The project is likely to have significant adverse environmental impacts that are sensitive, diverse or unprecedented. A potential impact is considered "sensitive" if it may be irreversible (e.g., lead to loss of a major natural habitat), affect vulnerable groups or ethnic minorities, involve involuntary displacement and resettlement, or affect significant cultural heritage sites. A full Environmental Impact Assessment (EIA) is required.;

Category 2

The project may result in specific environmental impacts, but these impacts are site specific and few if any of them are irreversible. In most cases mitigation measures are predetermined Performance Standards, Guidelines, or design criteria. Potential adverse environmental impacts on human populations or environmentally important areas are less adverse than those of Category 1 projects. Although a full EIA is not required, environmental assessment focusing on the anticipated impacts is required.

Category 3

The project is likely to have minimal or no adverse environmental impacts. No further environmental assessment is required.

Category 4

The project involves investment of funds through a financial intermediary in subprojects that may result in adverse environmental impacts, or the FI has operations which may have adverse environmental impacts (e.g. project finance). Verification that the project sponsor is capable of and committed to conducting environmental review of projects and managing relevant operations to ensure that financed projects meet certain environmental requirements is required.

This category is further divided into:-

- *FI-1:*
When an FI's existing or proposed portfolio includes, or is expected to include, substantial financial exposure to business activities with potential significant adverse environmental or social risks or impacts that are diverse, irreversible, or unprecedented.
- *FI-2:*
When an FI's existing or proposed portfolio is comprised of, or is expected to be comprised of, business activities that have potential limited adverse environmental or social risks or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures; or includes a very limited number of business activities with potential significant adverse environmental or social risks or impacts that are diverse, irreversible, or unprecedented.

- *FI-3:*
When an FI's existing or proposed portfolio includes financial exposure to business activities that predominantly have minimal or no adverse environmental or social impacts.

The tables below should be used to categorize a project based on the completed initial E&S identification checklist.

CATEGORY 1 REQUIREMENTS

INITIAL SCREENING QUESTIONS	PROJECT EXAMPLES	RESPONSE	CATEGORISATION	POTENTIAL E&S RISKS
<p>Will the investment involve any of the following:</p> <ul style="list-style-type: none"> ▪ Highly polluting industries, such as large factories, oil and gas extraction and refineries. ▪ Activities which affect the natural environment, for example mining, large scale agribusiness, forestry and construction of new infrastructure. ▪ Resource intensive industries, including cement plants and aluminium smelters. ▪ Businesses which use low skilled workers such as textile production, mining, agribusiness and forestry, in countries with weak labor legislation. ▪ Businesses which involve workers handling hazardous substances, for example mining, large scale agribusiness and chemical factories. ▪ Businesses which can pose health and safety dangers for consumers, such as pharmaceuticals and food producers. 	<ul style="list-style-type: none"> ▪ Large dams and reservoirs ▪ Forestry (large scale) ▪ Agro-industries (large scale) ▪ Industrial plants (large-scale) ▪ Major new industrial estates ▪ Extractive industries, including mining, major oil and gas ▪ Developments and major pipelines ▪ Large ferrous and non-ferrous metal operations ▪ Large port and harbor developments ▪ Developments with large resettlement components ▪ Large thermal and hydropower development ▪ Projects that include the manufacture, use or disposal of ▪ Environmentally significant quantities of pesticides or herbicides ▪ Manufacture, transportation and use of hazardous and / or toxic materials ▪ Domestic and hazardous waste disposal operations ▪ Any projects which pose serious health and safety risks ▪ Any projects which pose serious socio-economic concerns 	<p>YES</p>	<p>CATEGORY 1</p>	<ul style="list-style-type: none"> ▪ Non-compliance with local and/or international environmental legislation. ▪ Alteration and/or destruction of ecosystem ▪ Involuntary resettlement ▪ Lack of appropriate and commensurate compensation for resettled peoples ▪ Degradation/destruction of critical cultural heritage ▪ Lack of free prior informed consent from project effected indigenous peoples ▪ Lack of appropriate E&S risk identification and management processes ▪ Employee exposure to hazardous working conditions and lack of appropriate occupational health and safety measures ▪ Contamination of water, soil and air from storage, handling and transport of hazardous materials (e.g. petrol, diesel and damaged goods) ▪ Impact of water abstraction on surface and groundwater resources, including reduced availability and quality for other users ▪ Waste management, including waste water, hazardous wastes, and general wastes (e.g., construction spoil, waste water, spoilt/ damaged goods, packaging) ▪ Air an noise emissions

				<ul style="list-style-type: none"> In-migration and associated impacts on social dynamics, including risks, such as transmission of HIV/AIDS and pressure on existing services and resources.
		NO or NOT SURE	Check category 2 requirements below.	

CATEGORY 2 REQUIREMENTS

INITIAL SCREENING QUESTIONS	PROJECT EXAMPLES	RESPONSE	CATEGORISATION	POTENTIAL E&S RISKS
<p>Will the investment involve any of the following:</p> <ul style="list-style-type: none"> ▪ Small to medium scale infrastructure such as localised water supply and/or sanitation infrastructure; irrigation and drainage; electrical transmission, rural roads; ▪ Construction/renovation/refurbishment/demolition of any building for example: schools, hospitals or public buildings; ▪ Localised use of natural resources, including small-scale water diversion, agriculture, or other types of land-use change; ▪ Education institutions; ▪ Information, communication and technology infrastructure development; ▪ Transport and Logistics; ▪ Hospitality and tourism; 	<ul style="list-style-type: none"> ▪ Agro-industries (small scale) ▪ Electrical transmission ▪ Aquaculture ▪ Renewable energy (except large hydroelectric power projects) ▪ Tourism (including hotel projects) ▪ Rural water supply and sanitation ▪ Rehabilitation, maintenance and modernization projects (small scale) ▪ Manufacture of construction materials ▪ General and light manufacturing ▪ Telecommunications 	<p>YES</p>	<p>CATEGORY 2</p>	<ul style="list-style-type: none"> ▪ Lack of appropriate E&S risk identification and management processes ▪ Lack of policy that defines the organisation's E&S goals and objectives ▪ Lack of designated responsibility within the organisation to manage E&S risks ▪ Lack of Emergency Preparedness and Response Plans and Procedures ▪ Lack of stakeholder engagement and external communications and grievance mechanisms ▪ Non-payment of minimum wages ▪ Lack of labour contracts ▪ Employee exposure to hazardous working conditions. ▪ Non-compliance with occupational health and safety laws and regulations

<ul style="list-style-type: none"> ▪ Small to medium scale renewable energy projects; ▪ General and light manufacturing; ▪ The project will expose workers or the community to occupational, health, security and safety risks; ▪ Biodiversity impacts as a result of the projects supply chain; ▪ Air and noise emissions; ▪ Has potential for limited environmental or social impacts that are readily identified and for which mitigation and management measures are known and available; ▪ Does not require extensive stakeholder participation in design and implementation; ▪ Occupational health, security and safety risks and impacts; ▪ In-migration and associated impacts on social dynamics, including risks, such as transmission of HIV/AIDS and pressure on existing services and resources; 	<ul style="list-style-type: none"> ▪ Greenfield projects in existing industrial estate 			<ul style="list-style-type: none"> ▪ Contamination of water, soil and air from storage, handling and transport of hazardous materials (e.g. petrol, diesel and damaged goods) ▪ Waste management, including waste water, hazardous wastes, and general wastes ▪ Air and noise emissions ▪ Armed Security personnel compliance with human rights ▪ In-migration and associated impacts on social dynamics, including risks, such as transmission of HIV/AIDS and pressure on existing services and resources. ▪ Lack of skills development amongst the project receiving community ▪ Biodiversity impacts as a result of the projects supply chain
		<p>NO or NOT SURE</p>	<p>Check Category 3 requirements.</p>	

CATEGORY 3 REQUIREMENTS

INITIAL SCREENING QUESTIONS	PROJECT EXAMPLES	RESPONSE	CATEGORISATION	POTENTIAL E&S RISKS
<p>Will the investment contribute to, directly or indirectly, or facilitate, activities such as:</p> <ul style="list-style-type: none"> ▪ Trust funds, ▪ Procurement facilities ▪ Co-financing contributions ▪ Support for planning, change to regulatory frameworks, technical advice, training or applied research ▪ Health services projects ▪ Institutional development and capacity building projects ▪ Advisory assignments ▪ Technical assistance ▪ Internal reticulation at existing urban developments 	<ul style="list-style-type: none"> ▪ Advisory assignments ▪ Media and information technology ▪ Life insurance companies ▪ Securities underwriters and broker / dealers ▪ Technical assistance 	YES	CATEGORY 3	<ul style="list-style-type: none"> ▪ Lack of designated responsibility within the organization to manage E&S risks ▪ Lack of Emergency Preparedness and Response Plans and Procedures ▪ Lack of stakeholder engagement and external communications and grievance mechanisms ▪ Lack of labour contracts ▪ Employee exposure to hazardous working conditions and lack of appropriate occupational health and safety measures ▪ Employee skills development ▪ Employment of women and gender equality
	<ul style="list-style-type: none"> ▪ Educational institutions 	NO	Check Category 4 requirements	

CATEGORY 4 - FINANCIAL INTERMEDIARIES

INITIAL SCREENING QUESTIONS	PROJECT EXAMPLES	RESPONSE	CATEGORISATION
<p>The financial intermediary should address the following questions:</p> <ul style="list-style-type: none"> ▪ Has an environmental review of the proposed investment already been, or will be completed by TDB? ▪ Does this investment need to meet any national environmental standards or requirements? 	<p>The level of environmental and social risk will vary greatly for different types of financial transactions and by industry sectors. It can also be determined by factors such as scale and location and magnitude of potential environmental and social impacts.</p>	<p>The financial institution should develop an E&S risk categorization system to assign an E&S risk category to every transaction in a systematic and consistent manner. A typical system includes three environmental and social risk categories, designated as high, medium and low risk (or other similar terms such as TDB categorisation 1, 2 and 3 detailed above) representing different risk levels</p>	<p>Categorisation by the financial intermediary is dependent on the risk and impact levels.</p> <p>The financial intermediary should submit an annual report to TDB addressing their exposure to environmental and social risks</p>

APPENDIX 5: TDB'S E&S RISK RATING MATRIX

TDB has developed the E&S risk rating matrix below to provide guidance on the requirements to ensure that project appraisal are undertaken to identify and rate inherent E&S risks that may be associated with a potential project. The matrix provides guidelines on rating impacts during the review of E&S information for the purposes of the appraisal and will assist the current staff members undertaking project appraisal and categorisation to rate E&S impacts according to their anticipated significance.

E&S Risk Rating Matrix

- **Likelihood** - The likelihood variables are determined by the probability of the event to occur and were based on past experience at the site with regards to the reported incidents as detailed in Table 1 below:

Table 4: Likelihood rating

A	99% probability, or Impact is occurring now, or Could occur within "days to weeks"
B	>50% probability, or Balance of probability will occur, or Could occur within "weeks to months"
C	>20% probability, or May occur shortly but a distinct probability it won't, or Could occur within "months to years"
D	>5% probability, or May occur but not anticipated, or Could occur in "years to decades"
E	<5% probability, or Occurrence requires exceptional circumstances, or Exceptionally unlikely even in the long term future, or Only occurs as a "100 year event"

- **Consequence** - The consequence variables were determined by the severity of the likely impact and are based on the assessment of residual risks on people, environment and legal compliance as per the rating Table 2 below.

Table 5: Consequence Rating Criteria

RATING	SOCIAL	ENVIRONMENT	LEGAL AND COMPLIANCE
5 - catastrophic	<ul style="list-style-type: none"> • Multiple fatalities or; • Significant irreversible effects to 10's of people. • Massive relocation of indigenous communities and minority groups that will irreversibly affect their livelihoods • High profile community concern raised requiring significant rectification measures. 	<ul style="list-style-type: none"> • Prolonged environmental impact. • Government agency inquiry. • Environmental licenses revoked and directives issued. 	<ul style="list-style-type: none"> • Major litigation costing USD1M+. • Investigation by regulatory body resulting in long term interruption to operations. • Possibility of custodial sentence.
4 - major	<ul style="list-style-type: none"> • Single fatality and/or; • Severe irreversible disability to one or more persons. • Relocation of over 1000 households that will negatively and irreversibly affect their livelihoods. • High potential for complaints from stakeholders and community. 	<ul style="list-style-type: none"> • Measurable environmental harm medium term recovery. • Environmental directives issued by authorities. 	<ul style="list-style-type: none"> • Major breach of regulation with punitive fine.
3 - moderate	<ul style="list-style-type: none"> • Extensive injuries or irreversible disability or impairment to one or more persons. • Long term negative reversible impact on the surrounding host communities. 	<ul style="list-style-type: none"> • Medium term recovery, immaterial effect on environment. • Required to inform Government agency. 	<ul style="list-style-type: none"> • Breach of regulation with investigation or report to authority with prosecution and/or moderate fine possible.
2 - minor	<ul style="list-style-type: none"> • Medium term largely reversible disability to one or more persons. • Significant medical treatment, disabling or lost time injury <2 weeks. • Short term reversible negative impacts on the surrounding communities 	<ul style="list-style-type: none"> • Short term transient environmental impact - some clean-up costs. 	<ul style="list-style-type: none"> • Minor legal issues, non-compliance and breaches of regulation.
1 - insignificant	<ul style="list-style-type: none"> • First aid treatment or minor medical treatment. • Minimal negative impacts on the surrounding communities. 	<ul style="list-style-type: none"> • Negligible impact on the environment, little or no ecological effect and no measurable impact on human health. 	<ul style="list-style-type: none"> • No breach.

Table 3 below shows the risk rating matrix used to determine the significance of the identified risks.

Table 6: Risk rating matrix

		CONSEQUENCE				
		1	2	3	4	5
LIKELIHOOD	Acccb	High (3)	High (3)	Extreme (4)	Extreme (4)	Extreme (4)
	B	Moderate (2)	High (3)	High (3)	Extreme (4)	Extreme (4)
	C	Low (1)	Moderate(2)	High (3)	Extreme (4)	Extreme (4)
	D	Low (1)	Low (1)	Moderate(2)	High (3)	Extreme (4)
	E	Low (1)	Low (1)	Moderate (2)	High (3)	High (3)

The outcome of E&S Risk Rating is an E&S Risk Score which ranges on a scale of 1 (Low Risk) to 4 (Extremely High Risk) as per the above Risk rating matrix combining the Likelihood Rating and the Consequence Rating of the more significant E&S Risk identified during the SEDD. The E&S Risk Score shall be reported in the Template for Final Evaluation and Screening Paper.

APPENDIX 6 (A): TEMPLATE FOR INITIAL EVALUATION AND SCREENING PAPER

PROJECT AND INFRASTRUCTURE FINANCE & TRADE FINANCE DEPARTEMENTS

(To be undertaken at the Deal Origination Stage on receipt of initial project application)

NAME OF THE OFFICER:

1. PROJECT DETAILS

Company Name:	
Sector/Type:	
Project Type:	
Brief Project Description:	

2. FATAL FLAWS ANALYSIS

Topic	Point of Attention	Yes	No
Exclusion List	Does the project belong to the Exclusion List		
Excessive E&S risks	The potential E&S impacts cannot be mitigated reasonably		
Reputational risk	poses a risk of significant reputational risk in national or local media		
Past non-conformance	The project has a history of serious negligent and non-conformance with E&S regulatory requirements		

Recommendation	Consider the project (All the above responses are "No")	Reject the project (at least one of the above responses is "Yes")

3. INITIAL CATEGORIZATION

Social and Environmental Category, Risks and Mitigations	
Recommended Social and Environmental Categorisation	
Social and Environmental Categorisation Rationale	
Initial determination of E&S impacts	
Recommended Mitigations:	

Signature of PIF or TF Officer:

Date:

Signature of E&S Champion:

Date

APPENDIX 6(B): TEMPLATE FOR FINAL EVALUATION AND SCREENING PAPER PROJECT AND INFRASTRUCTURE FINANCE & TRADE FINANCE DEPARTEMENTS

(To be undertake at the Project Appraisal Stage on completion of the project appraisal process and assessment)

NAME OF THE OFFICER:

- PROJECT DETAILS**

Company Name:	
Sector/Type:	
Project Type:	
Brief Project Description:	

- FINAL CATEGORIZATION**

Social and Environmental Category, Risks and Mitigations	
Recommended Social and Environmental Categorisation	
Social and Environmental Categorisation Rationale	
Anticipated E&S impacts	
Recommended Mitigations:	

- Overall E&S Risk Rating**

Describe and rate the more significant risk identified by selecting the appropriate Likelihood, Consequence ratings to determine the E&S Risk Rating Score as per TDB's E&S Risk Rating Matrix (Appendix 5).

