

Environmental and Social Management System Template for Mini Grid Developers

Mini grid Developer Logo	Issue Number	Issue Date
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Environmental and Social Management System Manual

Approved by:		
Name	Title	Date

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Abbreviation

CBO	Community-Based Organization
E&S	Environmental and Social
ESIA	Environmental and Social Impact Assessment
ESMP	Environmental and Social Management Plan
ESMS	Environmental and Social Management System
GRM	Grievance Redress Mechanism
LRP	Livelihood Restoration Plan
NGO	Non-Government Organization
RAP	Resettlement Action Plan
REA	Rural Electrification Agency (Nigeria)
SIA	Social Impact Assessment

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Introduction

The Environmental & Social Management System (ESMS) is a set of principles, requirements, processes, and tools that help integrate environmental and social risk management into a mini grid developer's core business process. It is a set of actions and procedures that are implemented with the developer's existing risk management procedures.

The ESMS ensures that the mini grid developer's activities are in compliance with its own environmental and social commitments, national regulations of the country(ies) where they operate and environmental and social standards of international lenders and investors. It helps the developer to avoid and manage projects with potential environmental and social risks by conducting due diligence during design, construction, and operation of mini grids and adequate monitoring of projects during construction and operation.

Activity 1: *In the section below draft the environmental and social policy for your company.*

I. Institutional Environmental & Social Policy Statement

Please make sure to include your institution's commitment to the following:

- ✓ *Full compliance to applicable E&S requirements:*
 - *Laws & Regulations of Nigeria & areas of construction/operation including prohibition of Gender Based Violence (GBV) / Sexual Exploitation and Abuse(SEA)*
 - *Exclusion List (See Annex A);*
 - *E&S standards of lenders, investors and shareholders*

- ✓ *Commitment to dedicate capacity and resources to implement and maintain the ESMS, including:*
 - *Establish dedicated environmental department/ unit/ E&S Manager or Coordinator within the institution*
 - *Senior management involvement and commitment to E&S compliance*
 - *Provide internal training/capacity building on E&S issues including GBV and code of conduct to relevant staff (such as engineers, site managers, construction managers, contractors etc.), including on:*
 - *Screening of investments for potential environmental and social impacts, scoping assessments, planning mitigation options, public consultation to assess feasibility and acceptability options; steps 1-7 to implement the environmental and social screening process for projects;*
 - *Environment: site selection to minimize environmental impacts and social disruption; mitigation measures for contractors and subcontractors (through adequate language in contracts); management of impacts during construction; monitoring of effectiveness of measures;*
 - *Monitoring and grievance redress: transparency and supervision responsibilities including specifics on confidential reporting with safe and ethical documenting of GBV cases and referral to appropriate GBV service provider.*

- ✓ *Commitment to maintain good track record on E&S compliance, including:*
 - *Establish and maintain a Grievance Redress Mechanism & keep proper records of complaints received and resolution of each one*
 - *Good record keeping for any incidents of legal E&S non-compliance, fines, or complains including compliance to staff code of conduct.*
 - *Reporting to relevant government agencies (such as Rural Electrification Agency), lenders, investors, including prompt reporting of any incidents, accidents or GBV/SEA related cases.*

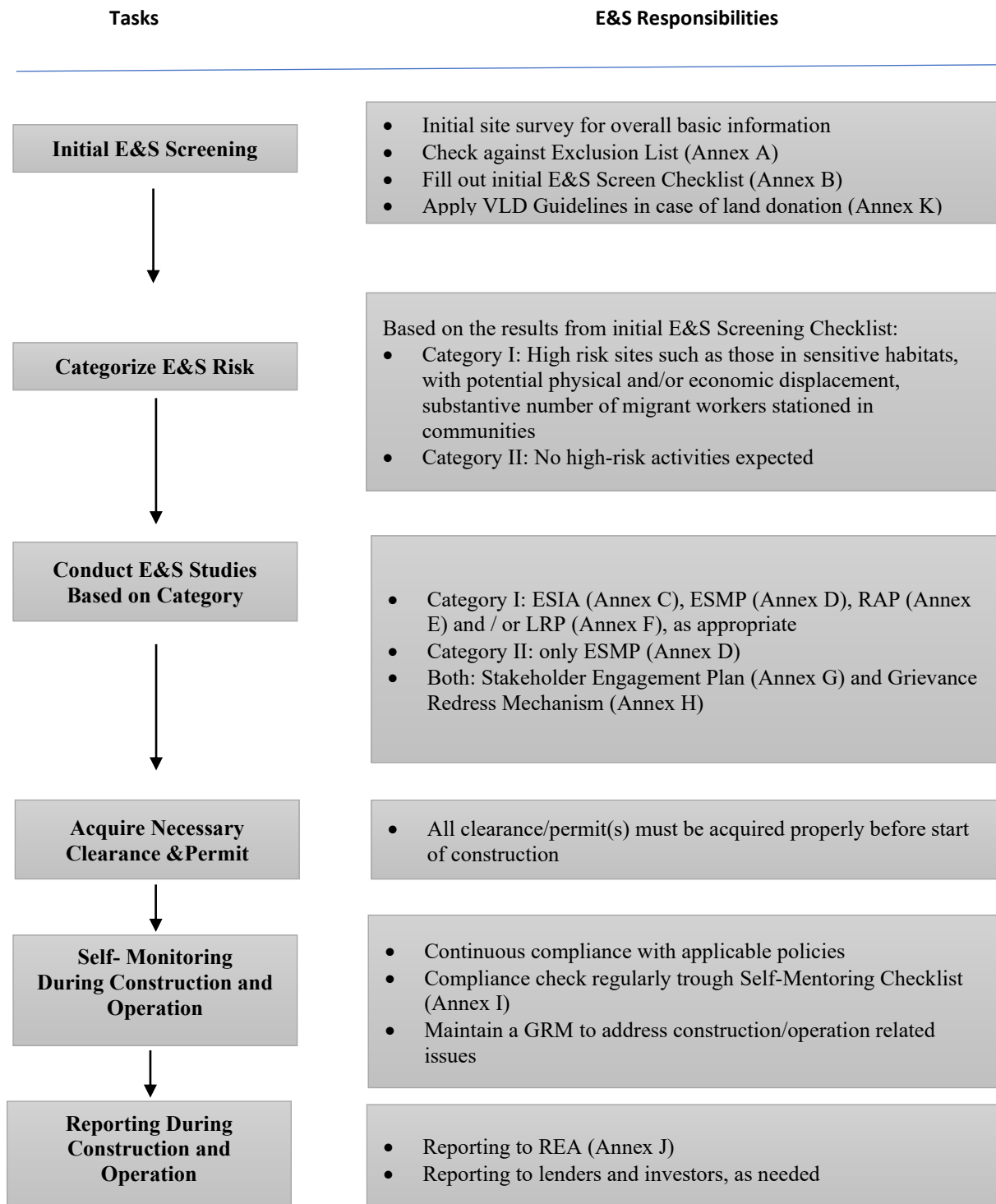
ACTIVITY 2: *In the following sections please draft the E&S procedures for your company: transaction screening, risk categorization, and E&S due diligence.*

II. Environmental & Social Procedures

2.1 Overall Work Flow

The work flow chart below demonstrates the steps and E&S roles during the mini grid design, development, construction, and operation cycle.

Overall Workflow for Mini grid Development



2.2 Initial E&S Screening

Before any construction or preparation of construction can start, the institution should conduct an initial E&S screening before or during project design stage, to (1) ensure the proposed construction site is not under any situation in the Exclusion List (Annex A); and (2) identify any E&S issues and mitigation opportunities. See Annex B for a Sample Checklist for the Initial E&S Screening.

1. Purpose and applicability:

- ✓ *What are the E&S procedures expected to achieve?*
- ✓ *What activities of the company do they cover?*

2. Definitions: (terms and descriptions)

3. Procedure:

- ✓ *What course of action is taken if a proposed construction is under the Exclusion List?*
- ✓ *How will E&S risks and impacts be assessed?*
- ✓ *How will projects be categorized based on E&S risks (see 2.3 below)*
- ✓ *What is the process for further assessment of category I projects?*
- ✓ *What is the process for preparing and implementing E&S management plans?*
- ✓ *What course of action should be taken if other significant E&S issue including GBV/SEA are identified or maybe a potential?*
- ✓ *How will compliance with E&S management plans be monitored?*

4. Responsibilities:

- ✓ *Who is responsible for carrying out each of the activities described under this procedure?*

5. Reference documents:

- ✓ *What reference documents do you use (internal policies, national laws and regulations, lender/investor requirements, international good practice guidelines)?*

6. Records:

- ✓ *What records on E&S compliance do you keep?*

2.3 E&S Impacts Categorization

Based on the results of the initial E&S Screening, all mini grid projects should be divided into two E&S Impacts Categories:

- Category I: with significant E&S impacts. High risk sites such as those in sensitive habitats, with potential physical and/or economic displacement, substantive number of migrant workers stationed in communities
- Category II: No high-risk activities expected, overall medium or low E&S impacts.