E&S Risk Rating for significant risks	Brief description	Likelihood rating (considering recommended mitigation measures)	Consequence rating (considering recommended mitigation measures)	E&S Risk Rating Score (Low, Moderate, High, Extreme)
Impact 1				
Impact 2				
Impact 3				
Impact 4				
Impact 5				
Impact 6				

Determination of overall Project E&S Risk Rating Score (considering recommended mitigation measures)	Overall project E&S rating
If the project has one or more extreme E&S impacts	4
If the project has one or more high E&S impacts but no extreme E&S risks	3
If the project has one or more medium E&S impacts but no high or extreme risks	2
If the project has only low E&S impacts	1

**Signature of PIF or TF
Officer:**

Date:

**Signature of E&S
Manager/Coordinator:**

Date

APPENDIX 7: GUIDE FOR DEVELOPING SEDD TERMS OF REFERENCE

Key considerations	Comment and References
<p>Assessment and Management of Environmental and Social Risks and Impacts</p> <p>Consultant to collate and review all available planning and environmental permits and regulations in order to assess compliance.</p> <p>Consultant to assess company commitment, capacity and track record in assessing and managing E&S issues</p> <p>Consultants will be expected to apply their normal checklists and DD processes, but should pay particular attention to the following aspects:</p> <ol style="list-style-type: none"> 1. What policies or high level statements of intent exist regarding E&S performance, including H&S? (TDB should expect to see a focus on labour/ employment, contract management and oversight) 2. How are E&S risks and opportunities identified by the company? 3. What procedures are in place to ensure policies are achieved and key E&S issues are managed appropriately? (I.e. documents, oversight, etc.) 4. Is there adequate capacity across the company to manage E&S issues? 5. What happens in the case of incidents or emergencies (including serious incidents)? How third-parties are involved and made aware of E&S risks? 6. What commitment to and capacity is there to engage and consult with local communities? Is there an effective grievance mechanism in place? 7. What monitoring of E&S performance is there? Does the monitoring program include pollutant source (e.g., emissions to atmosphere, wastewater effluents, solid and hazardous waste), noise, ambient water quality and quantity (both surface and groundwater), air quality, and workplace contaminant measurements? <p>The above items represent the basic building blocks of an effective ESMS.</p> <p>The consultant should give their opinion on the adequacy of the ESMS to manage the risks facing the client in the final ESMS report.</p>	<p>Consultants should be specifically tasked with assessing company capacity, commitment and track record on managing E&S topics since this is critical and often not fully covered by external SEDD consultants. E&S issues should be assessed against standards set forth by the IFC Performance Standard 1 on Assessment and Management of Environmental and Social Risks and Impacts.</p>
<p>Labour Practices and Conditions</p> <p>Consultants will be expected to apply their normal checklists and DD processes, but should pay particular attention to the following aspects:</p> <ol style="list-style-type: none"> 1. Adequacy and completeness of HR policies and procedures (specifically compliance with ILO requirements and national labour regulations, scope of application to contract workers, policies relating to forced labour, child labour, harassment and gender-based violence, discrimination, grievances, etc.) 2. What procedures are in place to ensure adequate labour and working conditions (protection of the workforce against forced labour, child labour, harassment and gender-based violence, and discrimination; fair terms and conditions of work and representation; occupational health and safety, grievance mechanism, etc.)? 3. Extent to which HR requirements are extended to contractors and how these are monitored? 	<p>Consultants should be encouraged to engage with employees to gain an understanding of the issues faced. Labour practices should be evaluated in accordance to standards set forth by the IFC Performance Standard 2 on Labour and Working Conditions.</p>

Key considerations	Comment and References
<p>4. Has a health and safety officer and representative been appointed? If so do they have technical skills and experience to provide a safe work site? Are there enough Occupational Health & Safety (OHS) specialists and do they have authority to make decisions/ influence safety practices? How are staff / workers trained in OHS issues?</p> <p>5. If migrant labour is used, where are they housed and under what conditions?</p> <p>6. Does the staff HR manual address the following OHS aspects: non-ionizing radiation, working in elevated temperatures, noise, working in confined spaces, electrical hazards, dust and fire and explosion risks?</p> <p>7. Monitoring of labour practices and reporting of key performance indicators to management and investors (including incidents/ responses; disciplinary actions and causes, staff turnover, grievances and resolutions, injury rates, occupational diseases, lost days, absenteeism and number of work-related fatalities)</p> <p>8. If retrenchment is planned, what processes are in place to ensure that it is undertaken in a fair and transparent manner?</p> <p>9. Any history of strikes, social unrest, labour-related protests, etc.?</p> <p>10. How is the supply chain managed to ensure standards are upheld?</p>	

Key considerations	Comment and References
<p>Pollution and Resource Use Efficiency</p> <p>Consultants will be expected to apply their normal checklists and DD processes, but should pay particular attention to the following aspects:</p> <ol style="list-style-type: none"> 1. Selection of pollution control technology (confirm compliance with relevant IFC EHS Guidelines and national standards) 2. Air emissions (and specific GHG monitoring requirements that may be evident). Ambient emissions and cumulative impacts. 3. Noise control and abatement, including siting and noise control technologies. 4. Water use (cooling, process waters) – Consideration of the project's water abstraction on project affected communities. 5. Assess significance and risk of impacts of water abstraction on surrounding ecosystems? Consider the risk of biota interference with intake valves and risks of alien invasive species, where possible. 6. Check that there is an effective waste and hazardous material handling and disposal plan (with a duty of care for offsite disposal of materials by third parties). 7. Check whether there is a risk of contamination of the site facilities due to past activities. <p>Additional Requirements specific to Renewable Energy</p> <p>Solar:</p> <ol style="list-style-type: none"> 8. Should consider water use and waste disposal issues, particularly where the project is within an arid area <p>Wind:</p> <ol style="list-style-type: none"> 9. Should include a focus on noise levels and impacts of this on closest sensitive receptors <p>Biomass:</p> <ol style="list-style-type: none"> 10. A particular focus on air quality emissions, whether monitoring plans in place. Also should consider whether ambient air concentrations of key pollutants are above local or EHS guideline levels? 	<p>Consultants should identify any existing or potential pollution risks and eco efficiency opportunities.</p> <p>Pollution and resource management checklists and DD processes should consist of standards set forth by the IFC Performance Standard 3 on Resource Efficiency and Pollution Prevention.</p>
<p>Community Health, Safety and Security</p> <p>Consultants will be expected to apply their normal checklists and DD processes, but should pay particular attention to the following aspects:</p> <ol style="list-style-type: none"> 1. Infrastructure-related risks, such as fire, explosion at plant, electricity theft and electrocution (if transmission is part of scope) and contamination from process waters/ effluents. 2. Security personnel (including use of and control of third party security companies). 3. Community engagement and grievance mechanisms (including emergency response planning in the case of incidents and capacity of local emergency response providers). 4. Issues and changes in the local social environment due to influx as a result of the client's activities. 5. Disease vectors including HIV and malaria. 	<p>SEDD should be conducted against standards set forth by the IFC Performance Standard 4 on Community Health, Safety and Security.</p>

Key considerations	Comment and References
<p>Additional Requirements specific to Renewable Energy</p> <p>Wind:</p> <p>6. Should include a focus on shadow flicker effects on closest sensitive receptors</p> <p>Hydropower:</p> <p>7. Consideration of planning for potential dam failure risks and unplanned releases, emergency planning, disclosure of these plans and procedures and capacities and systems for warnings to downstream communities.</p> <p>Biomass:</p> <p>8. Consideration of fire and safety risks, emergency planning and response and risks to local communities.</p>	
<p>Land Acquisition and Involuntary Resettlement</p> <p>If initial screening has identified that involuntary resettlement ⁴ (either physical structures, or land users) has occurred (whether or not it is the direct responsibility of the client) a review of the process should be undertaken.</p> <p>Consultants will be expected to apply their normal checklists and DD processes, but should pay particular attention to the following aspects including:</p> <ol style="list-style-type: none"> 1. Adequacy and completeness of baseline socio-economic data and land-holding situation: Assess any attempts made to reduce impacts through relocation, timing etc. (where possible). 2. Assess whether it is necessary for the company to supplement government compensation to meet requirements of Performance Standard 5? 3. Compensation arrangements, processes, and the adequacy and appropriateness of compensation payments. 4. Evaluation of livelihood restoration planning, commitment and efficiency in implementing the Resettlement Action Plan. 5. Location of resettlement sites, if any (whether or not host communities have been consulted and their views incorporated etc.) 6. Stakeholder engagement and on-going commitments (adequacy, timing and completeness of engagement) 7. Company capacity and commitment to manage resettlement processes and activities. <p>Additional Requirements specific to Renewable Energy</p>	<p>The review of land acquisition and any involuntary resettlement should be conducted in line with the requirements set forth by the IFC Performance Standard 5 on Land Acquisition and Involuntary Resettlement.</p>

⁴ Please note that PS5 defines 'involuntary resettlement' as: Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in physical or economic displacement.

Key considerations	Comment and References
<p>Hydropower:</p> <p>8. Modelling and calculation of areas of inundation for the hydropower dam/ dam wall expansion to inform resettlement planning.</p> <p>9. Impact on downstream users affected by routine release.</p> <p>Biomass:</p> <p>10. Include resettlement aspects of any new land to be converted for farming of biomass inputs, or consolidation of existing plots.</p>	
<p>Biodiversity Conservation and Sustainable Management of Living Natural Resources</p> <p>Consultants will be expected to apply their normal checklists and DD processes, but should pay particular attention to the following aspects:</p> <ol style="list-style-type: none"> 1. The project's impact on types of habitat and variety of species that have been affected by the project supported by a habitat assessment in line with IFC PS6. 2. Efforts that have been taken to assess, avoid, reduce, mitigate and offset biodiversity impacts. 3. The project's impact on ecosystem services⁵ (e.g. the supply of clean water) 4. Climate change resilience and GHG aspects (including specifically water related risks associated with long term access to and demand for water) <p>Additional Requirements specific to Renewable Energy</p> <p>Wind:</p> <ol style="list-style-type: none"> 5. Consideration of sufficiency of baseline bird and bat monitoring data and management plans in place. 6. Consideration of the location of the site in relation to IBA, Ramsar sites. <p>Hydropower:</p> <ol style="list-style-type: none"> 7. Particular consideration of plans for biodiversity offsets and biomass replacement. 8. Particular consideration of downstream impacts on ecological health of affected rivers, studies undertaken to calculate minimum ecological flows and plans in place to ensure this is provided <p>Biomass:</p> <ol style="list-style-type: none"> 9. Consideration of impacts of and mitigation for reduced biodiversity in case of mono-culture planting of biomass-fuel plants 	<p>SEDD should be conducted against standards set forth by the IFC Performance Standard 6 on Biodiversity Conservation and Sustainable Management of Living Natural Resources.</p>
<p>Indigenous and other Vulnerable People</p>	<p>When conducting the SEDD, topics to be addressed for the assessment of the</p>

⁵ Ecosystem services are the benefits that people, including businesses, derive from ecosystems. Ecosystem services are organized into four types: (i) provisioning services, which are the products people obtain from ecosystems; (ii) regulating services, which are the benefits people obtain from the regulation of ecosystem processes; (iii) cultural services, which are the nonmaterial benefits people obtain from ecosystems; and (iv) supporting services, which are the natural processes that maintain the other services.

Key considerations	Comment and References
<p>If the project or associated facilities will affect Indigenous Peoples (IPs) specialist technical support should be included in the SEDD team. Presence of IPs may affect speed of deal processing and will require additional precautions to be implemented.</p> <p>Consultants will be expected to apply their normal checklists and DD processes, but should pay particular attention to the following aspects:</p> <ol style="list-style-type: none"> 1. Did the ESIA identify the adverse impacts to IPs and identify ways to avoid these where possible? 2. Assess the adequacy of compensation (e.g. sharing of development benefits). 3. How is the Free, Prior and Informed Consent (FPIC) of the Affected Communities of Indigenous Peoples reached? 	<p>treatment of indigenous and other vulnerable people should consist of standards set forth by the IFC Performance Standard 7 on Indigenous People.</p>
<p>Cultural Heritage⁶</p> <p>Consultants will be expected to apply their normal checklists and DD processes, but should pay particular attention to the following aspects:</p> <ol style="list-style-type: none"> 1. Did the ESIA identify any Cultural Heritage (CH) resources associated with the Project site, or are there reasonable grounds to suspect that CH may be present on the site or within the project area of influence? If so and there are risks of damage to these CH resources, specialist cultural heritage support will be required as part of the SEDD team. 2. Has a Chance Find Procedure been established? 3. Is an Archaeological Clerk of Works (ACW) in place for the countries and jurisdictions where this is required?⁷ 4. Have project plans been influenced by considerations of cultural heritage? <p>Additional Requirements specific to Renewable Energy</p> <p>Hydropower:</p> <ol style="list-style-type: none"> 5. Particular consideration of entire area of inundation of the hydropower dam as well as areas for potential downstream flooding due to peak flow of releases. 	<p>When conducting the SEDD, topics to be addressed for the assessment of cultural heritage should consist of standards set forth by the IFC Performance Standard 8 on Cultural Heritage.</p>

APPENDIX 8: SEDD QUESTIONNAIRE

⁶ (i) tangible forms of cultural heritage, such as moveable or immovable objects, property, sites, structures, or groups of structures, having archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values; (ii) unique natural features or tangible objects that embody cultural values, such as sacred groves, rocks, lakes, and waterfalls; and (iii) certain instances of intangible forms of culture that are proposed to be used for commercial purposes, such as cultural knowledge, innovations, and practices of communities embodying traditional lifestyles.

⁷ In some regions/jurisdictions, presence of an ACW is mandatory at construction sites. And even if not mandatory, the nature of some projects (due to the presence of likely cultural heritage resources and the extent of construction activities) may require an ACW on site as good practice

This checklist and guidance has been prepared to assist in the assessment of E&S issues for potential projects that are financed by TDB. The guidance will enable TDB to:

1. Accurately screen the transaction for key E&S issues and risks
2. Provide specific guidance and instructions to SEDD consultants
3. Assess the comprehensiveness of the SEDD undertaken by the consultants

Project Screening Questions	
These questions will provide you with a high level of understanding of the E&S issues facing a project. The information garnered from answering the below questions will help to inform the scope of an SEDD.	
Key Aspects and Considerations	Comment and References
<p>Assessment and Management of Environmental and Social Risks</p> <p>Generally an Environmental and Social Impact Assessment (ESIA) will be required, along with a range of other E&S permits and approvals for the development of the project.</p> <p>If an ESIA (or equivalent) has been conducted and been provided to you please answer the below questions:</p> <ul style="list-style-type: none"> ▪ Has the ESIA been completed and approved by the local responsible regulatory agency? ▪ Who undertook the ESIA (domestic consultancy, engineering company, international E&S consultancy, and what experience do they have of this / similar sectors) ▪ Does it reference international standards (or only domestic/ national)? ▪ Did it consider alternatives to the site or design specs of the project (and how was a decision made on final location, design and technical specifications? Did these reflect key E&S issues)? ▪ Did it include an assessment of construction-related impacts? ▪ Did it consider climate change (emissions and adaptation) (including considerations of the project longevity and resilience for a variety of climate change scenarios, e.g.. water availability)? ▪ If contractors/operators are to be used for constructing and/or operating the plant, does the ESIA reference E&S requirements for the contractors/operators? ▪ Is there any assessment of the indirect impact (i.e. impacts that the project may cause, but is not directly responsible for) and cumulative impacts caused as result of the construction and operation of the project. The latter may be an issue if there are cumulative impacts with a geographic boundary or sensitive receptors nearby. ▪ Have any historical pollution issues associated with the site been identified? ▪ Are communities in close proximity to the site listed and described in the ESIA? 	<p>The focal areas identify the issues which would generally be addressed in an ESIA. If all questions can be answered with a positive then the ESIA is likely to be a good assessment covering key issues.</p> <p>Areas of uncertainty or where the answer is no, indicate areas where TDB SEDD consultants should focus attention.</p>

<p>The questions below and indicators should be answered through initial discussions with management of the client/ company to help TDB understand the standard of the ESMS in place, as well as the competency of E&S management within the organisation. It is important to convey TDB's E&S expectations from an early stage and to work with the company to build E&S management capacity (where possible). The performance record of the client/company on its other projects (if any) can give an indication about expectations on the new project.</p>	
<p>Capacity</p> <ul style="list-style-type: none"> ▪ How many staff are employed or are anticipated to be employed by the client (number and organogram)? ▪ What is senior management's familiarity with key E&S risks and has TDB been presented with evidence that the right skills and competencies are in place in terms of E&S? ▪ If the company has other assets, how are they managed with regard to E&S (request E&S policies)? 	<p>These questions demonstrate the client company's ability to manage E&S risk, and its commitment to identifying E&S upside.</p>
<p>Commitment</p> <ul style="list-style-type: none"> ▪ Procedures and formal systems: (Is there a corporate or asset specific ESMS? If so, is it formally verified by external parties?) ▪ Is an E&S Policy in place? ▪ Does on-going stakeholder engagement take place and is there a community grievance mechanism? ▪ Has responsibility been designated for the management of E&S issues (e.g. OHS/EHS manager) ▪ Are internal and/or external E&S audits conducted on the project? 	
<p>Track Record</p> <ul style="list-style-type: none"> ▪ Is an Incident register kept? ▪ Is a grievance log kept? ▪ Have any awards been received by the client regarding environmental, safety or social performance? ▪ Has the client received any fines or citations? ▪ What can you gauge from the performance of previous/other companies managed by the senior management team? <p><i>Please note that useful information on the client/ company's track record can often be found online in newspaper articles, industry reports and through simple internet searches.</i></p>	

Labour and Working Conditions

Does the Client have an HR department and/ or a recruitment and employment plan. If so, please answer the below:

HR Policies and Procedures

- Does the company have an HR policy, which provides information on employee rights under national labour and employment law?
- Does the HR policy promote equal opportunity and non-discrimination amongst the workforce?
- Are provisions in the HR policy in place that encourage the employment of persons from local communities?
- Are there specific commitments to ILO core labour standards (child, forced labour, discrimination and freedom of association) in the HR policy?
- How many construction staff are needed, where will they come from and will there be a need for worker accommodation?
- Will there be a contractor or other third parties who will manage contract labour? If so will they adhere to similar labour and working conditions as the client (including the ILO conventions)?
- Has the availability of labour and skilled construction staff been assessed (including needs for temporary / migrant construction workers)?
- Are procedures in place for monitoring the E&S performance of contractors/operators (including ensuring that minimum wages as per national legislation are paid and no underage persons are employed)?
- Is their union representation in the workforce, including amongst contractors/operators? If so, do you know the percentage of the workforce that are members of unions?
- Is there a history of industrial action or strikes associated with the project?
- Is there a training plan and log in place?

OHS Management

Does the Client have an occupational health and safety (OHS) plan in place, and what evidence is there that OHS aspects are being proactively addressed (if construction work is underway)? If an OHS policy is in place please answer the below:

- Does the Company have an H&S policy in place?
- Does the plan include a personal protective equipment (PPE) policy?
- Does the company have in place standard operating procedures and safe work procedures? Have these been assessed as part of the SEDD?
- Is there a history of occupational incidents or accidents associated with the project?
- Is there an incident/ accident register in place?
- Does the company have in place a policy and procedure to monitor the labour and occupational health and safety practices of contractors?
- If the investment entails an expansion will this create additional jobs? If yes, how many?

Retrenchment

- Does the Client anticipate retrenchment of a significant number of employees?

TDB should pay particular attention to the treatment of workers by the client's contractors and sub-contractors in line with the standards set by the International Labour Organization (ILO).

<ul style="list-style-type: none"> • If yes, is there a retrenchment procedure in place and have workers been consulted appropriately? • If yes, is there an appropriate grievance mechanism in place? 	
<p>pollution and Resource Use Efficiency</p> <p>Does the Client's activities result in emissions or effluent discharged to the environment and is there use of natural resources in their activities. If so, please answer the below:</p> <ul style="list-style-type: none"> ▪ Has consideration been given to whether the project will significantly affect the environmental quality in the area? ▪ Are there compliance guidelines identified in national and international standards? ▪ Are environmental, health and safety (EHS) parameters (e.g. air emission, ambient air quality, noise, electrical safety, illumination, radiological hazards, etc.) compliant with national laws or the guideline threshold limits set forth by the IFC General EHS Guidelines (whichever is more stringent)? 	<p>To provide guidance on avoiding and minimising adverse impacts on human health and the environment by avoiding or minimising pollution from project activities.</p> <p>The guidelines should be based on national laws and/or threshold limits set forth by the IFC General EHS Guidelines.</p>

- What are the demands for resources, mainly water, during construction and operation of the project?
- Are there significant noise emissions, air emissions or discharges? Has quantitative modelling been done to understand the extent of the impact?
- Has the Project calculated their current or expected greenhouse gas contribution?

Waste Management

Are there waste produced as part for of the client/ company's operations. If so, please answer the below:

- Is a waste management plan in place?
- Does it cover all the types of waste that will be generated and disposal method?

Additional Requirements specific to Renewable Energy

Solar:

- To consider water use and waste disposal issues, particularly where the project is within an arid area

Wind:

- To include a focus on noise levels and impacts of this on closest sensitive receptors

Geothermal:

- Special consideration on waste disposal issues

Biomass:

- A particular focus on air quality emissions, whether monitoring plans in place. Also should consider whether ambient air concentrations of key pollutants be above local or EHS guideline levels?

Community Health, Safety and Security

Are there communities affected within the Area of Influence of the Client's activities or operations (including temporary impacts during construction and along access routes)? If so please answer the below:

- What impacts are predicted to communities in the project's area of influence (including specifically, increased vehicle traffic during construction, dust, noise and other construction and operational impacts, presence of large numbers of construction workers in the area, security staff and increased controls on the movement of people etc.)
- Have they been consulted about the construction / operational activities and is there a grievance mechanism in place?
- Will there be an increased demand on water supply as a result of construction or operations that could affect downstream users or local communities?
- Is there a traffic management plan in place/proposed?
- What controls are in place for dust and noise suppression?
- How are security personnel recruited/ are they under the direct control of the company?
- Are security guards trained on basic human rights?
- Are security guards armed?
- Have there been any significant security incidents (e.g. theft of equipment or death or injury as a result of security guards actions).
- Has a community engagement process been initiated for affected communities and is this process being formally documented?
- Does this process ensure free, prior and informed consultation with the affected community?
- Please list the grievances that have been identified through the community engagement process?
- Have risks to local communities and employees associated with project been identified?
- If there are explosion and fire risks, have these risk contours been calculated and considered by the Client/ company in their layout design and emergency planning.
- Are emergency evacuation procedures in place for local communities?
- Is a noise management policy in place to limit the impacts of noise on surrounding communities and employees?
- Is an emergency response plan in place, which includes contractors?
- Has the project management team consulted with emergency authorities when developing the emergency response plan?
- Is access to the site by emergency response vehicles included in the project's emergency response plan?
- Will worker camps be constructed as part of the construction or operational phases of the project?
- Does the project have an employee health and welfare policy in place?
- Does the project have an HIV/Aids policy in place? Does it include measures to raise awareness regarding HIV/Aids amongst employees and the project receiving community?
- In accordance with which country's building regulations will the project be constructed?

Additional Requirements specific to Renewable Energy

Wind:

- Should include a focus on shadow flicker effects on closest sensitive receptors

Biomass:

- Include consideration of fire and safety risks, emergency planning and response and risks to local communities
- Include consideration of planning for potential dam failure risks and unplanned releases, emergency planning, disclosure of these plans and

To provide guidance on avoiding adverse impacts on the health and safety of the affected communities during a projects life.

Have designated contact persons within the organisation responsible for receiving and responding to questions, concerns or complaints raised by nearby communities or other stakeholders been identified?

Has the client put in place a formal documented grievance mechanism?

procedures and capacities and systems for warnings to downstream communities.

Land Acquisition and Involuntary Resettlement

To provide guidance on avoiding and mitigating the impacts of displacement.

<p>Is there involuntary resettlement ⁸ (as defined in IFC PS5 and AfDB involuntary resettlement Policy)? If so, please answer the below:</p> <ul style="list-style-type: none"> ▪ Including associated facilities, has there been a need to relocate any people (permanent and / or temporary). If so was this through a willing buyer willing seller transaction, or were landowners or land users (whether or not they have legal rights to the land) moved against their will? ▪ If involuntary resettlement has taken place please list and describe the resettled groups? ▪ Including associated facilities has there been a need for economic displacement?⁹ If so, is there evidence that compensation has been agreed and paid for the loss of assets or livelihood? Is there evidence of dissatisfaction or concern about the payment of compensation to any effected parties (determined through the grievance mechanism or other avenues)? ▪ If the resettlement was performed against the occupants will, TDB need to obtain details of the resettlement process. ▪ Has the Client engaged with the displaced communities to provide opportunities to derive appropriate development benefits from the project? If yes, please provide details. ▪ Were all alternative project designs explored to avoid involuntary resettlement or minimize resettlement impacts? ▪ Were the displaced people consulted an given a chance to participate in the planning and implementation of the settlement programmes ▪ Was resettlement assistance provided to the displaced persons in order to ensure that their living standards, income generating capacity, production levels and overall livelihood improved beyond pre-project levels? ▪ Was explicit guidance provided to the borrower on conditions that needed to be met regarding involuntary resettlement issues in Bank operations to mitigate negative impacts of displacement and resettlement? ▪ Has a mechanism been set up to monitor the performance of involuntary resettlement programmes in Bank operations and how problems can be remedied when they occur ▪ Was there relocation or loss of shelter by the people residing in the project area ▪ Was there loss of assets (structures, cultural, spiritual or other assets of social importance) or restriction of access of assets, including national parks, protected areas or natural resources ▪ Was there loss of income/means of livelihood as a result of the project and were the people affected required to move. ▪ Was resettlement assistance extended to (i) those who had formal legal rights to land/other assets, recognized under the laws of the country concerned (ii) those who may not have legal rights but can 	<p>Government managed resettlement does not mean the process has been managed in accordance with the IFC guidelines.</p> <p>Consideration should be given to all land acquired for the Project, including laydown areas, construction camps, ancillary and associated facilities.</p> <p>It should be noted that those without land rights should be considered and compensated.</p> <p>Beware of situations where there is no or only a weak baseline assessment and there has been significant resettlement and / or economic displacement</p>
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⁸ Please note that PS5 defines ‘involuntary resettlement’ as: Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in physical or economic displacement.

⁹ Economic displacement is defined as a loss of assets or access to assets that leads to loss of income sources or other means of livelihood

<p>prove through spiritual/ancestral ties with land and are recognized by community as customary inheritors; and (iii) those who have occupied the project area of influence for at least six months prior to cut off date established by the borrower and acceptable to the Bank.</p> <p>Additional Requirements specific to Renewable Energy</p> <p>Hydropower:</p> <ul style="list-style-type: none"> Modelling and calculation of areas of inundation for the hydropower dam/ dam wall expansion to inform resettlement planning. Consider the inclusion of downstream users affected by routine and non-routine releases. <p>Biomass:</p> <ul style="list-style-type: none"> Consider the resettlement aspects of any new land to be converted for farming of biomass inputs, or consolidation of existing plots. 	
<p>Biodiversity Conservation and Sustainable Management of Natural Living Resources</p> <p>Is there a potential for the client/companies activities to negatively affect biodiversity resources and natural habitats. If so, please answer the below:</p> <ul style="list-style-type: none"> Has the Project surveyed the area of disturbance and have this area been classified the habitat in line with IFC PS6 by a specialist. Will development of the asset result in loss or damage to critical or¹⁰ natural¹¹ modified¹² habitats (such as forest, pasture/ grassland, water courses or wetlands)? Are there any formally protected areas within a 5 km radius of the site? If so, are there risks of impacts to these sites (access roads, increased pressure on water resources, air emissions etc.)? Will effluent discharge have the potential to affect ecologically sensitive habitats or species? <p>Additional Requirements specific to Renewable Energy</p> <p>Wind:</p> <ul style="list-style-type: none"> Consideration of sufficiency of baseline bird and bat monitoring data and management plans in place. Consideration of the location of the site in relation to IBA, Ramsar sites. 	<p>To provide guidance on protecting and conserving biodiversity, as well as managing natural resources sustainably.</p> <p>Both direct impacts on biodiversity as a result of the project and in-direct impacts on ecosystems as a whole related to the project should also be considered.</p>

¹⁰ Critical habitats are areas with high biodiversity value, including (i) habitat of significant importance to Critically Endangered and/or Endangered¹¹ species; (ii) habitat of significant importance to endemic and/or restricted-range species; (iii) habitat supporting globally significant concentrations of migratory species and/or congregatory species; (iv) highly threatened and/or unique ecosystems; and/or (v) areas associated with key evolutionary processes.

¹¹ Natural habitats are areas composed of viable assemblages of plant and/or animal species of largely native origin, and/or where human activity has not essentially modified an area's primary ecological functions and species composition.

¹² Modified habitats are areas that may contain a large proportion of plant and/or animal species of non-native origin, and/or where human activity has substantially modified an area's primary ecological functions and species composition.⁵ Modified habitats may include areas managed for agriculture, forest plantations, reclaimed⁶ coastal zones, and reclaimed wetlands.

Geothermal:

- Consideration of impacts on biodiversity related to waste water disposal.

Hydropower:

- Particular consideration of plans for biodiversity offsets and biomass replacement.
- Particular consideration of downstream impacts on ecological health of affected rivers, studies undertaken to calculate minimum ecological flows and plans in place to ensure this minimum flow will be provided

Biomass:

- Consideration of impacts of and mitigation for reduced biodiversity in case of mono-culture planting of biomass-fuel plants

<p>Indigenous people¹³</p> <p>For all projects please answer the below.</p> <ul style="list-style-type: none"> Will development of the asset affect indigenous peoples or other vulnerable groups (NB such groups may be transient to the site migratory/ nomadic groups). 	<p>To provide guidance on avoiding and mitigating adverse impacts on indigenous peoples.</p>
<p>Cultural heritage¹⁴</p> <p>For all projects please answer the below.</p> <ul style="list-style-type: none"> Will development of the project-affect cultural heritage directly or indirectly? This may include graveyards / burial sites, religious or sacred buildings? <p>Hydropower:</p> <ul style="list-style-type: none"> Particular consideration of entire area of inundation of the hydropower dam as well as areas for potential downstream flooding due to peak flow of releases. 	<p>To provide guidance on protecting cultural heritage from project related adverse impacts.</p>
<p>The following key E&S value drivers should also be assessed:</p> <ul style="list-style-type: none"> Energy efficiency/conversion efficiencies. Water efficiencies (in water scarce area this is particularly important) Labour practices (especially during construction – what opportunities to reduce OHS and serious incident risks) The development of corrective action plans for gaps and risks identified? <p>In terms of review of external consultants SEDD report, consideration should be given to:</p> <ul style="list-style-type: none"> To what extent did consultants visit the site The definition of the area of influence and whether this is complete with all associated facilities Presentation by the consultant on the limitations the encountered in the SEDD, including missing information and uncertainties. Does the report include an E&S action plan for resolving identified issues/risks. Whether there was a materiality threshold stated for the SEDD. Confirmation that SEDD consultant is independent, unbiased and not involved somehow in project itself 	<p>Consultant to assist where possible</p>

¹³ Indigenous Peoples, are defined as social groups with identities that are distinct from mainstream groups in national societies, are often among the most marginalized and vulnerable segments of the population. In many cases, their economic, social, and legal status limits their capacity to defend their rights to, and interests in, lands and natural and cultural resources, and may restrict their ability to participate in and benefit from development.

¹⁴ Cultural heritage refers to (i) tangible forms of cultural heritage, such as tangible moveable or immovable objects, property, sites, structures, or groups of structures, having archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values; (ii) unique natural features or tangible objects that embody cultural values, such as sacred groves, rocks, lakes, and waterfalls; and (iii) certain

APPENDIX 9: SEDD REPORT FORMATS

The Appendix presents an example of an SEDD report structure for use by an external environmental and social consultant.

Category 1 and 2 Projects

1. Project Description: (including the site and environmental and social setting, surrounding land uses).
2. Environmental and Social Categorization Rationale: specify the Category of the investment (e.g. Category 1) according to the guidelines in Appendix 4 and give the basis for the rationale.
3. Client Social and Environmental Management Systems: (the processes by which the Client manages environmental and social performance, including community engagement activities, related to IFC PS1). This includes the ways in which that Management is organized in the Client.
4. Significant Environmental and Social Impacts and Risks: (summarized according to the topics covered by the applicable IFC Performance Standards – PS2 Labour and Working Conditions; PS3 Pollution Prevention and Abatement; PS4 Community Health Safety and Security; PS5 Land Acquisition and Involuntary Resettlement; PS6 Biodiversity Conservation and Sustainable Natural Resource Management; PS7 Indigenous Peoples; and PS8 Cultural Heritage).
5. E&S related impacts and opportunities: (This includes any existing project-related positive E&S impacts, e.g. community outreach, skills development or employment equity or redress [brownfield sites]. Include recommendations for E&S value-add opportunities.)
6. Recommended Corrective Actions: (for performance gaps, recommend corrective actions corresponding schedules, indicate priorities, and advise as to how to incorporate these into the Investment Agreement as either Conditions Precedent or Management Actions). An

instances of intangible forms of culture that are proposed to be used for commercial purposes, such as cultural knowledge, innovations, and practices of communities embodying traditional lifestyles.

Environmental and Social Action Plan (ESAP) should be compiled with actions identified, following the template available in Appendix 11 of the ESMS.

Category 3 Projects

1. Development Business Status: (i.e. brownfield, greenfield, construction, operation, expansion, etc.)
2. Status of ESAP Implementation
3. Environmental and Social Performance: (on-going compliance with applicable E&S laws and acceptable international best practices)
4. Significant Incidents and Other Issues

In addition to the SEDD Questionnaire, use the guidance in the table below to assess the adequacy and completeness of an SEDD undertaken for Category 1 and 2 Projects.

Key Aspects and Considerations	Focus on
Regulations and permits	<ul style="list-style-type: none"> ▪ Does the SEDD clarify the status and completeness of the permitting and regulatory process? ▪ Has the project been assessed against both national and international laws and regulations? ▪ Are there outstanding permits (if so which, and how material) ▪ Are any of these permits time-bound (i.e. they have a duration and expiry date). Could there be implications for deal flow and approvals? ▪ If areas of non-compliance have been identified with national or international laws have corrective actions been proposed with timeframes attached.
Client company capacity, commitment and track record	<ul style="list-style-type: none"> ▪ Does the SEDD provide sufficient clarity on the company's commitment and capacity to manage E&S risks and drive value through E&S performance? ▪ Are concerns raised regarding the ability of the company to manage its E&S impacts? If so, are appropriate corrective actions recommended? ▪ Does the SEDD identify any historical or legacy issues that need to be taken up with company management?
Assessment of Environmental and Social Risks	<ul style="list-style-type: none"> ▪ Is it clear what the significant labour related risks are, how they have been mitigated and what outstanding issues are yet to be resolved? ▪ Is it clear what the significant occupational health and safety related risks are, how they have been mitigated and what outstanding issues are yet to be resolved? ▪ Have corrective actions for identified risks and impacts been proposed? ▪ Does the SEDD action plan look credible in terms of scope (must address all key issues), timeline (realistic?) and costs? ▪ Has it been discussed and agreed upon with the client? ▪ Have costs associated with remediation / mitigation been fully worked through? Can they be reduced further through avoidance of end of pipe solutions (i.e. modifications to plant)? ▪ Are the IFC EHS guideline threshold limits for effluents and emissions met?
E&S Value Drivers	<ul style="list-style-type: none"> ▪ Are value add opportunities included in the SEDD action plan? ▪ Does SEDD clarify whether E&S opportunities can be realised and delivered?

Regulations and permits	<ul style="list-style-type: none"> ▪ Does the SEDD clarify the status and completeness of the permitting and regulatory process? ▪ Has the project been assessed against both national and international laws and regulations? ▪ Are there outstanding permits (if so which, and how material) ▪ Are any of these permits time bound (i.e. they have a duration and expiry date). Could there be implications for deal flow and approvals? ▪ If areas of non-compliance have been identified with national or international laws have corrective actions been proposed with timeframes attached.
Client company capacity, commitment and track record	<ul style="list-style-type: none"> ▪ Does the SEDD provide you with sufficient clarity on the company's commitment and capacity to manage E&S risks and drive value through E&S performance? ▪ Are concerns raised regarding the ability of the company to manage its E&S impacts? If so, are appropriate corrective actions recommended? ▪ Does the SEDD identify any historical or legacy issues that need to be taken up with company management?
E&S Value Drivers	<ul style="list-style-type: none"> ▪ Are value added opportunities included in the SEDD action plan? ▪ Does SEDD clarify whether E&S opportunities can be realised and delivered?