1. Procedure:

- ✓ *What course of action is taken if a category II is later considered to have significant E&S impacts during the E&S planning stage or construction stage?*

2.4 E&S Risk Management Instruments for Category I Mini grids

Projects under this category are expected to have significant E&S impacts, such as (this list is not exhaustive and a combination of all project impacts should be considered based on their likelihood and magnitude):

- Any physical and/or economic displacement
- Significant adverse impacts on ecologically sensitive areas
- Significant adverse impacts on cultural heritage
- Significant number of migrant workers/ labor camps within host communities (may be especially an issue for larger mini grids or clusters of mini grids)

Due to the potential significant adverse E&S impacts, construction under this category will have to complete the following E&S studies during the preparation stage:

- ESIA (Annex C)
- ESMP (Annex D)
- Resettlement Action Plan (RAP) (Annex E) and / or Livelihood Restoration Plan(LRP) (Annex F), where physical and/ or economic displacement may be involved
- Stakeholder Engagement Plan (Annex G)

The ESIA describes possible adverse effects that the proposed subproject may pose to the environment. It recommends mitigation measures and how will they be implemented. The ESMP – either as an accompanying chapter of the ESIA, or as a stand-alone document, provides detail on how the recommended mitigation measures will be implemented and outlines requirements, institutional arrangements/responsibilities, timelines, estimated costs and sources of funds for management and monitoring of both positive and negative effects of the project.

The key environmental and social concerns related to mini grid construction and operation include the following and special care needs to be taken for preparing an ESIA and ESMP:

- Ambient Air Pollution
- Surface and groundwater water quality
- Noise pollution
- Traffic management
- Labor management (labor camps, worker accommodation, community impacts of migrant workforce)
- Occupational health and safety issues for workers
- Interactions between workers and communities (e.g. HIV/AIDS issues)
- Community engagement, benefits sharing
- Drainage
- River bank erosion
- Wetland or other sensitive habitats deterioration
- Land degradation
- Loss of land/ structures/assets/crops
- Displacement of people or economic / livelihood activities

In case the project requires involves land acquisition, restriction of access to assets or loss of livelihood or shelter, the company shall ensure that a satisfactory RAP and/or LRP has been prepared consulted upon with the affected persons / local community, approved and disclosed a required. The institution shall not start the works until compensation and resettlement assistance has been made available in accordance with RAP and/ or LRP.

RAP/LRP document provides a link between the impacts identified and proposed mitigation measures to realize the objectives of involuntary resettlement. The RAP/LRP will take into account magnitude of impacts and accordingly prepare a resettlement plan that is consistent with national and local standards and requirements.

The RAP/LRP also needs to be disclosed and consulted during timely stakeholder engagement. Stakeholder engagement is about building and maintaining constructive relationships over time. It is an ongoing process between a company and its project stakeholders that extends throughout the life of the project and encompasses a range of activities and approaches, from information sharing and consultation, to participation, negotiation, and partnerships. The goal is to ensure the timely provision of relevant and understandable information. It is also to create a process that provides opportunities for stakeholders to express their views and concerns and allows the company to consider and respond to them.

Before any actual construction can begin, all necessary government and non-governmental clearance and permit(s) must be acquired properly and timely.

1. Purpose and applicability:

2. Definitions: (terms and descriptions)

3. Procedure:

- ✓ *What course of action is taken if a category II is later considered to have significant E&S impacts during the E&S planning stage or construction stage?*
- ✓ *What course of action is taken if there is material disagreement between the company's proposal and the feedback from the stakeholder engagement?*

4. Responsibilities:

- ✓ *Who is responsible for carrying out each of the activities described under this procedure?*

5. Reference documents:

- *What reference documents do you use (see Annexes for templates/samples)?*

6. Records:

- *What records do you keep?*

2.5 E&S Risk Management Instruments for Category II Mini grids

For constructions with perceived medium or low E&S adverse impacts, only the ESMP is needed.

Before any actual construction can begin, all necessary government and non-governmental clearance and permit(s) must be acquired properly and timely.

1. Purpose and applicability:

2. Definitions: (terms and descriptions)

3. Procedure:

- ✓ *What course of action is taken if a category II is later considered to have significant E&S impacts during the E&S planning stage or construction stage?*

- ✓ *What course of action is taken if there is material disagreement between the company's proposal and the feedback from the stakeholder engagement?*

4. Responsibilities:

- ✓ *Who is responsible for carrying out each of the activities described under this procedure?*

5. Reference documents:

- ✓ *What reference documents do you use (see Annexes for templates/samples)?*

6. Records:

- ✓ *What records do you keep?*

2.6 Self-Monitoring Activities

Once the construction has started, and throughout construction and operation, the institution is committed to continuous compliance to its ESMP and all applicable E&S policies including GBV/SEA and requirements. To achieve that, the institution is committed to conduct regular self-monitoring activities. See Annex G for sample self-monitor checklist.

1. Purpose and applicability:

2. Definitions: (terms and descriptions)

3. Procedure:

- ✓ *What course of action is taken if there is a potential violation?*
- ✓ *What course of action is taken if there is an actual violation?*

4. Responsibilities:

- ✓ *Who is responsible for carrying out each of the activities described under this procedure?*

5. Reference documents:

- ✓ *What reference documents do you use (see Annexes for templates/samples)?*

6. Records:

- ✓ *What records do you keep?*

2.7 Grievance Redress Mechanism

The institution will set up a project -specific Grievance Redress Mechanism for people to report concerns or complaints, if they feel unfairly treated or are affected by any of the subprojects.

The mechanism will amongst other things: (a) provide information about project implementation; (b) provide a forum for resolving grievances and disputes at the lowest level; (c) resolve disputes relatively quickly before they escalate to an unmanageable level; (d) facilitate effective communication between the project and affected persons; (e) win the trust and confidence of project beneficiaries including GBV survivors and stakeholders and create productive relationships between the parties. The mechanism is envisaged to be at multiple levels and will address such complaints, including logging, tracking, and resolving grievances promptly during and after the implementation of the Project.

The institution will have dedicated person or unit to be responsible for setting up and maintaining the GRM that allows general public in the project area and affected communities or individuals to file complaints and to receive responses in a timely manner. The system will also record and consolidate complaints and their follow-up. This system will be designed for handling complaints perceived to be generated by the project or its personnel. It may also include disagreements about compensation and other related matters such as gender-based violence, sexual harassment and sexual exploitation and abuse.

1. Purpose and applicability:

2. Definitions: (terms and descriptions)

3. Procedure:

- ✓ *What is the workflow for receiving, recording, reviewing, and responding to complaints?*
- ✓ *How will the log of grievances be maintained?*
- ✓ *How will complaints and concerns be taken into account in company's operations?*

4. Responsibilities:

- ✓ *Who is responsible for carrying out each of the activities described under this procedure?*

5. Reference documents:

- *What reference documents do you use (see Annexes for templates/samples)?*

6. Records:

- *What records do you keep?*

2.8 Reporting to REA during Construction and Implementation

It is the mini-grid developer's responsibility to submit timely and factual reports to the Rural Electrification Agency (REA) based on the mandatory and/or agreed-upon reporting requirements. Its reporting duties include (see Annex J for Sample Regular E&S Report to REA):

- ✓ Progress on implementation of the ESMS, including categorization of all projects and any ESIA's, ESMP and RAP and/or LRP prepared over the reporting period (where required);
- ✓ Regular periodic E&S reports as specified in the Operating Guidelines;
- ✓ Prompt reporting – within three days if occurrence, of any social, labor, health and safety, security or environmental incident, accident or circumstance which may have any material impact on the compliance of the applicable E&S requirements.

In addition, developers may be requested to:

- ✓ Provide feedback when requested by REA through questionnaires, evaluation workshops, etc.;
- ✓ Participate, if needed, in discussions with the PMU, REA and any investor (if applicable) throughout the project.

Annex A: Exclusion List for Mini grid Site Selection

This Mini grid Site Selection Exclusion List defines the types of situations in which mini grid construction shall not be undertaken. If any of these issues arises after the site has been identified or is somehow overlooked initially, the construction shall stop immediately, pending either site change or until the issue has been resolved.