APPENDIX 10: MAJOR INCIDENTS REPORTING FORM

This form is to be used by Clients to report to TDB any major incidents taking place within 3 days of occurrence. The following types of incidents should be reported:

- Fires or explosions;
- Significant fuel/Chemical spills;
- Significant pollution discharges above limits of normal operation;
- Major work-related injuries (including employees, contractors and/or members of public);
- Work-related fatalities (including by employees, contractors and/or members of public);
- Incidents significantly affecting the health of employees, contractors or members of public;
- Regulator enforcement actions/notices;
- Major security breaches;
- Strikes or employee unrest;
- Incidents requiring operations to be substantially curtailed or shut-down; and
- Significant community unrest or public relations incidents.

Project name:			
Completed by:	(name)		
Contact:		Date:	

Type of event:	(based on list above)		
Date occurred:		Time occurred:	
Brief Summary	What happened? Who was involved?		

Was anyone injured or killed as a result of this event?	
If "Yes" provide details:	
Have the regulator, local authority government or emergency services been involved in or informed of this event?	
If "Yes" provide details:	
Detailed Description:	
What remedial action has been taken?	
What lessons can be learnt to prevent reoccurrence?	

Signed:	
Date:	

APPENDIX 11: ACTION PLAN FORMAT

This document should be used to record the recommendations of the SEDD report and form an Action Plan for each Client. This Format should also be used to develop subsequent Action Plans.

Client:					
Client Contact Details:					
Date:		Date of next review:			
Aspect	Recommendation (write "None" if no recommendations have been identified)	Responsible Person and organisation	Date to be completed by	Status	Level of Compliance
Social and Environmental Assessment and Management Systems					
Labor and Working Conditions					
Pollution Prevention and Abatement					
Community Health, Safety and Security					
Land Acquisition and Involuntary Resettlement					
Biodiversity Conservation and Sustainable Natural Resource Management					
Indigenous Peoples					
Cultural Heritage					

(Insert Name of Responsible Person at Client)

(Insert Name of Responsible Person at the Client)

APPENDIX 12: SEMI-ANNUAL E&S MONITORING REPORT TO TDB FORMAT

Please provide responses to the questions below. Please include additional sheets or attachments as required to provide details on questions that have been answered Yes.

Project name:			
Location:			
Completed by (name):			
Position and contact details:		Date :	

Report Covering Period:	
From:	To:

Information on Potential Environmental and Social Risks

Please list all new and existing E&S risks (please add rows as needed):

E&S issues at approval	Current E&S status/any changes since last report
Have the conditions precedent been met?	
<ul style="list-style-type: none"> ▪ Have ESMS requiremnts been included in all contracts with Client, their developers and third-party contractors; ▪ Client has appropriate insurance policies in place 	
<ul style="list-style-type: none"> ▪ Client's compliance with the government and local government requirements, as well as the E&S policies 	
<ul style="list-style-type: none"> ▪ adequate resources are committed to allow effective and appropriate implementation of the ESMS at client level; 	
<ul style="list-style-type: none"> ▪ Appropriate action is taken on complaints, orders, directives, claims, citations or notices from any authority under any applicable law or local requirements 	
<ul style="list-style-type: none"> ▪ on-going stakeholder engagement is performed and that a grievance mechanism for effected communities is maintained and that all grievances are dealt with accordingly. 	

Social & Environmental Management System (ESMS) Information

Policies & Processes	Yes/No	
Have there been any updates to the Environmental and Social Policies adopted by your organization?		If yes, please provide a copy of the updated policies, including date when it was issued and reasons for the same.
Has senior management signed off on the updated policy/procedure?		If yes, please provide the date and internal communication indicating the same.
Has the budget for implementation of the policy/procedure been revised from the previous year?		If yes, please provide details of the budget allocated and reasons for the change.
Please describe any activities for the last six months for staff training and other internal communication (including number of staff trained).		
State any difficulties and/or constraints related to the implementation of E&S procedures.		
Please describe how you ensure that you are operating in compliance with national laws and regulations and the IFC Performance Standards.		
Do you review the E&S performance of your facilities?		If yes, please describe the process including any environmental and social considerations if applicable.
Over the past six months have you continued to be in compliance with the relevant environmental, health and safety regulations of the host country?		If yes, please describe the process.
In the past six months have your operations involved acquisition of land?		If yes, please explain the extent of land acquisition and any due diligence conducted by you.
Have there been any updates to your Social & Environmental Management System (ESMS) in the six months?		If yes, please explain frequency and indicate number of updates since start.
Monitoring	Yes/No	
Do you undertake any monitoring of non-financial performance?		If yes, please describe and provide supporting documents including any environmental and social considerations if applicable.
Please provide details of any accidents/litigation/complaints/regulatory/ notices and fines: Any incidents of non-compliance with Applicable Requirements. Covenants/conditionality imposed upon you as a result of any non-compliance		
Reporting	Yes/No	
Is there an internal process to report on E&S issues to senior management?		If yes, please explain process, reporting format and frequency.

Policies & Processes	Yes/No	
In the past 12 months have you prepared any environmental and social reports apart from the ones submitted to TDB.		If yes, please provide copies of these reports.
Do you have a process to inform TDB of any material change to the business?		
Have you informed TDB of any emergency incidents events during this period?		If yes, please give the date of report.

Reporting Topics	Yes/No	
Non-compliance with national legislation and regulations		
Complaints from regulatory agencies, interest groups, or local communities		
Work-related fatalities or serious work-related injuries		
Strikes (with or without violence) or other labour disputes		
Legal action		
Allegations or indications of corrupt practices		
Fines, penalties or increased permit charges		
Negative attention on the part of the media or NGOs (non-governmental organizations)		
Other material environmental and social issues affecting your operations during the reporting period		
Cost savings through process efficiency, waste minimization or other schemes, energy savings, ISO certification		
Reduction of polluting emissions into the environment		
Introduction/switch to raw materials or processes with lower environmental impacts		
Reduction in insurance premiums, permit fees or other costs due to improved environmental performance		
Improved lost time accident record and/or number of injuries		
Increased diversity/gender balance in workforce and management		
Higher HIV/AIDS awareness in the workplace/community		
Facilitation of financing for less empowered groups		
Involvement in strategic partnerships with interested and affected parties		
Citations or awards		

Reporting Topics	Yes/No	
Positive media or NGO attention		
Have you informed TDB of any reportable events during this period?		If yes, please give the date of report.

APPENDIX 13: ANNUAL E&S PERFORMANCE MONITORING REPORT FORMAT

Part A – Environmental and Social Performance Report

Introduction

The term *Environmental and Social* (E&S) includes environmental and health & safety issues, labour rights and labour conditions, local community and cultural heritage.

Report Information

Report period (month/year–month/year)

Name of institution

Report completed by (name)

Contact e-mail address

Employment Data

What is the number of persons employed across all clients¹⁵?

What is the number of women employed across all clients?

What is the number of outsourced/contract jobs within the Investment¹⁶?

¹⁵ Permanent employees within the Investment Manager, including part-time employees measured in full-time equivalents. In this ESMS document, “employees” is taken to refer to include the employees of the Client, as well as the employees, labourers and workers, both permanent and long-term contract (i.e. 6 months or more) of the primary contractors on any given development.

¹⁶ Outsourced/contract staff who earn their main income from the Investment (in full time equivalents)

What is the number of jobs created through your financing¹⁷?

What is the number of female employees in your Clients?

Social and Environmental Policy¹⁸

Does your institution have a formal Social & Environmental policy?

Yes No (If yes, please attach a copy of the policy document to this report.)

What are the criteria for the environmental & social assessment of projects?

World Bank Policies/IFC Performance Standards

ILO or UN Conventions

National environmental and labour legislation and regulations

Other, namely: _____

Has any member(s) of staff a dedicated responsibility for Social and Environmental performance issues?

Yes No

¹⁷ Total employment figures in all Projects

¹⁸ Social Policy may include documents on: 1) Code of Conduct, 2) Human Resource Management, 3) Health & Safety, 4) HIV/AIDS management, 5) Anti-discrimination 6) Equal opportunities/Gender strategy

Social and Environmental Appraisal Procedures

Use the table below to specify how environmental and social issues are appraised.

Method	Yes	No	Comments
Documented procedure for Social and Environmental appraisal			
Use of checklist/document (specify)			
Informal assessment (for example verbal questioning of client)			
Use of consultants/specialist assistance			
Other (specify)			
We do not appraise E&S issues			

Please attach copies of appraisal procedures to this report

Did you commission – or request your client to commission – any of the following types of service from environmental and/or social consultants (or other specialists) in the past year? **Please provide the Client name and any other relevant comments (for example, whether a report is available for review).**

Action	Yes	No	Client Name/Names and Comments
Environmental & Social Impact Assessment (EIA)			
Compliance Evaluation			
Review of information submitted by client on environmental and/or social issues			
Environmental and/or Social Audit			
Major Hazard Assessment			
Other (please specify)			

Did your institution reject any potential investments for environmental and/or social reasons in the course of the past year? If yes, please provide a brief description of the Project and the reason or reasons for its rejection.

E&S Portfolio Supervision

How often do you conduct supervision visits to clients?

Monthly/Bimonthly/Quarterly/Biannually/Annually/Other (please specify)

Do you discuss environmental & social issues during supervision meetings?

Always Sometimes Never

Have you developed procedures for how to conduct supervision of social and environmental performance in projects?

Yes No (If yes, please attach a copy of these supervision procedures)

If a Corrective Action Plan has been agreed with a project on how to improve social and/or environmental performance, does the supervision process include an assessment of progress in the light of the plan?

Yes No Uncertain

Does TDB have a gender policy/equal opportunity policy? Are working conditions for female employees investigated in Client Companies?

Yes No Uncertain

Has any Client been associated with the following issues? If yes, please specify which Development and attach further details (for example specific issue, actions taken, outcome).

Issue	Yes	No	Development
Non-compliance with national legislation and regulations			
Non-compliance with TDB standards			
Non-compliance with ILO and/or UN Conventions			
Non-compliance with covenants in the Articles and the Investment Management Services Agreement			
Non-compliance with Corrective Action Plan (CAP)			
Complaints from regulatory agencies, interest groups, or local communities			
Fatalities or serious injury			
Strikes (with or without violence) or other labour disputes			
Legal action			
Allegations or indications of corrupt practices ¹⁹			

¹⁹Corruption includes any payment, bribe or facilitation payment to influence the performance of any official duties.

Fines, penalties or increased permit charges			
Negative attention on the part of the media or NGOs (non-governmental organizations)			

Have your investments or dealings with clients improved social and environmental standards in projects?

If yes, please provide examples.

In more detail, has any Client been associated with the following positive issues? If yes, please specify which project and attach further details were available (for example correspondence and other supporting documentation).

Issue	Yes	No	Client
Cost savings through process efficiency, waste minimization or other schemes			
Reduction of polluting emissions into the environment			
Introduction/switch to raw materials or processes with lower environmental impacts			
Reduction in insurance premiums, permit fees or other costs due to improved environmental performance			
Improved lost time accident record and/or number of injuries			
Increased diversity/gender balance in workforce and management			
Higher HIV/AIDS awareness in the workplace/community			
Facilitation of financing for less empowered groups			
Involvement in strategic partnerships with interested and affected parties			
Citations or awards			
Positive media or NGO attention			

Authorization

Completed by:

.....

Name and Title

Signature

Date (mm/dd/yy)

Approved by:

.....

Senior management representative: Signature Date (mm/dd/yy)

Name and Title

APPENDIX 14: LIST OF E&S SPECIALISTS

Country	consultants	Expertise	Contact details
Democratic Republic of Congo	SRK Consulting Africa	Natural Resource and Development Solutions	SRK Lubumbashi 2056 Lukonzolwa Avenue, Quartier Golf Lubumbashi, Congo (DRC) Tel: +243 81 999 9775 Mobile: +243 81 870 1753 Email: smaleba@srk.co.za Web: www.srk.co.za
	Golder Associates	Environmental services	No 17 Okito Avenue, Lubumbashi, Katanga Province Phone Number [+24] 381 904 3399 / [+24] 399 573 8415 Website: www.golder.com
Egypt	Integral Environmental Solutions	Environmental Services, Climate Change, Energy	Building 2075, El Mearag City Ring Road, El-Maadi Cairo, Egypt Tel: +202 252 04515 Email: info@integral-egypt.com Website: www.integral-egypt.com
	Green Environment Consultants	Environmental and Social Planning and Management Services	PO Box 66 5 Ali Hassan Attia Street Mohandiseen GizaPostal Code: 12411 Telefax: +2 02 3302 1487 Website: http://www.green-group.info/
Eritrea	Kagga & Partners	Engineering and Management	P. O. Box 6583, Kampala Uganda Tel:+256 414 220279 / 256 414 223692 Fax: +256 414 220208 E-mail:mail@kaggapartners.com Website: http://www.kaggapartners.com/
	Universal Water Consultants	Water resources and environmental	P. O. Box 322426 Kampala-Uganda Mob: +256775903585 E mail: uwcug@yahoo.com; Website: http://www.uwcug.com/
Ethiopia	Metaferia Consulting Engineers	Environmental Management	Metaferia Consulting Engineers PLC P.O. Box 3192 Addis Ababa, Ethiopia Telephone: +251 11 551 56 47 E-mail : aym.mce@ethionet.et
	Addis Environmental Services	Environmental services Water services Green energy services	P.O. Box: 27067 Code 1000 Addis Ababa, Ethiopia Phone: +251-11-663 17 73, wireless: +011-860 1071 Email: info@addisenvironmental.com http://www.addisenvironmental.com
Kenya	Acacia Consultants Limited	Natural resource Management	Acacia Consultants Ltd. Unga House 5th Floor, Westlands P.O. Box 340, Sarit Centre - 00606, Nairobi, Kenya Telephone: 254-20 3746655 / 3747867 E-Mail: admin@acaciaconsultants.org

	EBS Advisory Kenya Limited	Environmental, Social and Governance Services	Box 14082 – 00800 Westlands, Nairobi, Kenya Telephone: +254 20 434 3360 or +254 702 056 570 Email: Samuel@ebsadvisory.com Website: www.ebsadvisory.com
	IBIS Consulting	Environmental, Social and Governance Services	5 th Floor, Western Heights Karuna Road, Westlands Nairobi, Kenya Telephone: +254 796 088 132 Email: teddy@ibiconsulting.com
	Green Eco Consultants Limited	Environmental Services	P.O. Box 2777-00506 Nairobi, Kenya Tel. (+ 254)0202017349/0202066688 Email: info@greeneco.co.ke
Malawi	Mlambe Consulting Firm	Environmental and Social Audits	P.O. Box 90016 Blantyre 9 Malawi Telephone: +265 999 955 977 / +265 888 955 977 Email: mlambe@africa-online.net http://www.mlambe.com/index.htm
	Water Waste and Environment Consultants	Environment Management and Impact Assessment	Teptek Building (Area 3) Opposite Area 3 Total Filling Station Second Floor, Room No. 1 P.O. Box 31271 Lilongwe 3 Telephone: +265 1 750 094 Email: kentkafatia@gmail.com or kafatiakent@yahoo.co.uk
Mauritius	Build-Green Consulting	Green building	Morc. New Town, Mauritius, Indian Ocean Email:contact@buildgreen.mu
	Ecosis Limited	Sustainability consultants	commerson avenue Quatre bornes MAURITIUS Tel +(230) 464 0455 Email: info@ecosisltd.com Website: www.ecosisltd.com/
Rwanda	ESF Consultants	Environmental Services	P.O Box 453 Kigali, Rwanda Tel: (+250) 55110222 Email : info@esfconsultants.org
	Eco-Excellence Consultant	Environmental Services	P.O. Box 3418 Kigali, Rwanda Tel. (+250) 0788356191/0788507656
	NET Environment Consult	Environmental Services	P.O. Box 902 Kigali- Rwanda E-mail : nec_ltd2002@yahoo.co.uk Tel. 0783172112/0750501494
Seychelles	Nature Seychelles	Environmental Services	P.O. Box 1310 The Centre for Environment & Education, The Sanctuary Roche Caiman, Mahe Republic of Seychelles

			Tel: (+248) 460 1100 Email: nature@seychelles.net Website: www.natureseychelles.org
Sudan	Sudanese Centre for Engineering and Environmental Studies	Environmental Services	Phone. +249-155143134 Mobile. +249 - 911036735 - +249 - 9999036735 Fax. +249-183520919 Email. info@scees Website: http://www.scees.org/
Swaziland	Dlamini GIBB Swaziland	Engineering an environmental service	The Gables Office Number 2 MR 103 Street P O Box 109 Eveni Swaziland Tel: +268 241 61660 Cell: +268 760 20071
Uganda	Eco & Partner Consult	Environmental management	P.O Box 23989, Kampala Uganda Tel: 256- 077669601 Email: Eddies@post.com or ecopart@africamail.com
	Makerere University/Institute of Environment and Natural Resources	Environmental management	Makerere University/Institute of Environment and Natural Resources P.O. BOX 7062 Kampala, Uganda Website: http://muienr.mak.ac.ug/
Zambia	Envirocare International Limited	Environmental Services Environmental Audits Environmental Monitoring	Lusaka, Zambia Phone: +260 21 127 2531 Cell: +260 77 773 78
	Status Hi-Tech (Z) Limited	Environmental Services	PO Box 11757, Chingola Main, Chingola, Zambia Phone: +260 21 231 3783, +260 21 231 3532, +260 21 231 4606 Email: sales@statushitech.co.zm Web: http://www.statushitech.com.zm
Zimbabwe	Harare Institute of Technology - Environmental Management, Renewable Energy and Climate Change Research Centre (EMRECCRC)	Waste management, environmental rehabilitation, safety and health management, pollution prevention, integrated water resources management, food security, chemical processes, biodiversity and	Harare Institute of Technology P. O. Box BE 277, Belvedere, Harare Zimbabwe Telephone +263 4 741 422-36 Email: communications@hit.ac.zw Website: http://www.hit.ac.zw/index.html

		land and air quality management.	
	Black Crystal Environmental Consultants	Environmental Services	1 Fairbairn Drive Mt Pleasant, Harare Zimbabwe Tel: +263 4 2915265 and 334361 Cell: + 263 712 765 748 Email: infor@blackcrystal.co.zw
	SRK Consulting	Natural Resource and Development Solutions: SRK Africa	SRK Harare 28 Kennedy Drive Greendale, Harare PO Box GD 773 Greendale, Harare Tel: +263 4 49 6182/49 5689 Email: harare@srk.co.zw Web: www.srk.com
South Africa	Environmental Impact Management Services	ESIA EMS Strategic Environmental Services Mining and Waste Management Consulting Services	Block 5, Fernridge Office Park. 5 Hunter Road P.O. Box 2083 Pinegowrie 2123 South Africa Ferndale Randburg, Johannesburg 2123 South Africa Phone: +27 (11) 789 7170 Fax: +27 (11) 787 3059 http://www.eims.co.za/
	EBS Advisory Pty Limited	Environmental, Social and Governance Services	Pine Place Office Suites Cnr Dalmerly & Windeena Rd Randburg Gauteng 2194 Contact Number: +27 11 888 6043 Mobile Number: +27 82 492 0625 Email Address: info@envirobiz.co.za
	Golder Associates,	Environmental services	Golder Associates Africa (Pty) Ltd PO Box 6001, Halfway House, 1685 Building 1, Golder House, Magwa Crescent West, Maxwell Office Park, Cnr Allandale Road and Maxwell Drive, Waterfall City, Midrand, South Africa Phone Number [+27] (11) 254 4800
	IBIS Consulting	Environmental, Social and Governance Services	1 st Floor, Acacia Building The Avenues Office Park 45 Homestead Road Rivonia Telephone: +27 10 020 7343 Email: jeremy@ibisconsulting.com
	Environmental Resources Management (ERM),	Environmental services	Building 32, 1 st Floor, The Woodlands Office Park Woodlands Drive, Woodmead Sandton Johannesburg Gauteng 2148 South Africa Tel: +27 11 798 4300