The company does not support mini grid construction on sites that of any of the following:

1. Sites that do not comply with relevant environmental and social national or state regulations of Nigeria¹
2. Sites located in legally protected areas (e.g. national parks, conservation areas, forests)²
3. Sites located in internationally recognized areas³
4. Sites located in critical natural habitats⁴
5. Sites where mini grid construction and operation will cause significant degradation of natural habitats (e.g. mangroves)⁵
6. Sites in flood-prone zones
7. Sites located on land from which government agencies or builders have removed / involuntarily resettled local communities, including squatters or encroachers, without proper compensation⁶
8. Sites located on land associated with illegal forced evictions of previous owners or occupants⁷
9. Sites in locations and / or developed in a manner that involves significant adverse impacts on physical cultural property⁸

Footnotes

1. Relevant environmental and social include those that prohibit development of mini grids and associated infrastructure in certain designated locations.

2. Legally protected areas are those that meet the IUCN definition: “A clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values.” This includes areas proposed by governments for such designation.

3. These are defined as UNESCO Natural World Heritage Sites, UNESCO Man and the Biosphere Reserves, Key Biodiversity Areas, and wetlands designated under the Convention on Wetlands of International Importance (the Ramsar Convention).

4. Critical habitat is a subset of both natural and modified habitat that deserves particular attention. Critical habitat includes areas with high biodiversity value that meet the criteria of the World Conservation Union (IUCN) classification, including habitats of significant importance for required for critically endangered or endangered species as defined by the IUCN Red List of Threatened Species; habitats of significant importance for endemic or restricted-range species; habitats supporting globally significant concentrations of migratory species and /or congregatory species; areas with unique assemblages of species or which are associated with key evolutionary processes. Primary Forests or forests of High Conservation Value shall be considered Critical Habitats.

5. Natural habitats are land and water areas where (i) the ecosystems' bio-logical communities are formed largely by native plant and animal species, and (ii) human activity has not essentially modified the area's primary ecological functions. All-natural habitats have important biological, social, economic, and existence value. Important natural habitats may occur in tropical humid, dry, and cloud forests; temperate and boreal forests; mediterranean-type shrub lands; natural arid and semi-arid lands; mangrove swamps, coastal marshes, and other wetlands; estuaries; sea grass beds; coral reefs; freshwater lakes and rivers; alpine and sub alpine environments, including herb fields, grasslands, and paramos; and tropical and temperate grasslands. Biodiversity outside of natural habitats (such as within agricultural landscapes) is not covered under this policy. It is good practice to take such biodiversity into consideration in project design and implementation.

6. Resettlement activities should follow the process through which adverse social and economic impacts are minimized through (i) providing compensation for loss of assets at replacement cost defined as the market value of the assets plus transaction costs and (ii) ensuring that resettlement activities are implemented with appropriate disclosure of information, consultation, and the informed participation of those affected. These criteria will only apply to such resettlement / displacement that took place specifically in anticipation or preparation for the construction of mini grids.

7. Permanent or temporary removal against their will of individuals, families and/or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Prohibition on forced evictions does not, however, apply to evictions carried out by force in accordance with national law and is conducted in a manner consistent with basic principles of due process, including provision of adequate advance notice, meaningful opportunities to lodge grievances and appeals, and avoidance of the use of unnecessary, disproportionate or excessive force. These criteria will only apply to such resettlement / displacement that took place specifically in anticipation or preparation for the construction of mini grids.

8. Also known as 'cultural heritage', 'cultural patrimony', 'cultural assets' or 'cultural property'. Physical cultural resources are defined as movable or immovable objects, sites, structures, groups of structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other culture I significance. Physical cultural resources may be located in urban or rural settings, and may be above or below ground, or under water. Their cultural interest may be at the local, provincial or national level, or within the international community.

Annex B: Sample Checklist for Initial Environmental and Social Screening

The purpose of this checklist is to identify potential environment and social issues related to project development, construction and operation.

(A) Project Background

1.	Name of Proposed Project	
2.	Location	
3.	Project objectives	
4.	Brief description of the project	
5.	Capacity or size of the project	
6.	Number of Solar Panels	
7.	Capacity per solar panel	
8.	Powerhouse area, m ²	
9.	Distribution length, m	

(B) Project selection criteria

Sl. No	Screening Question	Yes	No	Comments (In the case select "yes", provide detailed information)
1.	Are there any activities on the REA Exclusion Criteria for Mini-Gird and Power Generation Sites?			
2.	Is there indication of: a. Significant adverse impacts on ecologically sensitive areas ¹ b. Involuntary resettlement or economic displacement c. Significant adverse impacts on cultural heritage			
3.	If yes, can these impacts be eliminated or reduced to acceptable levels through adequate application of mitigation measures?			

(C) Environmental and Social Screening

Sl. No	Screening Questions	Yes	No	Comments (In the case select "yes", provide detailed information)
	Project's siting			

¹Significant adverse impacts on ecologically sensitive areas will be determined using international best practice and tools, as well as based on the outcomes of relevant studies within the ESIA.

Sl. No	Screening Questions	Yes	No	Comments (In the case select "yes", provide detailed information)
1.	Define project's boundaries and area of influence			
2.	Is the project site adjacent to or within any of the following sensitive receptors?			
	i. Natural habitats and/ or legally protected areas (wetlands, forests, estuary, buffer zones, nature reserves); if yes, is there possibility of a critical habitat present ² ?			
	ii. Cultural heritage site			
	iii. Fragmentation of habitat of flora and fauna (Avifauna and mammalian fauna)?			
	iv. Is the proposed site located on agricultural land?			
	v. Is the proposed site located on area used by vulnerable groups			
	vi. Unique or aesthetically valuable land			
	vii. Is the proposed site located nearby airport			
	viii. Is the proposed site located in migratory route of birds			
	Potential Environmental Impacts			
1.	Impacts on natural resources that constitute livelihoods of community (e.g. grazing or hunting grounds)?			
2.	Disfiguration of landscape?			
3.	Is there potential for landslide and soil erosion impacts?			
4.	Increase in waste generation?			

² Critical habitat is defined based on global good practice as a subset of both natural and modified habitat that deserves particular attention. Critical habitat includes areas with high biodiversity value that meet the criteria of the World Conservation Union (IUCN) classification, including habitats of significant importance for required for critically endangered or endangered species as defined by the IUCN Red List of Threatened Species; habitats of significant importance for endemic or restricted-range species; habitats supporting globally significant concentrations of migratory species and /or congregatory species; areas with unique assemblages of species or which are associated with key evolutionary processes. Primary Forests or forests of High Conservation Value shall be considered Critical Habitats. This includes HCV forests. HCV areas do not directly correspond with definitions for modified, natural, and critical habitat. The HCV Resource Network, an internationally recognized group, provides information and support on the evolving usage of HCV to ensure a consistent approach. <https://www.hcvnetwork.org/>.

Sl. No	Screening Questions	Yes	No	Comments (In the case select "yes", provide detailed information)
5.	Waste water from camping sites to be directly discharged to the surface water resources or not?			
6.	Construction waste directly discharged to the surface water?			
7.	Other potential biodiversity impacts (specify)?			
8.	Loss or destruction of unique or aesthetically valuable land			
9.	Disturbance of large areas due to material quarrying			
10.	Disposal of large quantities of construction spoils			
Potential Community and Occupational Health and Safety Impacts				
1.	Will the construction works disturb other commercial/community/residential activities?			
2.	Will the project create major noise/vibration?			
3.	Closest residence to the solar panel			
4.	Will it create dust problem around the sites?			
5.	Will project's construction cause disturbance to the transportation in the project's site?			
6.	Will batteries be removed/disposed (lead-acid or nickel-cadmium batteries) from battery-powered or battery-backup items?			
7.	Will there be social conflict in case of workers hired from other region?			
Potential Social Impacts				
8.	Permanent land acquisition			
9.	Temporary land acquisition			
10.	Type of land Private land Public land Government land Leasehold land			
11.	Type of land procurement Voluntary land donation (VLD) ³			

³ Voluntary land donation is strictly defined in international practice as the ceding of a property by an owner who

Sl. No	Screening Questions	Yes	No	Comments (In the case select "yes", provide detailed information)
	Involuntary acquisition Negotiation			
12.	Loss of productive land			
13.	Impacts on livelihoods/ economic displacement?			
14.	Is there any household need to be relocated?			
15.	Is the resettlement site environmentally and/or culturally sensitive?			
16.	Project's construction will cause any damage to the existing local roads system?			
17.	Will soil excavation during project's construction cause soil erosion?			
18.	Will project need to open new access roads?			
19.	Will project cause encroachment on historical/cultural/religious areas?			
20.	Acquisition of private land leading to loss of shelter and livelihood			
21.	Involuntary land taking resulting in loss of income, livelihood, sources of livelihood, loss of access to common property resources and/or private residential and/or property resources			
22.	Adverse impact to women including economic and safety concerns			
23.	Possible conflicts with and/or disruption to local communities			
24.	Any significant issues raised by the stakeholders during consultation including potential impacts of GBV/SEA			
25.	Uncontrolled human migration into the area, made possibly by the subproject activities and risk of GBV/SEA			
26.	Disproportionate impacts on the poor, children and other vulnerable groups			

is: a) fully informed; and b) can exercise free will, i.e., can refuse to sell or to donate. "Fully informed" means that the owner has complete information regarding the proposed activity and its impacts, its land requirements and its alternate activity sites, as well as his or her rights to compensation. The owner has also been provided with sufficient time to consider his or her disposition of the property, and the owner has knowingly rejected the right to renege on his or her initial decision. "Free will" means that the owner can reject the possibility of giving up his or her land.