Tanzania	Environmental Association of Tanzania (ENATA Ltd)	Environmental Impact Assessment Environmental Audit Reports Environmental Monitoring studies	Regent Estate, Mikocheni, Next to Shoppers Plaza Old Bagamoyo Rd Plot/Block No. 493 First floor P.O. Box 13585 Dar es salaam, Tanzania Cell: +255 713 503 603 Email: info@enataltd.co.tz
	Envision Consulting	ESIA	Postal Address: 4699 Dar es Salaam, Tanzania Email: info@envision.co.tz Phone: +255 73 7209889 Mobile: +255 71 3634888 http://www.envision.co.tz
	COSEP Company Limited	Environment Planning and Management Environmental Impact Assessment (EIA) Environmental Auditing (EA) Health and Safety issues Water Supply and Sanitation Water Resources Management Poverty Alleviation research and projects Natural Resources Management	COSEP Company Limited P.O. Box 71940 Sam Nujoma road, Plot No. 112, Mwenge Dar Es Salaam Tanzania Tel: +255 222 773 441 E-mail: cosep@cosep.co.tz or director@cosep.co.tz or cosep_ltd@yahoo.com Website: www.cosep.co.tz

APPENDIX 15: IFC PERFORMANCE STANDARD

https://www.ifc.org/wps/wcm/connect/115482804a0255db96fbffd1a5d13d27/PS_English_2012_Full-Documents.pdf?MOD=AJPERES

PS 5 - LAND ACQUISITION AND INVOLUNTARY RESETTLEMENT

http://www.ifc.org/wps/wcm/connect/3d82c70049a79073b82cfaa8c6a8312a/PS5_English_2012.pdf?MOD=AJPERES

IFC PERFORMANCE STANDARD 7 - INDIGENOUS PEOPLE

http://www.ifc.org/wps/wcm/connect/1ee7038049a79139b845faa8c6a8312a/PS7_English_2012.pdf?MOD=AJPERES

APPENDIX 17: PROJECT E&S INFORMATION CHECKLIST FOR HANDOVER TO PMD

1. PROJECT DETAILS

Company Name:	
Sector/Type:	
Project Type:	
Brief Project Description:	

2. FINAL CATEGORIZATION

Social and Environmental Category, Risks and Mitigations	
Recommended Social and Environmental Categorisation	
Social and Environmental Categorisation Rationale	
Anticipated E&S impacts	
Recommended Mitigations:	

PROJECT DOCUMENTATION REQUIRED BY PMD

CATEGORY 1	<ul style="list-style-type: none">▪ ESIA and EMP▪ SEDD▪ Action Plan▪ Project covenant (including E&S commitments)
------------	--

	<ul style="list-style-type: none"> ▪ Potential adverse impacts and risks identified, including the identification of the Affected Communities ▪ Planned mitigation and any areas of concern that need to be further addressed ▪ The process of stakeholder engagement ▪ Authority Approvals/permits
CATEGORY 2	<ul style="list-style-type: none"> ▪ SEDD ▪ Action Plan ▪ Project covenant (including E&S commitments) ▪ Potential adverse impacts and risks identified, including the identification of the Affected Communities ▪ Planned mitigation and any areas of concern that need to be further addressed ▪ The process of stakeholder engagement ▪ Authority Approvals/permits
CATEGORY 3	<ul style="list-style-type: none"> ▪ SEDD ▪ Action Plan ▪ Project covenant (including E&S commitments) ▪ Potential adverse impacts and risks identified, including the identification of the Affected Communities ▪ Planned mitigation and any areas of concern that need to be further addressed
CATEGORY 4	<ul style="list-style-type: none"> ▪ SEDD ▪ Action Plan ▪ Project covenant (including E&S commitments) ▪ Potential adverse impacts and risks identified, including the identification of the Affected Communities ▪ Planned mitigation and any areas of concern that need to be further addressed

Signature of PIF or TF

Officer:

Date:

Signature of E&S

Manager/Coordinator:

Date

APPENDIX 18: GRIEVANCE PROCEDURE

This Grievance Procedure was developed in accordance with the requirements of the IFC Performance Standard 1, Guidance Note 1 on assessment and management of environmental and social risks and impacts, 2012. The focus of this procedure is on grievances raised by external stakeholder groups such as affected communities, local government authorities, non-governmental and other civil society organizations, local institutions and other interested or affected parties. The procedure does not address engagement with suppliers, contractors, distributors, or customers, because interaction with these parties is a core business function for most companies and subject to national regulations and/or established corporate policies and procedure.

The Grievance Procedure is divided into six key steps as discussed below:

1. STEP 1: RECEIVE AND LOG GRIEVANCE

- The grievance is received by a Client representative. Regardless of who receives the grievance, it needs to be forwarded to the ESMS officer within the Client Company for attention.
- The Client company ESMS officer logs the grievance using the official Grievance Log Form included below and ensures that actions are taken against the grievance.

2. STEP 2: ACKNOWLEDGE GRIEVANCE

- The Client company ESMS officer will communicate in writing to the complainant acknowledging receipt of the grievance.
- This communication will be provided within 5 days of receiving the grievance.

3. STEP 3: ASSESS AND PRIORITISE GRIEVANCE AND FORWARD TO RESPONSIBLE INDIVIDUAL

- The Client ESMS officer will assess the grievance, and assign it a risk rating, as per the risk rating described below.
- Once the grievance has been rated the grievance will be forwarded to the relevant individual to be addressed (e.g. HR, Production, Procurement etc). Repeated or continuous Level 1 or 2 complaints must be escalated to the next management level up, if the cause is not rectified within an acceptable period of time.
- TDB must be notified, as soon as possible and in not more than 5 days of receipt of the grievance, if it is assessed to be Level 2 or Level 3.

3.1 Grievance Rating

The following criteria will be used as a basis for the prioritisation of different levels of complaints received.

- A Risk Level 1 complaint is one which is isolated, or "once-off" (within a given reporting period), and essentially local in nature, and has little potential to cause long term damage to stakeholder relations locally and nationally.

- A Risk Level 2 complaint is one which is widespread and repeated, has resulted in attention from the media at local / regional level, and has the potential to cause damage to stakeholder relations locally and nationally.
- A Risk Level 3 complaint is one which is both widespread and / or repeated and which, in addition, has resulted in a serious breach of Company policies, or the law and / or has led to negative national / international media attention, or is judged to have the potential to generate negative comment from the media, or other key stakeholders. A Risk Level 3 complaint also has the potential to cause major damage to stakeholder relations, locally, nationally and internationally.

4. STEP 4: INVESTIGATE AND RESOLVE GRIEVANCE

- An Investigation Team (overseen by the Client company ESMS officer) will be assigned within 10 days of receipt of the grievance by the Client company ESMS officer. The team will be tasked with investigating the underlying cause of the grievance and action any changes required to internal systems to prevent a recurrence of a similar grievance. An Investigation Report will be completed within 28 days.
- During the 28 days of investigation, the Client company ESMS officer will co-ordinate conflict resolution activities necessary to contain and resolve any actual or potential conflicts arising from the reported grievance.

5. STEP 5: SIGN-OFF ON GRIEVANCE

- The Client company ESMS officer will seek sign-off from the stakeholder that the grievance has been resolved.
- In instances where the stakeholder is not satisfied with actions taken, the grievance will be escalated to senior management and a decision will be taken either to implement supplementary actions or to consider initiating an additional engagement process.
- Following additional engagement with the complainant, the Client company ESMS officer will again approach the stakeholder to obtain sign-off on actions implemented in accordance with agreed outcomes.

6. STEP 6: MONITOR

- The Client company ESMS officer will monitor the satisfaction of the stakeholder and project personnel following sign-off (this will take place within 28 days of final sign-off).

REPORTING AND DOCUMENTATION

The Client company ESMS officer will compile concise quarterly and annual reports of all grievances logged, results of these activities and grievances, and monitoring of the success of the stakeholder engagement and grievance resolution process. This will be made available for internal reporting to TDB's ESMS manager and ESMS officer.

GRIEVANCE LOG FORM

SECTION 1: COMPLAINANT DETAILS			
Complaint Reference Number	Date Received	Recipient of Complaint	Manner in which Complaint was Identified / Submitted by Complainant
Name of Complainant / Organisation Registering Complaint (if not anonymous)			
Contact Details	Telephone Number	Physical and/or Postal Address	
SECTION 2: DETAILS OF COMPLAINT			
Company Manager Responsible for Addressing the Complaint			
Time and Date Complaint Refers to			
Description of Complaint and / or Evidence of the Issue			
SECTION 3: ACTION TAKEN / REQUIRED			
Acknowledgement of Complaint Sent to Complainant? (Y / N)	Date When Acknowledgment Provided	Date Set for Resolution of Complaint	

Description of Subsequent Action Taken (divide into Immediate Action and Subsequent Investigation, if applicable)		
Action Carried Out By Whom	Date of Completion	Method of feedback to Complainant
Stakeholder Response to Action		
SECTION 4: EFFECTIVENESS REVIEW		
How were the Actions Verified to be Effective at Resolving the Complaint?		
Approved By	Date	

APPENDIX 19 PS GUIDANCE NOTES

https://www.ifc.org/wps/wcm/connect/e280ef804a0256609709ffd1a5d13d27/GN_English_2012_Full-Document.pdf?MOD=AJPERES

APPENDIX 20 ESMS SELF ASSESSMENT GUIDE

<https://www.ifc.org/wps/wcm/connect/e44e08004a5a44c58a0ecf9c54e94b00/ESMS+Self+Assessment+v2.3+EN.pdf?MOD=AJPERES>

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

ADDENDUM TO THE ESMS-RENEWABLE ENERGY E&S MONITORING TEMPLATES

This addendum to the ESMS is aimed at making some amendments to the ESMS to include some explicit reference to renewable energy expertise, as well as a list of management programme requirements for specific renewable energy project types.

The monitoring templates cover the following sub-sectors within the Renewable Energy Sector:

- (i) Geothermal
- (ii) Wind
- (iii) Biomass
- (iv) Hydropower
- (v) Solar

Environmental & Social Indicators for Monitoring of TDB's Renewable Energies Projects

GEOHERMAL

To be filled out by the responsible party for Environmental, Social, Health and Safety Risks.
Please return the filled out questionnaire to TDB Bank.

Please use as much space as you need, the field height should not be a limit.

Attach any relevant documents to this questionnaire and indicate a cross reference.

Details on the Borrower			
Institution Name:			
Completed by (Name):			
Name of Portfolio/Credit Line:			
Country:			
City/Location:			
<p>Company authorized representative</p> <p>I certify that the data contained in this report completely and accurately represents the current status of knowledge of the investment.</p> <p>Signature:</p>			
Title:		City/Date:	
<p>Contact details of responsible persons completing this questionnaire (executive board member, environment, social, health & safety, HR, legal), if assigned:</p>			
Position	Name	Telephone Number	Email Address

Details on the Project

Borrower Name:	
Borrower Address:	
Country:	
City/Location:	
Project Name:	
Project Category:	
Contact Person:	

Contact details of responsible persons (executive board member, environment, social, health & safety, HR, legal), if assigned

Position	Name	Telephone Number	Email Address

Project Status: Design Construction Expansion Commissioning Operation Closure other; please specify:

Current reporting period:	Previous reporting period:
When was the last site visit? Date:	By whom:

Details on the Project

When is the next site visit planned?

Date:

General

Permits

List the permits that are needed and if they have been already granted or applied for:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

E&S Action and Monitoring / Management System

Do you have a documented Environmental and Social Management System (ESMS)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Have there been any changes in the Management System or the Management Plans?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:
Have there been any updates to the Environmental and Social Policies adopted by your organization?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide a copy of the updated policies, including date when it was issued and reasons for the same.
Please summarize any staff training concerning this project (including number of staff trained) during the reporting period. Please provide a copy of the training plans and training records.		
Have there been any changes in the Environmental and Social Action Plan (ESAP)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide ESAP change log and copy of new ESAP.
Have there been any accidents or environmental or social incidents (during this reporting period) that have caused damage, brought about injuries or fatalities, affected project labour or local communities, affected cultural property, or created liabilities for the company? Please provide incident logs.	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe, including details of actions to repair and prevent reoccurrence:

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

<p>Is the project materially compliant with all applicable environmental and social laws and regulations?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>If no, please provide details of any material non-compliances:</p>
<p>How many inspections did you receive from the local environmental authorities during the reporting period?</p>	<p>Number:</p>	<p>Please provide details of these visits:</p>
<p>How many inspections did you receive from the local health and safety authorities during the reporting period?</p>	<p>Number:</p>	<p>Please provide details of these visits:</p>
<p>How many inspections did you receive from the local labour authorities during the reporting period?</p>	<p>Number:</p>	<p>Please provide details of these visits:</p>
<p>Have these visits resulted in any penalties, fines and/or corrective action plans?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>If yes, please describe:</p>
<p>Have any operations been reduced, temporarily suspended or closed down due to environmental, health and safety or labour reasons?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>If yes, please describe:</p>
<p>Please describe any EHS or labour initiatives undertaken during the reporting period:</p>		

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

Stakeholder Engagement

Please provide the name and contact details for your external relations or community engagement manager:

Have there been any changes to the Stakeholder Engagement Plan (SEP)?

Yes

No

If yes, please provide SEP change log and copy of new SEP. Please also provide updated stakeholder list, if applicable.

How many complaints or grievances did the project receive from members of the public or civil society organisations during the reporting period? Please split by stakeholder group. Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.

Please summarise meetings held with members of the public or public organisations during the reporting period. Please provide meeting minutes

Please summarise any information provided to members of the public and other stakeholders during the report period relating to environmental, social or safety issues. Please provide copies of disclosure notices and other correspondence with stakeholders.

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

Please summarise any on-going social or community development initiatives undertaken during the reporting period. Please provide details on spending during the reporting period and a copy of the updated Community Development Plan or similar documentation.

PS 2 - Labor and Working Conditions

Human Resources Management

Number of permanent employees for this project:	Number of temporary employees for this project:	Number of contractor staff on site:
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Have there been any changes to policies or terms and conditions concerning non-discrimination and equal opportunity during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any changes to policies or terms and conditions concerning under age (18) employment during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any changes to policies or terms and conditions concerning wages (wage level, normal, overtime etc.) or working hours during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any changes to policies or terms and conditions concerning union recognition or negotiation during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:

PS 2 - Labor and Working Conditions

Have there been any changes to the health and safety policies during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
How many complaints or grievances did the project receive from workers during the reporting period? Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.		
Were there any collective redundancies during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe including number of workers involved, reasons, consultation undertaken and how they were selected:
Are there any planned redundancies or additions to the workforce in the next year?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide redundancy plan, including number of workers involved and consultation process:
Have there been any disputes related to labour and working conditions in the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize below and provide copies of lodged disputes.
Have there been any other significant labour issues or grievances raised during the reporting period (including court cases or complaints from trade unions or non-governmental organizations)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:

Health and Safety Data

PS 2 - Labor and Working Conditions

In addition to the data filled in below, please provide H&S incidence log, including follow up investigations and corrective action implementation.

Fatalities ²⁰ :	Number:	Total Lost Time Accidents (including vehicular) ²¹ :	Number:
Total number of lost workdays ²² resulting from incidents:	Number:	Total man-hours worked this reporting period:	Number:
Incidence ²³ during this reporting period:	Number:	Incidence during the previous reporting period:	Number:

Please summarise any health and safety training that has been provided for company personnel during the report period. Please provide the training records.

Please summarise any emergency prevention and response training that has been provided for company personnel during the report period. Please provide the training records.

²⁰ If you have not already done so, please provide a separate report detailing the circumstances of each fatality.

²¹ Incapacity to work for at least one full workday beyond the day on which the accident or illness occurred.

²² Lost workdays are the number of workdays (consecutive or not) beyond the date of injury or onset of illness that the employee was away from work or limited to restricted work activity because of an occupational injury or illness.

²³ Incidence = total lost workdays / total hours worked

PS 3 - Resource Efficiency and Pollution Prevention

Have there been any spill cases or pollution of water, soil or air?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details including emergency response. Please provide incidence log.
Has there been any event of fire, sediment loads, storm water, a flood or an earthquake?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details and describe emergency response, if applicable:
Has there been any improvement in process efficiency, waste minimization or other schemes (energy savings, ISO certification)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please elaborate:
Has a Greenhouse Gas Assessment been conducted during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarise the results:

Environmental Monitoring Data²⁴ - *please attach data sheets as required*

Parameter ²⁵	Value ²⁶	Unit	Legislative limit and/ or IFC EHS guideline limit	Compliance Status ²⁷	Comments ²⁸
Waste Water					

²⁴ Not all parameters will necessarily apply. Please complete those rows that are most relevant to the industry sector. Additional parameters can be added as necessary.

²⁵ Not all parameters will necessarily apply. Please complete those rows that are most relevant to the industry sector. Additional parameters can be added as necessary.

²⁶ Please ensure that the units of measurement are clearly stated.

²⁷ Please report on compliance against the standards agreed with TDB for this project (typically local, EU, World Bank Group, IFC): compliant / slightly over the limit / unknown / exceeding the limit

²⁸ In addition to any other relevant comments, please indicate whether the measurements reported apply to all or only some process operations at the facility.

PS 3 - Resource Efficiency and Pollution Prevention

Total waste water generated					
BOD					
COD					
Suspended Solids					
Phosphorus					
Nitrates					
Heavy metals					
[Other]					
Air Emissions					
SO ₂					
NO _x					
Particulates					
CO ₂ /CO ₂ equivalents					
CH ₄					
N ₂ O					
HFCs					
PFCs					

PS 3 - Resource Efficiency and Pollution Prevention

SF ₆					
[Other]					
Other Parameters					
Noise - at the project fence line					
Noise - at the closest sensitive receptor					
EMF (Electric and Magnetic Fields) – at the closest sensitive receptor					
[Other]					
Solid Waste					

Please provide details of the types and amounts of solid wastes generated by the project. Indicate where wastes are classified as hazardous. Indicate the final re-use, recycle or disposal method for each waste type.

PS 4 - Community Health, Safety, and Security

Has there been any work or traffic at night?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any traffic incidents involving project vehicles outside of the site?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize and provide traffic incident log.

Please summarize any training or awareness raising activities that have been undertaken during the reporting period:

PS 5 - Land Acquisition and Involuntary Resettlement

If Applicable, please summarize any progress made during the reporting period in the implementation of the Resettlement Action Plan (RAP) or Livelihood Restoration Framework (LRF). Please provide copy of updated RAF/LRF.

Have all the affected persons been fully compensated for their physical displacement and, if applicable, any economic losses resulting from the project?

Yes

No

If no, specify how many compensation payments are still outstanding (in terms of number and percentage of recipients and payment amounts) and state when these payment will be made:

Please provide a status update of the implementation of livelihood restoration activities as stipulated within the RAP.

Has there been any new land acquired during the reporting period for this project?

Yes

No

If yes, explain the extent of the land acquisition and any due diligence conducted.

Please provide copy of RAF/LRF, including compensation summary and details on compensation rates.

PS 6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources

Has there been any vegetation clearing during the breeding season during this reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Has site clearing been minimised in accordance with the Construction Site Management Plan?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, please explain and give reasons:
Is soil erosion or landslides visible within the project area?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe measures for mitigation:
Please summarize status of renaturation and re-planting of vegetation (plant status, progress in plant growth):		
Has a bird monitoring been conducted for the transmission line component during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarize the results:

PS 7 - Indigenous Peoples

Have there been any changes to the Indigenous Peoples Plan (IPP) or Framework (IPF)?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarize and provide a copy of the updated IPP or IPF.
Please highlight which stakeholder engagement activities detailed above related specifically to indigenous peoples.		

PS 7 - Indigenous Peoples

PS 8 – Cultural Heritage

Has there been a chance find during the report period?

Yes

No

If yes, please give details. Please provide reports/records and follow on actions.

Please summarise any training on chance find that has been provided for personnel during the report period:

Environmental & Social Indicators for Monitoring of TDB's Renewable Energies Projects

WIND

To be filled out by the responsible party for Environmental, Social, Health and Safety Risks. Please return the filled out questionnaire to TDB.

Please use as much space as you need, the field height should not be a limit.

Attach any relevant documents to this questionnaire and indicate a cross reference.

Details on the Borrower

Institution Name:

Completed by (Name):

Details on the Borrower

Name of Portfolio/Credit Line:

Country:

City/Location:

Company authorized representative

I certify that the data contained in this report completely and accurately represents the current status of knowledge of the investment.

Signature:

Title:

City/Date:

Contact details of responsible persons completing this questionnaire (executive board member, environment, social, health & safety, HR, legal), if assigned:

Position	Name	Telephone Number	Email Address

Details on the Project

Borrower Name:

Borrower Address:

Country:

City/Location:

Details on the Project

Project Name:

Project Category:

Contact Person:

Contact details of responsible persons (executive board member, environment, social, health & safety, HR, legal), if assigned

Position

Name

Telephone Number

Email Address

Project Status: Design Construction Expansion Commissioning Operation Closure other; please specify:

Current reporting period:

Previous reporting period:

When was the last site visit?

By whom:

Date:

When is the next site visit planned?

Date:

General

Permits

List the permits that are needed and if they have been already granted or applied for:

General

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

E&S Action and Monitoring / Management System

Do you have a documented Environmental and Social Management System (ESMS)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Have there been any changes in the Management System or the Management Plans?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:
Have there been any updates to the Environmental and Social Policies adopted by your organization?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide a copy of the updated policies, including date when it was issued and reasons for the same.
Please summarize any staff training concerning this project (including number of staff trained) during the reporting period. Please provide a copy of the training plans and training records.		
Have there been any changes in the Environmental and Social Action Plan (ESAP)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide ESAP change log and copy of new ESAP.
Have there been any accidents or environmental or social incidents (during this reporting period) that have caused damage, brought about injuries or fatalities, affected project labour or local communities, affected cultural property, or created liabilities for the company? Please provide incident logs.	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe, including details of actions to repair and prevent reoccurrence:

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

<p>Is the project materially compliant with all applicable environmental and social laws and regulations?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>If no, please provide details of any material non-compliances:</p>
<p>How many inspections did you receive from the local environmental authorities during the reporting period?</p>	<p>Number:</p>	<p>Please provide details of these visits:</p>
<p>How many inspections did you receive from the local health and safety authorities during the reporting period?</p>	<p>Number:</p>	<p>Please provide details of these visits:</p>
<p>How many inspections did you receive from the local labour authorities during the reporting period?</p>	<p>Number:</p>	<p>Please provide details of these visits:</p>
<p>Have these visits resulted in any penalties, fines and/or corrective action plans?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>If yes, please describe:</p>
<p>Have any operations been reduced, temporarily suspended or closed down due to environmental, health and safety or labour reasons?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>If yes, please describe:</p>
<p>Please describe any EHS or labour initiatives undertaken during the reporting period:</p>		

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

Stakeholder Engagement

Please provide the name and contact details for your external relations or community engagement manager:

Have there been any changes to the Stakeholder Engagement Plan (SEP)?

Yes

No

If yes, please provide SEP change log and copy of new SEP. Please also provide updated stakeholder list, if applicable.

How many complaints or grievances did the project receive from members of the public or civil society organisations during the reporting period? Please split by stakeholder group. Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.

Please summarise meetings held with members of the public or public organisations during the reporting period. Please provide meeting minutes

Please summarise any information provided to members of the public and other stakeholders during the report period relating to environmental, social or safety issues. Please provide copies of disclosure notices and other correspondence with stakeholders.

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

Please summarise any on-going social or community development initiatives undertaken during the reporting period. Please provide details on spending during the reporting period and a copy of the updated Community Development Plan or similar documentation.

PS 2 - Labor and Working Conditions

Human Resources Management

Number of permanent employees for this project:	Number of temporary employees for this project:	Number of contractor staff on site:
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Have there been any changes to policies or terms and conditions concerning non-discrimination and equal opportunity during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any changes to policies or terms and conditions concerning under age (18) employment during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any changes to policies or terms and conditions concerning wages (wage level, normal, overtime etc.) or working hours during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any changes to policies or terms and conditions concerning union recognition or negotiation during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:

PS 2 - Labor and Working Conditions

Have there been any changes to the health and safety policies during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
How many complaints or grievances did the project receive from workers during the reporting period? Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.		
Were there any collective redundancies during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe including number of workers involved, reasons, consultation undertaken and how they were selected:
Are there any planned redundancies or additions to the workforce in the next year?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide redundancy plan, including number of workers involved and consultation process:
Have there been any disputes related to labour and working conditions in the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize below and provide copies of lodged disputes.
Have there been any other significant labour issues or grievances raised during the reporting period (including court cases or complaints from trade unions or non-governmental organizations)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:

Health and Safety Data

PS 2 - Labor and Working Conditions

In addition to the data filled in below, please provide H&S incidence log, including follow up investigations and corrective action implementation.

Fatalities ²⁹ :	Number:	Total Lost Time Accidents (including vehicular) ³⁰ :	Number:
Total number of lost workdays ³¹ resulting from incidents:	Number:	Total man-hours worked this reporting period:	Number:
Incidence ³² during this reporting period:	Number:	Incidence during the previous reporting period:	Number:

Please summarise any health and safety training that has been provided for company personnel during the report period. Please provide the training records.

Please summarise any emergency prevention and response training that has been provided for company personnel during the report period. Please provide the training records.

²⁹ If you have not already done so, please provide a separate report detailing the circumstances of each fatality.

³⁰ Incapacity to work for at least one full workday beyond the day on which the accident or illness occurred.

³¹ Lost workdays are the number of workdays (consecutive or not) beyond the date of injury or onset of illness that the employee was away from work or limited to restricted work activity because of an occupational injury or illness.

³² Incidence = total lost workdays / total hours worked

PS 3 - Resource Efficiency and Pollution Prevention

Have there been any spill cases or pollution of water, soil or air?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details including emergency response. Please provide incidence log.
Has there been any event of fire, sediment loads, storm water, a flood or an earthquake?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details and describe emergency response, if applicable:
Has there been any improvement in process efficiency, waste minimization or other schemes (energy savings, ISO certification)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please elaborate:
Has a Greenhouse Gas Assessment been conducted during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarise the results:

Environmental Monitoring Data³³ - *please attach data sheets as required*

Parameter ³⁴	Value ³⁵	Unit	Legislative limit and/ or IFC EHS guideline limit	Compliance Status ³⁶	Comments ³⁷
Noise / EMF					

³³ Not all parameters will necessarily apply. Please complete those rows that are most relevant to the industry sector. Additional parameters can be added as necessary.

³⁴ Not all parameters will necessarily apply. Please complete those rows that are most relevant to the industry sector. Additional parameters can be added as necessary.

³⁵ Please ensure that the units of measurement are clearly stated.

³⁶ Please report on compliance against the standards agreed with TDB for this project (typically local, EU, World Bank Group, IFC): compliant / slightly over the limit / unknown / exceeding the limit

³⁷ In addition to any other relevant comments, please indicate whether the measurements reported apply to all or only some process operations at the facility.

PS 3 - Resource Efficiency and Pollution Prevention

Noise - at the project fence line					
Noise - at the closest sensitive receptor					
EMF (Electric and Magnetic Fields) – at the closest sensitive receptor					
[Other]					
Solid Waste					

Please provide details of the types and amounts of solid wastes generated by the project. Indicate where wastes are classified as hazardous. Indicate the final re-use, recycle or disposal method for each waste type.

PS 4 - Community Health, Safety, and Security

Has there been any work or traffic at night?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any traffic incidents involving project vehicles outside of the site?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize and provide traffic incident log.
Please summarize any training or awareness raising activities that have been undertaken during the reporting period:		

PS 4 - Community Health, Safety, and Security

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PS 5 - Land Acquisition and Involuntary Resettlement

If Applicable, please summarize any progress made during the reporting period in the implementation of the Resettlement Action Plan (RAP) or Livelihood Restoration Framework (LRF). Please provide copy of updated RAF/LRF.

Have all the affected persons been fully compensated for their physical displacement and, if applicable, any economic losses resulting from the project?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, specify how many compensation payments are still outstanding (in terms of number and percentage of recipients and payment amounts) and state when these payment will be made:
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Please provide a status update of the implementation of livelihood restoration activities as stipulated within the RAP.

Has there been any new land acquired during the reporting period for this project?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, explain the extent of the land acquisition and any due diligence conducted. Please provide copy of RAF/LRF, including compensation summary and details on compensation rates.
--	---	--

PS 6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources

Has there been any vegetation clearing during the breeding season during this reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Has site clearing been minimised in accordance with the Construction Site Management Plan?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, please explain and give reasons:
Is soil erosion or landslides visible within the project area?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe measures for mitigation:
Please summarize status of renaturation and re-planting of vegetation (plant status, progress in plant growth):		
Has a bird monitoring been conducted during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarize the results:
Has a bat monitoring been conducted during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarize the results:

PS 7 - Indigenous Peoples

Have there been any changes to the Indigenous Peoples Plan (IPP) or Framework (IPF)?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarize and provide a copy of the updated IPP or IPF.
--	---	--

PS 7 - Indigenous Peoples

Please highlight which stakeholder engagement activities detailed above related specifically to indigenous peoples.

PS 8 – Cultural Heritage

Has there been a chance find during the report period?

Yes

No

If yes, please give details. Please provide reports/records and follow on actions.

Please summarise any training on chance find that has been provided for personnel during the report period:

Environmental & Social Indicators for Monitoring of TDB's Renewable Energies Projects

SOLAR

To be filled out by the responsible party for Environmental, Social, Health and Safety Risks. Please return the filled out questionnaire to TDB.

Please use as much space as you need, the field height should not be a limit.

Attach any relevant documents to this questionnaire and indicate a cross reference.

Details on the Borrower			
Institution Name:			
Completed by (Name):			
Name of Portfolio/Credit Line:			
Country:			
City/Location:			
<p>Company authorized representative</p> <p>I certify that the data contained in this report completely and accurately represents the current status of knowledge of the investment.</p> <p>Signature:</p>			
Title:		City/Date:	
<p>Contact details of responsible persons completing this questionnaire (executive board member, environment, social, health & safety, HR, legal), if assigned:</p>			
Position	Name	Telephone Number	Email Address

Details on the Borrower

Details on the Project

Borrower Name:			
Borrower Address:			
Country:			
City/Location:			
Project Name:			
Project Category:			
Contact Person:			
Contact details of responsible persons (executive board member, environment, social, health & safety, HR, legal), if assigned			
Position	Name	Telephone Number	Email Address
Project Status: <input type="checkbox"/> Design <input type="checkbox"/> Construction <input type="checkbox"/> Expansion <input type="checkbox"/> Commissioning <input type="checkbox"/> Operation <input type="checkbox"/> Closure <input type="checkbox"/> other; please specify:			

Details on the Project

Current reporting period:

Previous reporting period:

When was the last site visit?

Date:

By whom:

When is the next site visit planned?

Date:

General

Permits

List the permits that are needed and if they have been already granted or applied for:

Permit:

Granted Applied for

Permit Conditions:

Permit:

Granted Applied for

Permit Conditions:

Permit:

Granted Applied for

Permit Conditions:

Permit:

Granted Applied for

Permit Conditions:

Permit:

Granted Applied for

Permit Conditions:

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

E&S Action and Monitoring / Management System

Do you have a documented Environmental and Social Management System (ESMS)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Have there been any changes in the Management System or the Management Plans?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:
Have there been any updates to the Environmental and Social Policies adopted by your organization?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide a copy of the updated policies, including date when it was issued and reasons for the same.
Please summarize any staff training concerning this project (including number of staff trained) during the reporting period. Please provide a copy of the training plans and training records.		
Have there been any changes in the Environmental and Social Action Plan (ESAP)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide ESAP change log and copy of new ESAP.
Have there been any accidents or environmental or social incidents (during this reporting period) that have caused damage, brought about injuries or fatalities, affected project labour or local communities, affected cultural property, or created liabilities for the company? Please provide incident logs.	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe, including details of actions to repair and prevent reoccurrence:

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

<p>Is the project materially compliant with all applicable environmental and social laws and regulations?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>If no, please provide details of any material non-compliances:</p>
<p>How many inspections did you receive from the local environmental authorities during the reporting period?</p>	<p>Number:</p>	<p>Please provide details of these visits:</p>
<p>How many inspections did you receive from the local health and safety authorities during the reporting period?</p>	<p>Number:</p>	<p>Please provide details of these visits:</p>
<p>How many inspections did you receive from the local labour authorities during the reporting period?</p>	<p>Number:</p>	<p>Please provide details of these visits:</p>
<p>Have these visits resulted in any penalties, fines and/or corrective action plans?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>If yes, please describe:</p>
<p>Have any operations been reduced, temporarily suspended or closed down due to environmental, health and safety or labour reasons?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>If yes, please describe:</p>
<p>Please describe any EHS or labour initiatives undertaken during the reporting period:</p>		

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

Stakeholder Engagement

Please provide the name and contact details for your external relations or community engagement manager:

Have there been any changes to the Stakeholder Engagement Plan (SEP)?

Yes

No

If yes, please provide SEP change log and copy of new SEP. Please also provide updated stakeholder list, if applicable.

How many complaints or grievances did the project receive from members of the public or civil society organisations during the reporting period? Please split by stakeholder group. Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.

Please summarise meetings held with members of the public or public organisations during the reporting period. Please provide meeting minutes

Please summarise any information provided to members of the public and other stakeholders during the report period relating to environmental, social or safety issues. Please provide copies of disclosure notices and other correspondence with stakeholders.

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

Please summarise any on-going social or community development initiatives undertaken during the reporting period. Please provide details on spending during the reporting period and a copy of the updated Community Development Plan or similar documentation.

PS 2 - Labor and Working Conditions

Human Resources Management

Number of permanent employees for this project:	Number of temporary employees for this project:	Number of contractor staff on site:
---	---	-------------------------------------

Have there been any changes to policies or terms and conditions concerning non-discrimination and equal opportunity during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any changes to policies or terms and conditions concerning under age (18) employment during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any changes to policies or terms and conditions concerning wages (wage level, normal, overtime etc.) or working hours during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any changes to policies or terms and conditions concerning union recognition or negotiation during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any changes to the health and safety policies during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:

PS 2 - Labor and Working Conditions

How many complaints or grievances did the project receive from workers during the reporting period? Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.