Sl. No	Screening Questions	Yes	No	Comments (In the case select "yes", provide detailed information)
27.	Community health and safety risks due to the transport, storage, and use and/or disposal of materials likely to create physical, chemical and biological hazards			
28.	Risks to community safety due to both accidental and natural hazards during project construction and operation			

Annex C: Sample Environmental and Social Impact Assessment (ESIA)

Executive Summary

This section shall describe the project activities, critical environmental and social issues, significant findings and recommended actions.

1. Introduction

- i. Background of the project
- ii. Scope and objectives of the ESIA study
- iii. Study methodology in details
- iv. Limitations of the study
- v. Composition of study team

2. Policy, Legal and Administrative Framework

- i. National and local requirements and relevant legislation
- ii. REA's requirements and guidelines
- iii. Investors requirements and guidelines (if applicable)

3. Description of the project

- i. Background and Rational of the Project
- ii. Project Site and Location
 - Description of the location of the proposed project with maps
 - Project area of influence
 - Nearby communities, environmentally sensitive areas, and heritage sites (For solar mini grid buffer zone should be 1 km)
- iv. Technical Aspects
 - Description of the project components, permanent and temporary facilities
 - Project equipment and civil works
 - Project ownership
 - Summary of project structures and operating regime
 - Construction activities
 - Operation and maintenance
 - Manpower requirements (including local and migrant workforce)
 - Construction machinery, materials and other supplies (including estimated numbers/quantities)
 - Land filling activities (if any)
 - Power supply arrangements
 - Waste generation and disposal (including estimated quantities)

4. Baseline Environmental Conditions

4.1 Physical Environment

- i. Topography
- ii. Geological Condition
- iii. Meteorological Condition (Rainfall, Temperature, Humidity, Wind speed)
- iv. Air Quality
- v. Noise Quality
- vi. Surface and Ground water quality
 - Surface:(testing of: pH, TDS, DO, COD, BOD)
 - Ground:(testing of: pH, Arsenic, TDS, alkalinity, Cl, Fe)
- vii. Project location from flood level
- viii. Soil Quality
- ix. Water resources

- x. Agroecological zones within project area of influence
- xi. Seismicity
- xii. Climate change and natural disasters
- xiii. Land use

4.2 Biological Environment

- i. Bio-ecological environment
- ii. Flora and Fauna
- iii. Protected areas
- iv. Terrestrial Ecosystem, Protected areas and red book species
- v. Vulnerability to Climate Change and Natural hazard
 - Explain in detail about how the project will be affected by the climate change impact
 - Explain how the project is vulnerable to various natural calamities including flood, earthquake, drought, cyclone and so on

5. Social Impact Assessment

5.1 Baseline Socio-economic Conditions

- i. Distribution of population in the project area in terms of religion, age, sex, ethnicity, income, household size, occupational patterns and their relevance with the project, poverty
- ii. Project land
- iii. Land use and ownership (including traditional use and ownership)
- iv. Cropping and/or grazing patterns
- v. Vulnerability of the Affected Peoples (APs)
- vi. Employment
- vii. Livelihood
- viii. Physical and cultural resources (school, health post/ hospital, college, temple, monasteries etc.) in the project area
- ix. Communication facility
- x. Local amenities

5.2 Potential Social Impacts⁴

- i. Overview of stakeholder and institutional analyses and a description of the data and information gathered
- ii. Description of potential adverse impacts on communities
- iii. Description of the legal and institutional context pertaining to vulnerable groups in the country
- iv. Description of potential benefits for communities, especially vulnerable groups
- v. Recommendations for project design and implementation, including recommendations to ensure that project benefits are culturally appropriate and sustainable, and recommendation for appropriate mitigation measures for any adverse impacts.
- vi. Recommendation for capacity building and institutional strengthening of local communities

6. Analysis of Project Alternatives

- i. Reason to choose the technology
- ii. Without project alternative
- iii. Site Alternative

⁴ May include annexes on specific issues, such as: outline of the social assessment process, relevant maps, minutes of meetings and consultation with affected communities and other key stakeholders, etc.

- iv. Distribution line routes
- v. Other temporary and permanent facilities

7. Stakeholder engagement including Grievance Redress Mechanism

Stakeholder engagement process shall be conducted with the community and other stakeholders, and especially take into account modalities where vulnerable groups may be involved. The consultation shall include prior disclosure of information in a manner accessible and understandable to communities, key informant interviews, focus group discussion (male & female, youth) and public consultation. The consultation shall be documented with required facts, figures and evidence including participant list with contact details, photographs. Information shall be disclosed as per the requirement of National Regulations and relevant requirements of REA. This section shall describe the grievance redress mechanism.

8. Anticipated Environmental and Social Impacts and Mitigation Measures

- i. General
- ii. Area of Influence (AoI)
- iii. Pre-construction Phase
 - Land taking/Land use / land filling
 - Flood Hazards
- iv. Construction Phase, Operational Phase and Decommissioning Phase
 - Visual Amenity
 - Birds and Bats Mortality
 - Air Quality
 - Noise
 - Soil
 - Water Resources
 - Terrestrial Ecology
 - Waste Generation
 - Occupational Health and Safety
 - Community Health and Safety
 - Vulnerable Community
 - Employment Opportunities
 - Traffic Management
 - Archaeology and Cultural Resources
 - Cumulative and induced impacts
- v. Summary of Anticipated Impacts

9. Environmental and Social Management Plan (ESMP)

This section deals with the set of mitigation management measures to be taken to avoid, reduce, mitigate or compensate for adverse environmental, occupational and social impacts with the institutional arrangement, monitoring schedule, parameters to be monitored and soon including tentative monitoring budget. It would include the following aspects:

- Types of impacts and their mitigations
- Mitigation measures
- Environmental Code of Practices (to be attached to bidding documents and/ or contracts)
- Monitoring Plan
- Communication and documentation
- Cost of ESMP
- Integration with Project (contract clauses, others)
- Grievance resolution process
- Plan for stakeholder/ community engagement during pre-construction, construction,

and operation phases; the plan should include community mobilization approach from both social and commercial perspectives.

10. Resettlement Action Plan (RAP) and Livelihood Restoration Plan (LRP) (if applicable)

This section deals with potential project activities involving land acquisition and/or restrictions on land use resulting in involuntary resettlement or economic displacement. A detailed RAP and/or LRP will be required in case of any displacement.

11. Environmental and Social Benefits

This section will summarize how the project will provide benefits in environmental sector and social life, directly and/or indirectly.

12. Conclusion

This section shall provide the conclusion drawn from the assessment and provides recommendation.

Annex D: Sample Environmental and Social Management Plans (ESMP)

The Environmental and Social Management Plan (ESMP) clearly laid out: (a) the measures to be taken during both construction and operation phases of the project to eliminate or offset adverse environmental impacts, or reduce them to acceptable levels; (b) the actions needed to implement these measures; and (c) a monitoring plan to assess the effectiveness of the mitigation measures employed.

The following table provides generic examples of common mitigation measures for various identified impacts which would be found in a typical ESMP. The table should be considered as generic guidance only; actual mitigations and management measures will need to be confirmed on a subproject basis as part of the ESIA process.

Generic Examples of Environmental Mitigation Measures in ESMP

Issue	Key Principle/Mitigation Standard	Mitigation Measures
General Issues:		
Water supply affecting ecology or neighboring community water supply.	Camp to provide its own water supply that does not affect village water supply.	Any water supply sources should be located so that it does not adversely affect the villages supply. The intake of water from streams for water supplies should leave residual flows in the watercourses. Storage tanks should be used to buffer water supplies.
Wastewater discharges affecting water quality	Wastewater to be treated prior to discharge.	Sewerage disposal methods should be designed to the standards outlined by the government
Solid waste polluting the environment and causing health hazards	No waste to be burnt or buried on site.	All solid wastes shall be removed from site and disposed of at a landfill.
Affected community health & safety	Avoid adverse impacts from both routine and non-routine circumstances	Evaluate the risks and impacts during project life-cycle; establish preventive and control measures; prepare emergency preparedness and response.
Labor Issues:		
Fairness of employment	Promote the fair treatment, non-discrimination, and equal opportunity	It will not make employment decisions on the basis of personal characteristics unrelated to inherent job requirements. The same employment treatment and career opportunities will be offered to both male and female employees non-discriminatingly.
Terms of employment	Establish, maintain, and improve the worker-management relationship	Adopt proper HR policies and procedures; provide workers with documented information that is clear and understandable, regarding their rights under national law. Provide and inform workers of an internal grievance process for workplace concerns.
Force labor and/or child labor	Not employ forced labor or child labor.	All work of persons under the age of 18 will be subject to an appropriate risk assessment and regular monitoring on health, working conditions and hours.
Employment of migrant vs. local labor	Compliance & fair treatment	Comply with national and local migrant worker regulation; employ only legal migrant workers; fair treatment to all workers.
Management of migrant labor	Ensure safety and fair treatment	Prevent labor camps, provide decent workers accommodation, and prepare measures to gender-based violence /sexual exploitation and HIV/AIDS issues
Occupational health & safety	Promote safe and health working conditions, and the health of workers	Provide a safe and healthy work environment, consider inherent risks, hazards, and specific threats to women. Take steps to prevent accidents, injury, and disease arising from, associated with, or occurring in the course of work.

Issue	Key Principle/Mitigation Standard	Mitigation Measures
General Construction Issues:		
Noise of machinery associated with construction activities	Noise shall not unreasonably intrude on traditional village life.	Keep a current list of all noise producing machinery and noisy activities; Operate machinery only during designated hours in agreement with local communities; Adopt a grievance mechanism that will enable capturing and addressing issues upfront Work to be carried out in daylight, in typical working hours. Concrete batching plants and other noisy equipment to be located as far as practical from settlements
Dust generation from construction activities	Dust shall not cause a hazard or nuisance to village life.	Dusty operations to occur only during designated hours. Adopt a grievance mechanism. Concrete batching plants and other dusty equipment to be located as far as practical from settlements.
Vibration disturbance from construction activities	Vibration shall not unreasonably intrude on traditional village life.	Keeps a list of all vibration producing machinery and activities causing vibration. This machinery operation to occur only during designated hours (to be confirmed by contractor in agreement with villages). Use of complaints register and procedures to address issues as they arise.
Increased utilization of roads by traffic associated with construction activities	There should be no significant increased risk to local populations from traffic associated with the development.	Road upgrades, including signage, speed humps, re-grading. Training of locals regarding the hazards of traffic. Training of vehicle drivers regarding the driving risks through villages and along remote roads. Use of complaints register and procedures to address issues as they arise.
Pollution risk activities occurring on site	Develop appropriate storage, transport and use practices for storage and handling of mixed classes of dangerous goods in packages and intermediate bulk containers. There shall be no solid or liquid waste disposal directly or indirectly to any water course (whether flowing or not).	Keeps a current list of all potentially contaminating materials used on site. Develop and implement appropriate storage, transport and use practices to recognized standards. Solid waste disposal shall be taken off site.
Excavation and Blasting:		
Noise disturbance of local populations	Noise shall not unreasonably intrude on traditional village life.	Keep lists of all noise producing equipment. This machinery operation to occur only during designated hours (to be confirmed by contractor in agreement with villages). Blasting to occur at the same time each day, and / or a warning siren should sound prior to blasting.
Vibration disturbance of local populations	Vibration shall not unreasonably intrude on traditional village life.	Keep current lists of all vibration producing machinery This machinery operation to occur only during designated hours (to be confirmed by contractor in agreement with villages). Blasting to occur at the same time each day, and / or a warning siren should sound prior to blasting
Material Stockpiling:		
Runoff of suspended sediments from stockpiles	Stockpiling activities should not give rise to storm water containing elevated suspended solids.	No direct discharge of sediment laden water without treatment. Stockpiles should be compacted as much as practical and not be exposed for extended periods.

Issue	Key Principle/Mitigation Standard	Mitigation Measures
	Provide treatment to achieve 75% reduction in suspended solids.	Storm water should be diverted around stockpiles.
Dust generation from stockpiles	Dust shall not cause a hazard or nuisance to village life.	Stockpiles should be compacted and not exposed for extended periods. Stockpiles should be reused as soon as practicable.
Soil / Overburden Removal and Placement:		
Generation of suspended solids from bare ground and runoff into watercourses	Development activities should not give rise to storm water containing elevated suspended solids. Provide treatment to achieve 75% reduction in suspended solids.	No direct discharge of sediment laden water without treatment. Earthworks and land clearance should be minimized and phased. Any discharges to watercourses should occur during high flow and / or discharged as close to the outfall as possible to maximize mixing. Stockpiling should occur at least 10m from a water course. Re-vegetation of exposed areas as soon as practicable. Timing of works around the drier seasons where possible. Provision of storm water cut off drains wherever possible.
Introduction of invasive species	Fill material should not contain invasive species.	The use of imported fill shall be minimized. Machinery should be cleaned prior to working on site to reduce the opportunity of the spread of weed seeds.
Disturbance of natural habitats for spoil / alluvial material.	Soils should be reused where possible in the development – to reduce the need for spoil sites and the need to import fill.	Stockpile and reuse soils before excavating new soils / alluvium.
Efficiency of control measures over time	Control measures should continue to work appropriately throughout the construction period.	Earthworks control measures should be inspected and maintained in efficient operating condition over the construction period.
Community nuisances.	Noise and dust shall not unreasonably intrude on traditional village life.	Concrete batching plants and other noisy / dusty equipment to be located as far as practical from villages.
Works in and near Rivers:		
Sediment discharges arising from working in and near the river. For blasting in or near the river, refer to the blasting issues, above.	Work in the wetted area of the riverbed should be minimized, and only in relation to the construction of the power house, weir and intake structure or to insert culverts for stream crossings.	Stabilize works at the end of each working day and prior to storm events. Do the work during low flow periods. Works shall be minimized. Diversion of the river around the work area where possible.
Community impacts:		
Key Considerations for a Communication Strategy to avoid deterioration of current quality of life and traditional livelihoods	Communication channels are established between Villagers, Construction Supervisors, and state PCUs to facilitate information flow and easier process for lodging complaints	Set up a communication network for discussing issues between contractors and the villagers and the state PCUs built on recognized negotiation structures Contractors will have an Environmental Specialist, OHS Specialist, and Social Specialist on site to ensure conformance with environmental health and safety guidelines and to respond to complaints A Health Program - as well as measures for prevention of gender-based violence, sexual exploitation, and HIV/AIDS - to be included in the Contractor's Construction and Workers Camp

Issue	Key Principle/Mitigation Standard	Mitigation Measures
		Management Plan. This will be made available to the communities Education and orientation of outside workers to local culture and social norms before the start of work. Camps to be self-sufficient in resources and services. (refer to the workers camp table below) Villagers shall be adequately informed of all potential hazards to health and safety with regards to increased traffic, blasting, machinery operation
Labor influx and gender-based violence, sexual exploitation	Specific measures in place for migrant workers	Sensitization campaigns for workers and communities, with special emphasis on vulnerable groups (such of women) Code of conduct and training for workers and managers on the construction sites Locations of labor camps away from sensitive receptors in communities (e.g. schools)
Traffic causing safety risks to road users	Construction traffic will be managed to minimize the impact on existing road users.	Signage to be used to identify current risks to road users. Construction Supervision consultancy and Contractors to discuss major traffic issues with village representatives prior to the event to discuss course of action. Heavy traffic to avoid the hours when school children walk to and from school.
Sediment affecting river water uses.	Sediment discharges to the river shall be minimized.	Refer to the sections above discussing erosion and sediment control.

The table below provides another example of how an ESMP typically would present the association between project activities, their impacts, the specified mitigation measures, institutional arrangements and costs for their implementation.