Were there any collective redundancies during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe including number of workers involved, reasons, consultation undertaken and how they were selected:
Are there any planned redundancies or additions to the workforce in the next year?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide redundancy plan, including number of workers involved and consultation process:
Have there been any disputes related to labour and working conditions in the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize below and provide copies of lodged disputes.
Have there been any other significant labour issues or grievances raised during the reporting period (including court cases or complaints from trade unions or non-governmental organizations)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:

Health and Safety Data

PS 2 - Labor and Working Conditions

In addition to the data filled in below, please provide H&S incidence log, including follow up investigations and corrective action implementation.

Fatalities ³⁸ :	Number:	Total Lost Time Accidents (including vehicular) ³⁹ :	Number:
Total number of lost workdays ⁴⁰ resulting from incidents:	Number:	Total man-hours worked this reporting period:	Number:
Incidence ⁴¹ during this reporting period:	Number:	Incidence during the previous reporting period:	Number:

Please summarise any health and safety training that has been provided for company personnel during the report period. Please provide the training records.

Please summarise any emergency prevention and response training that has been provided for company personnel during the report period. Please provide the training records.

³⁸ If you have not already done so, please provide a separate report detailing the circumstances of each fatality.

³⁹ Incapacity to work for at least one full workday beyond the day on which the accident or illness occurred.

⁴⁰ Lost workdays are the number of workdays (consecutive or not) beyond the date of injury or onset of illness that the employee was away from work or limited to restricted work activity because of an occupational injury or illness.

⁴¹ Incidence = total lost workdays / total hours worked

PS 3 - Resource Efficiency and Pollution Prevention

Have there been any spill cases or pollution of water, soil or air?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details including emergency response. Please provide incidence log.
Has there been any event of fire, sediment loads, storm water, a flood or an earthquake?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details and describe emergency response, if applicable:
Has there been any improvement in process efficiency, waste minimization or other schemes (energy savings, ISO certification)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please elaborate:
Has a Greenhouse Gas Assessment been conducted during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarise the results:

Environmental Monitoring Data⁴² - *please attach data sheets as required*

Parameter ⁴³	Value ⁴⁴	Unit	Legislative limit and/ or IFC EHS guideline limit	Compliance Status ⁴⁵	Comments ⁴⁶
Noise / EMF					

⁴² Not all parameters will necessarily apply. Please complete those rows that are most relevant to the industry sector. Additional parameters can be added as necessary.

⁴³ Not all parameters will necessarily apply. Please complete those rows that are most relevant to the industry sector. Additional parameters can be added as necessary.

⁴⁴ Please ensure that the units of measurement are clearly stated.

⁴⁵ Please report on compliance against the standards agreed with TDB for this project (typically local, EU, World Bank Group, IFC): compliant / slightly over the limit / unknown / exceeding the limit

⁴⁶ In addition to any other relevant comments, please indicate whether the measurements reported apply to all or only some process operations at the facility.

PS 3 - Resource Efficiency and Pollution Prevention

Noise - at the project fence line					
Noise - at the closest sensitive receptor					
EMF (Electric and Magnetic Fields) – at the closest sensitive receptor					
[Other]					
Solid Waste					

Please provide details of the types and amounts of solid wastes generated by the project. Indicate where wastes are classified as hazardous. Indicate the final re-use, recycle or disposal method for each waste type.

PS 4 - Community Health, Safety, and Security

Has there been any work or traffic at night?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any traffic incidents involving project vehicles outside of the site?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize and provide traffic incident log,
Please summarize any training or awareness raising activities that have been undertaken during the reporting period:		

PS 5 - Land Acquisition and Involuntary Resettlement

<p>If Applicable, please summarize any progress made during the reporting period in the implementation of the Resettlement Action Plan (RAP) or Livelihood Restoration Framework (LRF). Please provide copy of updated RAF/LRF.</p>		
Have all the affected persons been fully compensated for their physical displacement and, if applicable, any economic losses resulting from the project?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, specify how many compensation payments are still outstanding (in terms of number and percentage of recipients and payment amounts) and state when these payment will be made:
Please provide a status update of the implementation of livelihood restoration activities as stipulated within the RAP.		

PS 5 - Land Acquisition and Involuntary Resettlement

Has there been any new land acquired during the reporting period for this project?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, explain the extent of the land acquisition and any due diligence conducted. Please provide copy of RAF/LRF, including compensation summary and details on compensation rates.
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PS 6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources

Has there been any vegetation clearing during the breeding season during this reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Has site clearing been minimised in accordance with the Construction Site Management Plan?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, please explain and give reasons:
Is soil erosion or landslides visible within the project area?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe measures for mitigation:
Please summarize status of renaturation and re-planting of vegetation (plant status, progress in plant growth):		
Has a bird monitoring been conducted for the transmission line	Yes <input type="checkbox"/>	If yes, please summarize the results:

PS 6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources

component during the reporting period?	No <input type="checkbox"/> N/A <input type="checkbox"/>	
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PS 7 - Indigenous Peoples

Have there been any changes to the Indigenous Peoples Plan (IPP) or Framework (IPF)?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarize and provide a copy of the updated IPP or IPF.
--	---	--

Please highlight which stakeholder engagement activities detailed above related specifically to indigenous peoples.

PS 8 – Cultural Heritage

Has there been a chance find during the report period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details. Please provide reports/records and follow on actions.
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Please summarise any training on chance find that has been provided for personnel during the report period:

Environmental & Social Indicators for Monitoring of TDB's Renewable Energies Projects

BIOMASS

To be filled out by the responsible party for Environmental, Social, Health and Safety Risks. Please return the filled out questionnaire to TDB.

Please use as much space as you need, the field height should not be a limit.

Attach any relevant documents to this questionnaire and indicate a cross reference.

Details on the Borrower			
Institution Name:			
Completed by (Name):			
Name of Portfolio/Credit Line:			
Country:			
City/Location:			
Company authorized representative			
I certify that the data contained in this report completely and accurately represents the current status of knowledge of the investment.			
Signature:			
Title:		City/Date:	
Contact details of responsible persons completing this questionnaire (executive board member, environment, social, health & safety, HR, legal), if assigned:			
Position	Name	Telephone Number	Email Address

Details on the Project

Borrower Name:			
Borrower Address:			
Country:			
City/Location:			
Project Name:			
Project Category:			
Contact Person:			
Contact details of responsible persons (executive board member, environment, social, health & safety, HR, legal), if assigned			
Position	Name	Telephone Number	Email Address
Project Status: <input type="checkbox"/> Design <input type="checkbox"/> Construction <input type="checkbox"/> Expansion <input type="checkbox"/> Commissioning <input type="checkbox"/> Operation <input type="checkbox"/> Closure <input type="checkbox"/> other; please specify:			
Current reporting period:		Previous reporting period:	
When was the last site visit? Date:		By whom:	
When is the next site visit planned? Date:			

General

Permits

List the permits that are needed and if they have been already granted or applied for:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

E&S Action and Monitoring / Management System

Do you have a documented Environmental and Social Management System (ESMS)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Have there been any changes in the Management System or the Management Plans?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:
Have there been any updates to the Environmental and Social Policies adopted by your organization?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide a copy of the updated policies, including date when it was issued and reasons for the same.
Please summarize any staff training concerning this project (including number of staff trained) during the reporting period. Please provide a copy of the training plans and training records.		
Have there been any changes in the Environmental and Social Action Plan (ESAP)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide ESAP change log and copy of new ESAP.
Have there been any accidents or environmental or social incidents (during this reporting period) that have caused damage, brought about injuries or fatalities, affected project labour or local communities, affected cultural property, or created liabilities for the company? Please provide incident logs.	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe, including details of actions to repair and prevent reoccurrence:
Is the project materially compliant with all applicable environmental and social laws and regulations?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, please provide details of any material non-compliances:

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

How many inspections did you receive from the local environmental authorities during the reporting period?	Number:	Please provide details of these visits:
How many inspections did you receive from the local health and safety authorities during the reporting period?	Number:	Please provide details of these visits:
How many inspections did you receive from the local labour authorities during the reporting period?	Number:	Please provide details of these visits:
Have these visits resulted in any penalties, fines and/or corrective action plans?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:
Have any operations been reduced, temporarily suspended or closed down due to environmental, health and safety or labour reasons?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:
Please describe any EHS or labour initiatives undertaken during the reporting period:		

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

Stakeholder Engagement

Please provide the name and contact details for your external relations or community engagement manager:

Have there been any changes to the Stakeholder Engagement Plan (SEP)?

Yes

No

If yes, please provide SEP change log and copy of new SEP. Please also provide updated stakeholder list, if applicable.

How many complaints or grievances did the project receive from members of the public or civil society organisations during the reporting period? Please split by stakeholder group. Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.

Please summarise meetings held with members of the public or public organisations during the reporting period. Please provide meeting minutes

Please summarise any information provided to members of the public and other stakeholders during the report period relating to environmental, social or safety issues. Please provide copies of disclosure notices and other correspondence with stakeholders.

Please summarise any on-going social or community development initiatives undertaken during the reporting period. Please provide details on spending during the reporting period and a copy of the updated Community Development Plan or similar documentation.

PS 2 - Labor and Working Conditions

Human Resources Management

Number of permanent employees for this project:

Number of temporary employees for this project:

Number of contractor staff on site:

Have there been any changes to policies or terms and conditions concerning non-discrimination and equal opportunity during the reporting period?

Yes
No

If yes, please give details:

Have there been any changes to policies or terms and conditions concerning under age (18) employment during the reporting period?

Yes
No

If yes, please give details:

Have there been any changes to policies or terms and conditions concerning wages (wage level, normal, overtime etc.) or working hours during the reporting period?

Yes
No

If yes, please give details:

Have there been any changes to policies or terms and conditions concerning union recognition or negotiation during the reporting period?

Yes
No

If yes, please give details:

Have there been any changes to the health and safety policies during the reporting period?

Yes
No

If yes, please give details:

How many complaints or grievances did the project receive from workers during the reporting period? Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.

Were there any collective redundancies during the reporting period?

Yes
No

If yes, please describe including number of workers involved, reasons, consultation undertaken and how they were selected:

PS 2 - Labor and Working Conditions

Are there any planned redundancies or additions to the workforce in the next year?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide redundancy plan, including number of workers involved and consultation process:
Have there been any disputes related to labour and working conditions in the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize below and provide copies of lodged disputes.
Have there been any other significant labour issues or grievances raised during the reporting period (including court cases or complaints from trade unions or non-governmental organizations)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:

Health and Safety Data

In addition to the data filled in below, please provide H&S incidence log, including follow up investigations and corrective action implementation.

Fatalities ⁴⁷ :	Number:	Total Lost Time Accidents (including vehicular) ⁴⁸ :	Number:
Total number of lost workdays ⁴⁹ resulting from incidents:	Number:	Total man-hours worked this reporting period:	Number:

⁴⁷ If you have not already done so, please provide a separate report detailing the circumstances of each fatality.

⁴⁸ Incapacity to work for at least one full workday beyond the day on which the accident or illness occurred.

⁴⁹ Lost workdays are the number of workdays (consecutive or not) beyond the date of injury or onset of illness that the employee was away from work or limited to restricted work activity because of an occupational injury or illness.

PS 2 - Labor and Working Conditions

Incidence ⁵⁰ during this reporting period:	Number:	Incidence during the previous reporting period:	Number:
---	---------	---	---------

Please summarise any health and safety training that has been provided for company personnel during the report period. Please provide the training records.

Please summarise any emergency prevention and response training that has been provided for company personnel during the report period. Please provide the training records.

PS 3 - Resource Efficiency and Pollution Prevention

Have there been any spill cases or pollution of water, soil or air?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details including emergency response. Please provide incidence log.
Has there been any event of fire, sediment loads, storm water, a flood or an earthquake?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details and describe emergency response, if applicable:
Has there been any improvement in process efficiency, waste	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please elaborate:

⁵⁰ Incidence = total lost workdays / total hours worked

PS 3 - Resource Efficiency and Pollution Prevention

minimization or other schemes (energy savings, ISO certification)?		
Has a Greenhouse Gas Assessment been conducted during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarise the results:

Environmental Monitoring Data⁵¹ - please attach data sheets as required

Parameter ⁵²	Value ⁵³	Unit	Legislative limit and/ or IFC EHS guideline limit	Compliance Status ⁵⁴	Comments ⁵⁵
Waste Water					
Total waste water generated					
BOD					
COD					
Suspended Solids					
Phosphorus					
Nitrates					

⁵¹ Not all parameters will necessarily apply. Please complete those rows that are most relevant to the industry sector. Additional parameters can be added as necessary.

⁵² Not all parameters will necessarily apply. Please complete those rows that are most relevant to the industry sector. Additional parameters can be added as necessary.

⁵³ Please ensure that the units of measurement are clearly stated.

⁵⁴ Please report on compliance against the standards agreed with TDB for this project (typically local, EU, World Bank Group, IFC): compliant / slightly over the limit / unknown / exceeding the limit

⁵⁵ In addition to any other relevant comments, please indicate whether the measurements reported apply to all or only some process operations at the facility.

PS 3 - Resource Efficiency and Pollution Prevention

Heavy metals					
[Other]					
Air Emissions					
SO ₂					
NO _x					
Particulates					
CO ₂ /CO ₂ equivalents					
CH ₄					
N ₂ O					
HFCs					
PFCs					
SF ₆					
[Other]					
Other Parameters					
Noise - at the project fence line					
Noise - at the closest sensitive receptor					

PS 3 - Resource Efficiency and Pollution Prevention

EMF (Electric and Magnetic Fields) – at the closest sensitive receptor					
[Other]					
Solid Waste					

Please provide details of the types and amounts of solid wastes generated by the project. Indicate where wastes are classified as hazardous. Indicate the final re-use, recycle or disposal method for each waste type.

PS 4 - Community Health, Safety, and Security

Has there been any work or traffic at night?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any traffic incidents involving project vehicles outside of the site?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize and provide traffic incident log,

Please summarize any training or awareness raising activities that have been undertaken during the reporting period:

PS 5 - Land Acquisition and Involuntary Resettlement

If Applicable, please summarize any progress made during the reporting period in the implementation of the Resettlement Action Plan (RAP) or Livelihood Restoration Framework (LRF). Please provide copy of updated RAF/LRF.

Have all the affected persons been fully compensated for their physical displacement and, if applicable, any economic losses resulting from the project?

Yes
No

If no, specify how many compensation payments are still outstanding (in terms of number and percentage of recipients and payment amounts) and state when these payment will be made:

Please provide a status update of the implementation of livelihood restoration activities as stipulated within the RAP.

Has there been any new land acquired during the reporting period for this project?

Yes
No

If yes, explain the extent of the land acquisition and any due diligence conducted.

Please provide copy of RAF/LRF, including compensation summary and details on compensation rates.

PS 6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources

<p>Has there been any vegetation clearing during the breeding season during this reporting period?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If yes, please give details:</p>
<p>Has site clearing been minimised in accordance with the Construction Site Management Plan?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If no, please explain and give reasons:</p>
<p>Is soil erosion or landslides visible within the project area?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If yes, please describe measures for mitigation:</p>
<p>Please summarize status of renaturation and re-planting of vegetation (plant status, progress in plant growth):</p>		
<p>Has a bird monitoring been conducted for the transmission line component during the reporting period?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>If yes, please summarize the results:</p>

PS 7 - Indigenous Peoples		
Have there been any changes to the Indigenous Peoples Plan (IPP) or Framework (IPF)?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarize and provide a copy of the updated IPP or IPF.
Please highlight which stakeholder engagement activities detailed above related specifically to indigenous peoples.		

PS 8 – Cultural Heritage		
Has there been a chance find during the report period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details. Please provide reports/records and follow on actions.
Please summarise any training on chance find that has been provided for personnel during the report period:		

Environmental & Social Indicators for Monitoring of TDB’s Renewable Energies Projects

HYDROPOWER

To be filled out by the responsible party for Environmental, Social, Health and Safety Risks. Please return the filled out questionnaire to TDB.

Please use as much space as you need, the field height should not be a limit.

Attach any relevant documents to this questionnaire and indicate a cross reference.

Details on the Borrower

Institution Name:

Completed by (Name):

Name of Portfolio/Credit Line:

Country:

City/Location:

Company authorized representative

I certify that the data contained in this report completely and accurately represents the current status of knowledge of the investment.

Signature:

Title:

City/Date:

Contact details of responsible persons completing this questionnaire (executive board member, environment, social, health & safety, HR, legal), if assigned:

Position	Name	Telephone Number	Email Address

Details on the Project

Borrower Name:

Borrower Address:

Details on the Project

Country:

City/Location:

Project Name:

Project
Category:

Contact Person:

Contact details of responsible persons (executive board member, environment, social, health & safety, HR, legal), if assigned

Position

Name

Telephone Number

Email Address

Project Status: Design Construction Expansion Commissioning Operation Closure
other; please specify:

Current reporting period:

Previous reporting period:

When was the last site visit?

By whom:

Date:

When is the next site visit planned?

Date:

General

Permits

List the permits that are needed and if they have been already granted or applied for:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

Permit:
Granted Applied for

Permit Conditions:

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

E&S Action and Monitoring / Management System

Do you have a documented Environmental and Social Management System (ESMS)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Have there been any changes in the Management System or the Management Plans?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:
Have there been any updates to the Environmental and Social Policies adopted by your organization?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide a copy of the updated policies, including date when it was issued and reasons for the same.
Please summarize any staff training concerning this project (including number of staff trained) during the reporting period. Please provide a copy of the training plans and training records.		
Have there been any changes in the Environmental and Social Action Plan (ESAP)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide ESAP change log and copy of new ESAP.
Have there been any accidents or environmental or social incidents (during this reporting period) that have caused damage, brought about injuries or fatalities, affected project labour or local communities, affected cultural property, or created liabilities for the company? Please provide incident logs.	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe, including details of actions to repair and prevent reoccurrence:

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

Is the project materially compliant with all applicable environmental and social laws and regulations?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, please provide details of any material non-compliances:
How many inspections did you receive from the local environmental authorities during the reporting period?	Number:	Please provide details of these visits:
How many inspections did you receive from the local health and safety authorities during the reporting period?	Number:	Please provide details of these visits:
How many inspections did you receive from the local labour authorities during the reporting period?	Number:	Please provide details of these visits:
Have these visits resulted in any penalties, fines and/or corrective action plans?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:
Have any operations been reduced, temporarily suspended or closed down due to environmental, health and safety or labour reasons?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

Please describe any EHS or labour initiatives undertaken during the reporting period:

Stakeholder Engagement

Please provide the name and contact details for your external relations or community engagement manager:

Have there been any changes to the Stakeholder Engagement Plan (SEP)?