Sample ESMP Responsibilities and Costs

Project Activity	Potential Impacts	Proposed Mitigation Measures	Institutional Responsibility	Estimated Costs
Use of land within mini grid construction area and along the transmission line route	Damage to vegetation	Appropriate clearing techniques (hand clearing, not mechanized clearing) will be utilized. Any trees of protected species will be relocated. In case relocation is not possible, the project developer will pay a special fee to the local environmental fund.	Contractor/ Operating Company	
Use of land within mini grid construction area and along the transmission line route	Loss of fertile topsoil and soil erosion	Fertile topsoil will be removed, stored in an isolated area away from construction activities, and covered with plastic to prevent runoff/erosion. Upon construction completion, topsoil will be returned, and the area revegetated with plants similar to the original vegetation/native to the area.	Contractor/ Operating Company	

Project Activity	Potential Impacts	Proposed Mitigation Measures	Institutional Responsibility	Estimated Costs
Construction works	Air pollution by dust	When necessary, construction site will be sprayed with water, particularly during hot, dry, windy conditions.	Contractor/ Operating Company	
Construction works	Noise from construction works	Construction will be confined to normal work-hours (8AM to 6PM). If construction needs to be conducted before/after these hours, local public will be notified at least one week in advance.	Contractor/ Operating Company	—

ANNEX E: Sample of Outline of a Resettlement Action Plan (RAP)

1. *Description of the project*: General description of the project and identification of the project area.
2. *Potential impacts*: Identification of
 - (a) the project component or activities that give rise to resettlement;
 - (b) the zone of impact of such component or activities;
 - (c) the alternatives considered to avoid or minimize resettlement; and
 - (d) the mechanisms established to minimize resettlement, to the extent possible, during project implementation.
3. *Objectives and studies undertaken*: The main objectives of the resettlement program and a summary of studies undertaken in support of resettlement planning / implementation, e.g., census surveys, socio-economic studies, meetings, site selection studies etc.
4. *Regulatory framework*: Relevant laws of the country, policies and procedures, performance standards.
5. *Institutional framework*: Political structure, NGOs.
6. *Stakeholder engagement*: Summary of public consultation and disclosure associated with resettlement planning, including engagement with affected households, local and/or national authorities, relevant CBOs and NGOs and other identified stakeholders, including host communities.
7. *Socioeconomic characteristics*: The findings of socioeconomic studies to be conducted in the early stages of project preparation and with the involvement of potentially displaced people.
8. *Eligibility*: Definition of displaced persons and criteria for determining their eligibility for compensation and other resettlement assistance, including relevant cut-off dates.
9. *Valuation of and compensation for losses*: The methodology used in valuing losses to determine their replacement cost⁵; and a description of the proposed types and levels of compensation under local law and such supplementary measures as are necessary to achieve replacement cost for lost assets.
10. *Magnitude of displacement*: Summary of the numbers of persons, households, structures, public buildings, businesses, croplands, churches, etc., to be affected.
11. *Entitlement framework*: Showing all categories of affected persons and what options they were/are being offered, preferably summarized in tabular form.
12. *Livelihood restoration measures*: The various measures to be used to improve or restore livelihoods of displaced people.
13. *Resettlement sites*: Including site selection, site preparation, and relocation, alternative relocation sites considered and explanation of those selected, impacts on host communities.
14. *Housing, infrastructure, and social services*: Detailed plans to provide or to finance housing, infrastructure, and social services to resettlers and comparable services to host population.
15. *Grievance procedures*: A description of the project's grievance mechanism, including an affordable and accessible third-party settlement procedure for resettlement related disputes.
16. *Organizational responsibilities*: The organizational framework for implementing

⁵ Replacement cost defined as the market value of the assets plus transaction costs.

resettlement.

17. *Implementation schedule and budget*: A detailed implementation schedule and budget.

Monitoring, evaluation and reporting: A description of plans for resettlement monitoring and evaluation.

Annex F: Sample of an Outline of a Livelihood Restoration Plan (LRP)

1. *Description of the project:* A brief description of the project components for which land acquisition and resettlement are required.
2. *Legal and Institutional Framework:* A description of the legal context within which the displacement operation will take place, including an analysis of local legislation, international standards requirements, the gaps between the two and how the project should fill such gaps.
3. *Socio-Economic Environment & Baseline Survey Findings of the affected area:* A socio-economic baseline of the affected communities, drawing from the census, the asset inventory and the socio-economic survey. An assessment of the various relocation sites considered and the justifications for the final site/s selected.
4. *Identification of Project Impacts:* An outline of the project's economic displacement impacts and how the project's design plans are being influenced by the important need to avoid / minimize such resettlement impacts;
5. *Eligibility:* A definition of the criteria to be used to determine eligibility for compensation and other resettlement assistance.
6. *Entitlement:* A tentative entitlements matrix, a summary of which will be disclosed to the affected communities.
7. *Valuation and Compensation:* Methodology in evaluating level economic displacement and a description of the compensation package options and the livelihood restoration options that affected people will be asked to choose between.
8. *Livelihood Restoration and Enhancement:* The various measures to be used to restore, and improve whenever is feasible, the livelihoods of economically displaced people.
9. *Vulnerable Assessment and Assistance:* A description of dedicated assistance to vulnerable groups, such as women, elderly population etc.
10. *Stakeholder Engagement:* A description of the consultation and engagement strategy that is, and will be, used in the design and implementation of the livelihood restoration activities. A summary of the local views thus far expressed in the consultation and engagement process, and how these views have been taken into account in LRP development.
11. *Institutional Arrangements:* An analysis of the project's existing institutional framework, including the identification of responsible agencies, an assessment of institutional capacity and proposed capacity enhancement measures to be carried out to enable the institutional framework to implement the resettlement operation effectively.
12. *Grievance Mechanism:* A description of the project's grievance mechanism and its relevance to livelihood restoration.
13. *Monitoring and Evaluation:* A description of plans for livelihood monitoring and evaluation.
14. *Implementation Schedule and Compensation Budget:* A detailed implementation schedule and budget.

Annex G: Sample Stakeholder Engagement Plan

A good Stakeholder Engagement Plan should:

- Describe regulatory, lender, company, and/or other requirements for consultation and disclosure.
- Identify and prioritize key stakeholder groups, focusing on Affected Communities.
- Provide a strategy and timetable for sharing information and consulting with each of these groups.
- Describe resources and responsibilities for implementing stakeholder engagement activities.
- Describe how stakeholder engagement activities will be incorporated into a company's management system.

The scope and level of detail of the plan should be scaled to fit the needs of the project.

1. Introduction

Briefly describe the project, including design elements and potential social and environmental issues. Where possible, include maps of the project site and surrounding area.

2. Regulations and Requirements

Summarize any legal, regulatory, lender, or company requirements pertaining to stakeholder engagement applicable to the project operations. This may involve public consultation and disclosure requirements related to the social and environmental assessment process.

3. Summary of any Previous Stakeholder Engagement Activities

If the company has undertaken any activities to date, including information disclosure and/or consultation, provide the following details:

- Type of information disclosed, in what forms, and how it was disseminated
- The locations and dates of any meetings undertaken to date
- Individuals, groups, and/or organizations that have been consulted
- Key issues discussed, and key concerns raised
- Company response to issues raised, including any commitments or follow-up actions
- Process undertaken for documenting these activities and reporting back to stakeholders

4. Project Stakeholders

List the key stakeholder groups who will be informed and consulted about the project. These should include persons or groups who:

- are directly and/or indirectly affected by the project
- have "interests" in the project that determine them as stakeholders
- have the potential to influence project outcomes or company operations

5. Stakeholder Engagement Program

- Summarize the purpose and goals of the program
- Briefly describe what information will be disclosed, in what formats, and the types of methods that will be used to communicate this information to each group
- Briefly describe the methods that will be used to consult with each group
- Describe how the views of women and other relevant sub-groups will be taken into account during the process
- Describe any other engagement activities that will be undertaken

6. Timetable

Provide a schedule outlining dates and locations when various stakeholder engagement activities, including consultation, disclosure, and partnerships will take place and the date by which such activities will be incorporated into the company's management system.

7. Resources and Responsibilities

Who within the company will be responsible for carrying out these activities? What budget has been allocated toward these activities? Indicate what staff and resources will be devoted to managing and implementing the Stakeholder Engagement Program. Integration of the community liaison function with other core business functions is also important, as is management involvement and oversight.

8. Grievance Mechanism

Describe the process by which people affected by the project can bring their grievances to the company for consideration and redress. Who will receive public grievances, how and by whom will they be resolved, and how will the response be communicated back to the complainant?

9. Monitoring and Reporting

Describe any plans to involve project stakeholders (including affected communities) or third-party monitors in the monitoring of project impacts and mitigation programs. Describe how and when the results of stakeholder engagement activities will be reported back to affected stakeholders as well as broader stakeholder groups?

10. Management Functions

How will stakeholder engagement activities be integrated into the company's environmental and social management system and with other core business functions?

- Who will have management oversight for the program?
- What are the plans for hiring, training, and deploying staff to undertake stakeholder engagement work?
- What will be the reporting lines between community liaison staff and senior management?
- How will the company's stakeholder engagement strategy be communicated internally?
- What management tools will be used to document, track, and manage the process?
- For projects or company operations involving contractors, how will the interaction between contractors and local stakeholders be managed to ensure good relations?

Annex H: Sample Grievance Redress Mechanism

The institution will set up a project-specific Grievance Redress Mechanism (GRM) for people to report concerns or complaints, if they feel unfairly treated or are affected by any of the subprojects.

The mechanism will amongst other things: (a) provide information about project implementation; (b) provide a forum for resolving grievances and disputes at the lowest level; (c) resolve disputes relatively quickly before they escalate to an unmanageable level; (d) facilitate effective communication between the project and affected persons; (e) win the trust and confidence of project beneficiaries and stakeholders and create productive relationships between the parties. The mechanism is envisaged to be at multiple levels and will address such complaints, including logging, tracking, and resolving grievances promptly during and after the implementation of the Project.

The institution will have dedicated person or unit to be responsible for setting up and maintaining the GRM that allows general public in the project area and affected communities or individuals to file complaints and to receive responses in a timely manner. The system will also record and consolidate complaints and their follow-up. This system will be designed for handling complaints perceived to be generated by the project or its personnel. It may also include disagreements about compensation and other related matters.

The GRM will be communicated to all stakeholders in the course of its community engagement activities and will make public available a record documenting the responses to all grievances received. The GRM will remain available throughout the project cycle. It is expected to address concerns promptly and effectively, in a transparent manner that is culturally appropriate and readily accessible to all project affected parties, at no cost and without retribution. It also allows for anonymous complains to be raise and addressed.

The GRM should include the following elements. More details see Table below.

- Different ways in which users can submit their grievances, which may include submission in person, by phone, text message, mail, email or via a website including confidential channels for GBV /SEA complaint reporting;
- A log where grievances are registered in writing and maintained as a database;
- Publicly advertised procedures, setting out the length of time users can expect to wait for acknowledgement, response, and resolution of their grievances;
- Transparency about the grievance procedure, governing structure and decision makers; and
- An appeals process (including the national judiciary) to which unsatisfied grievances may be referred when resolution of grievance has not been achieved.

Grievance Management Process

Process	Description	Time Frame	Other Information
Identification of grievance	Face to face; phone; letter; mail; e-mail; website; recorded during public/community interaction; others The responsible party to receive the grievances will be REA and the	1 Day	Email address; hotline number

	<p>subproject implementers</p> <p>The grievance can also be passed through other parties, such as the chief office because the public are more conversant with this office.</p> <p>The grievance receiver would then pass the complaint to REA contact person</p>		
Grievance assessed and logged	<p>Significance assessed and grievance recorded or logged (i.e. in a log book)</p> <p>It will be prudent to have a grievance record book where the grievances are recorded for follow up</p>	3-6 Days	Significance criteria: Level 1 –one off event; Level 2 – complaint is widespread or repeated; Level 3- any complaint (one off or repeated) that indicates breach of law/ policy or this ESMF provisions
Grievance is acknowledged	Acknowledgement of grievance through appropriate medium	3 Days	
Development of response	<p>Grievance assigned to appropriate party for resolution</p> <p>Response development with input from management/ relevant stakeholders</p>	4-8 Days	
Response signed off	Redress action approved at appropriate	8-15 Days	
Implementation /communication of response	Redress action implemented and update of progress on resolution communicated to complainant	5-9 Days	

If complainants are not satisfied with the grievance process, even after arbitration, the affected persons will still have the right to present their complaint through the court system.

Annex I: Sample Self-Monitor Checklist

Issues/aspects	Location	Mitigation measure	Key verifiable indicator	Person responsible	Remarks	Cost (Nigerian naira)
Construction						
1.						
2.						
Etc.						
Operation						
1.						
2.						
Etc.						

Annex J: Sample Regular E&S Report to REA

Name & Address of Mini grid Developer (the Company)			
Completed by (staff name, E&S manager/ coordinator):			
Contact Person Phone #:		Email:	
Position in Company:		Date:	
Reporting Covering From:		To:	

1. Portfolio & Pipeline Operations: Please provide details on each mini grid that is in any phase: planning, construction, operation, or decommission (add rows if needed)

Mini grid Location & Phase	E&S Category (I or II)	Category justification	E&S Instruments Prepared	Key E&S Risks	Compliance with Laws & Regulations (list clearances obtained and dates)	Sites fall under E&S Exclusion criteria for mini grid and power generation sites (Y/N?) <i>If yes, provide details</i>

3. Land Acquisition Details

Mini grid Location	Is involuntary resettlement or economic displacement needed? (Y/N)	Has RAP/ LRP been prepared? (Y/N)	Has community donated land to the project? (Y/N)	Type of ownership (individual/ family or community) and amount of land donated (m2)	Has additional land been purchased? (Y/N)	Has additional land been leased? (Y/N)

3. Progress on ESMS Implementation

Compliance	Yes/No	If yes, please provide details
Has the developer encounter any difficulties and/or constraints related to the implementation of the ESMS?		
Has there been any incident or accident related to resettlement (physical and/or economic)?		
Has the company got warning and/or fines?		
Has there been any complains from affected person and communities? If yes, describe nature of complains and proposed or agreed resolution?		
Has the budget/resources to implement the proposed E&S change(s) been committed?		
Has the company conducted E&S monitoring for projects? Please describe process and outcomes.		
Have there been any updates to the company's E&S Policy?		
Is there any E&S personnel (staff or consultant) change?		
Is there any E&S staff training including training on GBV and staff code of conduct?		
Is there an internal process to report on E&S issues to senior management?		
Is there any new public communication and/or stakeholder engagement on E&S issues? <i>Describe specific activities during reporting period</i>		
Other E&S issues/concerns		
Is there any internal confidential reporting with safe and ethical documenting of GBV cases and referral to appropriate GBV service provider?		

Compliance	<i>Yes/No</i>	If yes, please provide details

Signature _____

Date _____

Annex K: Voluntary Land Donation Guidelines

Voluntary land donation is strictly defined in international practice as the ceding of a property by an owner who is: a) fully informed; and b) can exercise free will, i.e., can refuse to sell or to donate. “Fully informed” means that the owner has complete information regarding the proposed activity and its impacts, its land requirements and its alternate activity sites, as well as his or her rights to compensation. The owner has also been provided with sufficient time to consider his or her disposition of the property, and the owner has knowingly rejected the right to renege on his or her initial decision. “Free will” means that the owner can reject the possibility of giving up his or her land.

VLD should only be authorized if they (a) have affected people as direct beneficiaries; (b) clearly document Informed Consent; (c) clearly document Power of Choice (option of refusal or to sell at prevailing market rate); and (d) meet the VLD guidelines of the project. The guidelines have been put into place to ensure that donations are indeed voluntary, that the donor is the legitimate owner of such lands, and that the donor is fully informed of the purpose of the donation and of the implications of donating the property.⁶ If the land is donated on a conditional basis, the terms and conditions for the temporary use of the property must be clearly documented.

The following principles should be complied with when VLD is carried out:

Core principles:

- The land required to meet technical project criteria must be identified by the affected community through a participatory approach and not by the developer, line agencies or project authorities (nonetheless, technical authorities can help ensure that the land is appropriate for project purposes and that the project will produce no health or environmental safety hazards); mini-grids can be sited in any location within a community so long the location meets the technical criteria for the investment
- The proportion of land that may be donated cannot exceed 15 m² per kW of the proposed generation capacity plus an additional 7.5m² per kW for future generation capacity expansion
- Land donation for a single mini-grid or power generation system shall not exceed 10% of the land donor’s holdings in cases where land ownership is individual or family
- Land required above 1,500 m², whether for initial construction or future generation capacity expansion, can be either leased using leasehold agreement (using ground rent scale set by each state in Nigeria) or bought on willing-buyer-willing-seller basis at current local market price in the community
- Donated land can only be used for power plant construction and future expansion and be fenced off accordingly

⁶ Voluntary land donation is strictly defined in international practice as the ceding of a property by an owner who is: a) fully informed; and b) can exercise free will, i.e., can refuse to sell or to donate. “Fully informed” means that the owner has complete information regarding the proposed activity and its impacts, its land requirements and its alternate activity sites, as well as his or her rights to compensation. The owner has also been provided with sufficient time to consider his or her disposition of the property, and the owner has knowingly rejected the right to renege on his or her initial decision. “Free will” means that the owner can reject the possibility of giving up his or her land.

- Shall the donated land not be used for power plant construction within three years, the unused land shall be returned to the donor.

Additional requirements:

- Impacts of proposed activities on donated land must be fully explained to the donor
- The potential donor is aware that refusal is an option, and that right of refusal is specified in the donation document the donor will sign
- The act of donation is undertaken without coercion, manipulation, or any form of pressure on the part of the developer, the public or traditional authorities
- The donor may request monetary or non-monetary benefits or incentives as a condition for donation
- Donation of land cannot occur if it requires any household relocation
- For community or collective land, donation can only occur with the consent of individuals using or occupying the land
- Verification must be obtained from each person/ family donating land (either through proper documentation or through confirmation by at least two witnesses)
- The implementing agency or mini grid developers establish that the land to be donated is free of encumbrances or encroachment and registers the donated land in an official land registry
- Any portion of donated land that is not used for its agreed purpose is returned to the donor
- The land in question must be free of squatters, encroachers, or other claims or encumbrances
- Land thus donated is free from any dispute on ownership, squatters, encroachers, or other claims or any other encumbrances.

Procedure:

Step 1: Determining and Documenting the Appropriateness of VLD for the Subproject

In considering the relevance of VLD for the specific subproject, mini-grid developer will document:

- How much land the subproject would require on both a permanent and temporary basis
- What the land would be used for
- What alternatives to donation exist (e.g. right of use, right of way, lease or purchase)
- The proposed terms of any donation of land
- Any other details that are relevant to why donation of land may be appropriate.

Step 2: Official Notification to Landowners regarding the Option for VLD

If it is determined that VLD could be relevant for a subproject, the local authority (e.g. village head) will provide landowners with official written notification of the proposed construction of electricity infrastructure within their area and the associated opportunity for voluntary donation of land.

Step 3: Briefing to Interested Landowners of the Process of VLD

If the landowner indicates to the village head or similar authority that he or she is interested in VLD, they should brief the landowner/village about the process of VLD and explain the VLD form that would be required to be completed and signed by the landowner/villager and his/her spouse, as relevant. Prior to briefing the interested landowner, the village head should confirm that:

- The interested landholder/villager would not lose more than 10% of his/her total productive assets
- No physical relocation of the interested landowner/villager and/or his/her family would be necessary.

Step 4: Due Diligence Verification Process to Confirm Land Ownership and Use

If the interested landowner and his/her spouse confirm that they would like to proceed with VLD, the next step is to verify the ownership and use of the land proposed to be donated. The verification process should review available information and documentation regarding: Mini grid developer should:

- The owner or owners of the land
- The users of the land, or any parties that occupy the land (either physically or through ownership of an asset or conduct of livelihood or business activities on the land)
- Any competing claims of ownership or use
- Structures and assets on the land
- Trees or crops on the land
- Any encumbrances on the land.

It is important to: (i) identify the right that is being transferred (an ownership right, a use right, a right of way, etc.); and (ii) check whether the donor actually has the right s/he claims to have. In many circumstances where careful due diligence has not been carried out, significant conflict has arisen at a later stage when another party claims that they have the same or a competing right. In some circumstances – but not all – the transferee will have documentary evidence of such right. Where no such evidence exists, the due diligence can establish rights by speaking with local community officials and neighbors.

Step 5: Public Consultations and Disclosure

The decision to voluntarily donate land must be taken on the basis of a full understanding of the specific subproject and the consequences of agreeing to donate land. Accordingly, the parties that will be affected by the donation (the owners and users of the land, and the neighbors to the land as appropriate) must be provided with accurate and accessible information regarding what the land will be used for, for how long, and the impact the donation may have on them and their families. Prior written notification indicating the location and amount of land that is sought must be provided and its intended use must be disclosed.

Where the intention is to deprive the parties affected by the donation of the land permanently, or for a significant length of time, this must be made clear. It should be noted that in many communities the concept of alienation of land is uncommon and difficult to understand, and care needs to be taken to ensure that the implications of this are fully understood. It is also important to decide who else, within direct and extended families, should be consulted about the proposed donation of land in advance of it taking place; for example, older children.

Further to this, there should be a clear agreement as to which party/ies will pay the costs associated with the donated land. This could include measurement costs, documentation and notarial fees, transfer taxes, registration fees. It should also include the costs of re-measuring/re-titling the transferee's remaining land and any new documentation relating to it.

Step 6: Establishing Informed Consent

Mini grid developer, in coordination with the village administration, would verify the informed consent or power of choice by landholders who had selected to donate land. In particular, the following would be verified and documented in the voluntary land donation form:

- That the donor has a right to refuse to donate of an option to sell at prevailing market rate
- What the land is going to be used for, by whom and for how long
- That the landowner donating the land would be deprived of the ownership or right to use the land, and what this really means
- That the landowner has a right to refuse to donate the land
- Whether there are alternatives to using the land
- The process that would need to be followed to donate the land (e.g., execute documents, get spousal consents, pay taxes)
- The effect of the donation on the land donor's family, and what they can do if they (or their family or heirs) decide they want the land back.

The right to refuse must be a legitimate right, unconditional, and the potential transferee must be capable of exercising it in the local community and political context. For this reason, it is important to be sure that the decision to donate is undertaken without coercion, manipulation, or any form of pressure on the part of public or traditional authorities. For collective or communal land, donation must be based upon the informed consent of all individuals using or occupying the land.

Step 7: Preparation of Clear and Appropriate Documentation

While it is important to have evidence of an intention and agreement to donate land, it is equally important to ensure, where required and appropriate, that the land is legally transferred. While the process relating to the legal transfer of the land is frequently complicated and time consuming, it must be addressed. *[In specific circumstances, for example where the land is being transferred to the community, it may not be necessary to legally transfer the land. However, experience indicates that lack of formal transfer can create significant uncertainty in the future, which impacts on the sustainability of the infrastructure and services, and can have a negative effect on community relations.]*

Mini grid developer should:

- Identify the appropriate documentation, including the agreement to make the land transfer and any legal documentation that may be required
- Ensure that the agreement: - Refers to the consultation has taken place; - Sets out the terms of the transfer; - Confirms that the decision to transfer was freely made, and was not subject to coercion, manipulation, or any form of pressure; - Attaches an accurate map of the land being transferred (boundaries, coordinates); - Sets out who will bear the costs of the transfer (e.g., notarial fees, taxes, title issues) and documents the residual land rights
- Ensure that all necessary parties sign the documents, including obtaining consent from spouses and children of legal age
- Ensure that the transfer and title is registered or recorded; and

- Ensure that the land remaining after the donated land is excised is properly titled, registered or recorded.

It is also important to maintain a record of the process that has been followed. Such documents could include the following:

- The notification indicating the location and amount of land that was sought and its intended use for the project, with a record of when and where this was made public
- Records of the consultations that were held and what was discussed
- A copy of the due diligence that was conducted
- Copies of each of the formal statements of donation, establishing informed consent as described above, and signed by each owner or user involved
- Copies of all documents, registrations or records evidencing the legal transfer of the land
- A map, showing each parcel of land
- Appropriate documentation for reverting the land to the donor upon decommissioning from the site.

Step 8: Grievance redress arrangements

The project specifies the means by which donors (and, potentially, persons whose use or occupancy was not recognized in the transfer of land) may raise grievances, and measures to ensure consideration of, and timely response to, grievances raised. The grievance process includes participation of reviewers not directly affiliated with the village administration. The grievance process imposes no cost upon those raising grievances, and participation in the grievance process does not preclude pursuit of legal remedies under the laws of the country.

VOLUNTARY LAND DONATION (OR LAND LEASE) FORM

This form or an equivalent document is to be used to record the consent of land owners who offer private land for a community good activity. The essentials of voluntary donation are that the donors have been freely consulted prior to the donation, were not pressured or coerced, that the donation will not affect a significant proportion (more than 10%) of their productive assets, and that they have the right to refuse and to lodge a complaint if they have a grievance about the process.

Consent Form for Voluntary Donation

I/We: _____ male household head _____ female household head, and/or person(s) exercising customary rights over land described as (legal description, GPS coordinates if available) in

Village _____

Island _____

Province _____

Hereby declare that I/we/the group are the owners/users of the land required for (description):

I/we are voluntarily donating the use of land and or/ land-based assets (land area, type of assets /trees/crops etc) _____

for the purpose of: (specify activity)

We agree to this purpose from (date) _____ for as long as the purpose is served *or* until (specify end date, typically the life expectancy of the facility) _____

I/we make this donation of My/Our own free will. I/We are waiving My/Our right to compensation of any kind for the specified duration of the activity.

I/We affirm that we have been fully and freely consulted and informed about the activity prior to agreement, have not been subject to any form of coercion, understand that I/we have the right to refuse, and to seek redress for any grievance concerning this transaction.

Signed:

Male household head _____ /Female household head _____

Chief or Local Custom Authority _____