Yes

No

If yes, please provide SEP change log and copy of new SEP. Please also provide updated stakeholder list, if applicable.

How many complaints or grievances did the project receive from members of the public or civil society organisations during the reporting period? Please split by stakeholder group. Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.

Please summarise meetings held with members of the public or public organisations during the reporting period. Please provide meeting minutes

Please summarise any information provided to members of the public and other stakeholders during the report period relating to environmental, social or safety issues. Please provide copies of disclosure notices and other correspondence with stakeholders.

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

Please summarise any on-going social or community development initiatives undertaken during the reporting period. Please provide details on spending during the reporting period and a copy of the updated Community Development Plan or similar documentation.

PS 2 - Labor and Working Conditions

Human Resources Management

Number of permanent employees for this project:

Number of temporary employees for this project:

Number of contractor staff on site:

Have there been any changes to policies or terms and conditions concerning non-discrimination and equal opportunity during the reporting period?

Yes
No

If yes, please give details:

Have there been any changes to policies or terms and conditions concerning under age (18) employment during the reporting period?

Yes
No

If yes, please give details:

Have there been any changes to policies or terms and conditions concerning wages (wage level, normal, overtime etc.) or working hours during the reporting period?

Yes
No

If yes, please give details:

Have there been any changes to policies or terms and conditions concerning union recognition or negotiation during the reporting period?

Yes
No

If yes, please give details:

PS 2 - Labor and Working Conditions

Have there been any changes to the health and safety policies during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
How many complaints or grievances did the project receive from workers during the reporting period? Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.		
Were there any collective redundancies during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe including number of workers involved, reasons, consultation undertaken and how they were selected:
Are there any planned redundancies or additions to the workforce in the next year?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide redundancy plan, including number of workers involved and consultation process:
Have there been any disputes related to labour and working conditions in the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize below and provide copies of lodged disputes.
Have there been any other significant labour issues or grievances raised during the reporting period (including court cases or complaints from trade unions or non-governmental organizations)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:
Health and Safety Data		

PS 2 - Labor and Working Conditions

In addition to the data filled in below, please provide H&S incidence log, including follow up investigations and corrective action implementation.

Fatalities ⁵⁶ :	Number:	Total Lost Time Accidents (including vehicular) ⁵⁷ :	Number:
Total number of lost workdays ⁵⁸ resulting from incidents:	Number:	Total man-hours worked this reporting period:	Number:
Incidence ⁵⁹ during this reporting period:	Number:	Incidence during the previous reporting period:	Number:

Please summarise any health and safety training that has been provided for company personnel during the report period. Please provide the training records.

Please summarise any emergency prevention and response training that has been provided for company personnel during the report period. Please provide the training records.

⁵⁶ If you have not already done so, please provide a separate report detailing the circumstances of each fatality.

⁵⁷ Incapacity to work for at least one full workday beyond the day on which the accident or illness occurred.

⁵⁸ Lost workdays are the number of workdays (consecutive or not) beyond the date of injury or onset of illness that the employee was away from work or limited to restricted work activity because of an occupational injury or illness.

⁵⁹ Incidence = total lost workdays / total hours worked

PS 3 - Resource Efficiency and Pollution Prevention

Have there been any spill cases or pollution of water, soil or air?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details including emergency response. Please provide incidence log.
Has there been any event of fire, sediment loads, storm water, a flood or an earthquake?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details and describe emergency response, if applicable:
Has there been any improvement in process efficiency, waste minimization or other schemes (energy savings, ISO certification)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please elaborate:
Has a Greenhouse Gas Assessment been conducted during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarise the results:

Environmental Monitoring Data⁶⁰ - *please attach data sheets as required*

Parameter ⁶¹	Value ⁶²	Unit	Legislative limit and/ or IFC EHS guideline limit	Compliance Status ⁶³	Comments ⁶⁴
Waste Water					

⁶⁰ Not all parameters will necessarily apply. Please complete those rows that are most relevant to the industry sector. Additional parameters can be added as necessary.

⁶¹ Not all parameters will necessarily apply. Please complete those rows that are most relevant to the industry sector. Additional parameters can be added as necessary.

⁶² Please ensure that the units of measurement are clearly stated.

⁶³ Please report on compliance against the standards agreed with TDB for this project (typically local, EU, World Bank Group, IFC): compliant / slightly over the limit / unknown / exceeding the limit

⁶⁴ In addition to any other relevant comments, please indicate whether the measurements reported apply to all or only some process operations at the facility.

PS 3 - Resource Efficiency and Pollution Prevention

Total waste water generated					
[Other]					
Other Parameters					
Noise - at the project fence line					
Noise - at the closest sensitive receptor					
EMF (Electric and Magnetic Fields) – at the closest sensitive receptor					
[Other]					
Solid Waste					

Please provide details of the types and amounts of solid wastes generated by the project. Indicate where wastes are classified as hazardous. Indicate the final re-use, recycle or disposal method for each waste type.

PS 4 - Community Health, Safety, and Security

Has there been any work or traffic at night?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any traffic incidents involving project vehicles outside of the site?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize and provide traffic incident log,
Please summarize any training or awareness raising activities that have been undertaken during the reporting period:		

PS 5 - Land Acquisition and Involuntary Resettlement

If Applicable , please summarize any progress made during the reporting period in the implementation of the Resettlement Action Plan (RAP) or Livelihood Restoration Framework (LRF). Please provide copy of updated RAF/LRF.		
Have all the affected persons been fully compensated for their physical displacement and, if applicable, any economic losses resulting from the project?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, specify how many compensation payments are still outstanding (in terms of number and percentage of recipients and payment amounts) and state when these payment will be made:
Please provide a status update of the implementation of livelihood restoration activities as stipulated within the RAP.		

PS 5 - Land Acquisition and Involuntary Resettlement

Has there been any new land acquired during the reporting period for this project?

Yes

No

If yes, explain the extent of the land acquisition and any due diligence conducted.

Please provide copy of RAF/LRF, including compensation summary and details on compensation rates.

PS 6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources

Has there been any vegetation clearing during the breeding season during this reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Please summarise observations on fish communities and acceptance of the fish passage during the report period:		
Has site clearing been minimised in accordance with the Construction Site Management Plan?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If no, please explain and give reasons:
Is soil erosion or landslides visible within the project area?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe measures for mitigation:
Please summarize status of renaturation and re-planting of vegetation (plant status, progress in plant growth):		
Has a bird monitoring been conducted for the transmission line component during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarize the results:

PS 7 - Indigenous Peoples

Have there been any changes to the Indigenous Peoples Plan (IPP) or Framework (IPF)?

Yes

No

N/A

If yes, please summarize and provide a copy of the updated IPP or IPF.

Please highlight which stakeholder engagement activities detailed above related specifically to indigenous peoples.

PS 8 – Cultural Heritage

Has there been a chance find during the report period?

Yes

No

If yes, please give details. Please provide reports/records and follow on actions.

Please summarise any training on chance find that has been provided for personnel during the report period:

Environmental & Social Indicators for Monitoring of TDB's Renewable Energies Projects

SOLAR

To be filled out by the responsible party for Environmental, Social, Health and Safety Risks. Please return the filled out questionnaire to TDB.

Please use as much space as you need, the field height should not be a limit.

Attach any relevant documents to this questionnaire and indicate a cross reference.

Details on the Borrower			
Institution Name:			
Completed by (Name):			
Name of Portfolio/Credit Line:			
Country:			
City/Location:			
<p>Company authorized representative</p> <p>I certify that the data contained in this report completely and accurately represents the current status of knowledge of the investment.</p> <p>Signature:</p>			
Title:		City/Date:	
<p>Contact details of responsible persons completing this questionnaire (executive board member, environment, social, health & safety, HR, legal), if assigned:</p>			
Position	Name	Telephone Number	Email Address

Details on the Project

Borrower Name:			
Borrower Address:			
Country:			
City/Location:			
Project Name:			
Project Category:			
Contact Person:			
Contact details of responsible persons (executive board member, environment, social, health & safety, HR, legal), if assigned			
Position	Name	Telephone Number	Email Address
Project Status: <input type="checkbox"/> Design <input type="checkbox"/> Construction <input type="checkbox"/> Expansion <input type="checkbox"/> Commissioning <input type="checkbox"/> Operation <input type="checkbox"/> Closure <input type="checkbox"/> other; please specify:			
Current reporting period:		Previous reporting period:	
When was the last site visit? Date:		By whom:	

Details on the Project

When is the next site visit planned?

Date:

General

Permits

List the permits that are needed and if they have been already granted or applied for:

Permit:

Granted Applied for

Permit Conditions:

Permit:

Granted Applied for

Permit Conditions:

Permit:

Granted Applied for

Permit Conditions:

Permit:

Granted Applied for

Permit Conditions:

General

Permit:
 Granted Applied for

Permit Conditions:

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

E&S Action and Monitoring / Management System

Do you have a documented Environmental and Social Management System (ESMS)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Have there been any changes in the Management System or the Management Plans?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:
Have there been any updates to the Environmental and Social Policies adopted by your organization?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide a copy of the updated policies, including date when it was issued and reasons for the same.
Please summarize any staff training concerning this project (including number of staff trained) during the reporting period. Please provide a copy of the training plans and training records.		
Have there been any changes in the Environmental and Social Action Plan (ESAP)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide ESAP change log and copy of new ESAP.

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

<p>Have there been any accidents or environmental or social incidents (during this reporting period) that have caused damage, brought about injuries or fatalities, affected project labour or local communities, affected cultural property, or created liabilities for the company?</p> <p>Please provide incident logs.</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If yes, please describe, including details of actions to repair and prevent reoccurrence:</p>
<p>Is the project materially compliant with all applicable environmental and social laws and regulations?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If no, please provide details of any material non-compliances:</p>
<p>How many inspections did you receive from the local environmental authorities during the reporting period?</p>	<p>Number:</p>	<p>Please provide details of these visits:</p>
<p>How many inspections did you receive from the local health and safety authorities during the reporting period?</p>	<p>Number:</p>	<p>Please provide details of these visits:</p>
<p>How many inspections did you receive from the local labour authorities during the reporting period?</p>	<p>Number:</p>	<p>Please provide details of these visits:</p>
<p>Have these visits resulted in any penalties, fines and/or corrective action plans?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If yes, please describe:</p>

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

<p>Have any operations been reduced, temporarily suspended or closed down due to environmental, health and safety or labour reasons?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If yes, please describe:</p>

Please describe any EHS or labour initiatives undertaken during the reporting period:

Stakeholder Engagement

Please provide the name and contact details for your external relations or community engagement manager:

<p>Have there been any changes to the Stakeholder Engagement Plan (SEP)?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If yes, please provide SEP change log and copy of new SEP. Please also provide updated stakeholder list, if applicable.</p>
--	--	--

How many complaints or grievances did the project receive from members of the public or civil society organisations during the reporting period? Please split by stakeholder group. Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.

Please summarise meetings held with members of the public or public organisations during the reporting period. Please provide meeting minutes

PS 1 - Assessment and Management of Environmental and Social Risks and Impacts

Please summarise any information provided to members of the public and other stakeholders during the report period relating to environmental, social or safety issues. Please provide copies of disclosure notices and other correspondence with stakeholders.

Please summarise any on-going social or community development initiatives undertaken during the reporting period. Please provide details on spending during the reporting period and a copy of the updated Community Development Plan or similar documentation.

PS 2 - Labor and Working Conditions

Human Resources Management

Number of permanent employees for this project:

Number of temporary employees for this project:

Number of contractor staff on site:

Have there been any changes to policies or terms and conditions concerning non-discrimination and equal opportunity during the reporting period?

Yes

No

If yes, please give details:

Have there been any changes to policies or terms and conditions concerning under age (18) employment during the reporting period?

Yes

No

If yes, please give details:

Have there been any changes to policies or terms and conditions concerning wages (wage level, normal, overtime etc.) or working hours during the reporting period?

Yes

No

If yes, please give details:

PS 2 - Labor and Working Conditions

Have there been any changes to policies or terms and conditions concerning union recognition or negotiation during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any changes to the health and safety policies during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
How many complaints or grievances did the project receive from workers during the reporting period? Summarise any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.		
Were there any collective redundancies during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe including number of workers involved, reasons, consultation undertaken and how they were selected:
Are there any planned redundancies or additions to the workforce in the next year?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide redundancy plan, including number of workers involved and consultation process:
Have there been any disputes related to labour and working conditions in the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize below and provide copies of lodged disputes.
Have there been any other significant labour issues or grievances raised during the reporting period (including court cases or complaints from trade unions or non-governmental organizations)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please describe:

PS 2 - Labor and Working Conditions

Health and Safety Data

In addition to the data filled in below, please provide H&S incidence log, including follow up investigations and corrective action implementation.

Fatalities ⁶⁵ :	Number:	Total Lost Time Accidents (including vehicular) ⁶⁶ :	Number:
Total number of lost workdays ⁶⁷ resulting from incidents:	Number:	Total man-hours worked this reporting period:	Number:
Incidence ⁶⁸ during this reporting period:	Number:	Incidence during the previous reporting period:	Number:

Please summarise any health and safety training that has been provided for company personnel during the report period. Please provide the training records.

Please summarise any emergency prevention and response training that has been provided for company personnel during the report period. Please provide the training records.

⁶⁵ If you have not already done so, please provide a separate report detailing the circumstances of each fatality.

⁶⁶ Incapacity to work for at least one full workday beyond the day on which the accident or illness occurred.

⁶⁷ Lost workdays are the number of workdays (consecutive or not) beyond the date of injury or onset of illness that the employee was away from work or limited to restricted work activity because of an occupational injury or illness.

⁶⁸ Incidence = total lost workdays / total hours worked

PS 3 - Resource Efficiency and Pollution Prevention

Have there been any spill cases or pollution of water, soil or air?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details including emergency response. Please provide incidence log.
Has there been any event of fire, sediment loads, storm water, a flood or an earthquake?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details and describe emergency response, if applicable:
Has there been any improvement in process efficiency, waste minimization or other schemes (energy savings, ISO certification)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please elaborate:
Has a Greenhouse Gas Assessment been conducted during the reporting period?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	If yes, please summarise the results:

Environmental Monitoring Data⁶⁹ - *please attach data sheets as required*

Parameter ⁷⁰	Value ⁷¹	Unit	Legislative limit and/ or IFC EHS guideline limit	Compliance Status ⁷²	Comments ⁷³
Noise / EMF					

⁶⁹ Not all parameters will necessarily apply. Please complete those rows that are most relevant to the industry sector. Additional parameters can be added as necessary.

⁷⁰ Not all parameters will necessarily apply. Please complete those rows that are most relevant to the industry sector. Additional parameters can be added as necessary.

⁷¹ Please ensure that the units of measurement are clearly stated.

⁷² Please report on compliance against the standards agreed with TDB for this project (typically local, EU, World Bank Group, IFC): compliant / slightly over the limit / unknown / exceeding the limit

⁷³ In addition to any other relevant comments, please indicate whether the measurements reported apply to all or only some process operations at the facility.

PS 3 - Resource Efficiency and Pollution Prevention

Noise - at the project fence line					
Noise - at the closest sensitive receptor					
EMF (Electric and Magnetic Fields) – at the closest sensitive receptor					
[Other]					
Solid Waste					

Please provide details of the types and amounts of solid wastes generated by the project. Indicate where wastes are classified as hazardous. Indicate the final re-use, recycle or disposal method for each waste type.

PS 4 - Community Health, Safety, and Security

Has there been any work or traffic at night?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give details:
Have there been any traffic incidents involving project vehicles outside of the site?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please summarize and provide traffic incident log,

Please summarize any training or awareness raising activities that have been undertaken during the reporting period:

PS 5 - Land Acquisition and Involuntary Resettlement

If Applicable, please summarize any progress made during the reporting period in the implementation of the Resettlement Action Plan (RAP) or Livelihood Restoration Framework (LRF). Please provide copy of updated RAF/LRF.

Have all the affected persons been fully compensated for their physical displacement and, if applicable, any economic losses resulting from the project?

Yes

No

If no, specify how many compensation payments are still outstanding (in terms of number and percentage of recipients and payment amounts) and state when these payment will be made:

Please provide a status update of the implementation of livelihood restoration activities as stipulated within the RAP.

Has there been any new land acquired during the reporting period for this project?

Yes

No

If yes, explain the extent of the land acquisition and any due diligence conducted.

Please provide copy of RAF/LRF, including compensation summary and details on compensation rates.

PS 6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources

<p>Has there been any vegetation clearing during the breeding season during this reporting period?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If yes, please give details:</p>
<p>Has site clearing been minimised in accordance with the Construction Site Management Plan?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If no, please explain and give reasons:</p>
<p>Is soil erosion or landslides visible within the project area?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p>If yes, please describe measures for mitigation:</p>
<p>Please summarize status of renaturation and re-planting of vegetation (plant status, progress in plant growth):</p>		
<p>Has a bird monitoring been conducted for the transmission line component during the reporting period?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>If yes, please summarize the results:</p>

PS 7 - Indigenous Peoples

Have there been any changes to the Indigenous Peoples Plan (IPP) or Framework (IPF)?

Yes

No

N/A

If yes, please summarize and provide a copy of the updated IPP or IPF.

Please highlight which stakeholder engagement activities detailed above related specifically to indigenous peoples.

PS 8 – Cultural Heritage

Has there been a chance find during the report period?

Yes

No

If yes, please give details. Please provide reports/records and follow on actions.

Please summarise any training on chance find that has been provided for personnel during the report period: