

Pacific Aviation Investment Program

Environmental and Social Management Framework

Technical and Fiduciary Services Unit, Tonga Airports Limited
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Table of Contents

I.	Roles and Responsibilities of Key Stakeholders	2
II.	Planning and Project Preparation	4
A.	Compliance with Country Environmental Requirements.....	4
1.	Proposed Subproject.....	4
2.	Airport Due Diligence	4
B.	Screening.....	5
1.	Environment.....	5
2.	Social	5
C.	Typical Potential Issues	6
1.	Environment.....	6
2.	Social	7
D.	Documentation.....	8
1.	Environment.....	8
2.	Social	8
E.	Public Consultation	9
F.	Disclosure	9
G.	Review and Approval	10
H.	Conditionality and Contractual Obligations.....	10
III.	Implementation.....	10
A.	Monitoring and Reporting	10
IV.	Capacity Assessment	11
ANNEX A:	Screening.....	12
ANNEX B.1:	Environmental Management Plan (EMP)	13
ANNEX B.2:	Resettlement Plan Formats	16
I.	Abbreviated Resettlement Action Plan (ARAP) Annotated Table of Contents	16
II.	Resettlement Action Plan (RAP) Format	18
III.	Resettlement Policy Framework (RPF) Format	23
ANNEX B.3:	Indigenous Peoples Protection Plan (IPP) Format – including Social Assessment	24
I.	Social Assessment	24
II.	Indigenous People's Plan.....	25

I. Purpose of the Environmental and Social Management Framework

1. This Environmental and Social Management Framework (ESMF) document is a high level program document for the Pacific Aviation Investment Program (PAIP).
2. The purpose of this ESMF is to identify and direct the safeguard issues affecting the regional PAIP program, and to direct the formulation of more detailed, country-specific Environmental Management Plans (EMPs) and Social Assessments (SAs) which are developed for each country participating in the PAIP program.
3. Accordingly, references in this ESMF are made primarily to World Bank policy and procedures, and where applicable to 'national legislation' which is recognized as necessarily country-specific.
4. The EMPs and SAs developed at national levels for each PAIP country are expected to be consistent with this ESMF and to provide the necessary detail to reflect national requirements (legislative, cultural, etc). (It should be noted that references to the "Program" refer to the regional PAIP Program, whereas each participating country has a specific "Project" which operates under the Program.)
5. This document shall be updated as required to reflect any changes to Program investments or Bank policies.

II. Roles and Responsibilities of Key Stakeholders

6. **Roles and Responsibilities.** The following are the roles and responsibilities for the program:
 - **Program Implementing Agency (PIA):** Tonga Airports Ltd. (TAL). TAL will oversee and co-ordinate the Program as well as providing technical guidance.
 - **Executing Agencies (EA):** The Ministries of Finance in each participating country. They will be supported by the respective Civil Aviation Authorities (CAA) and their parent ministries and be responsible for carrying out their respective country projects.
 - **Implementing Agency (IA):** the line ministry or entity actually implementing the country project. This includes Consultants/Contractors working on behalf of the IAs. Under the current PAIP (Phase 1 & 2), the IAs are:
 - i. **Kiribati:** Ministry of Communications, Transport and Tourism Development (MCTTD)
 - ii. **Samoa:** Samoa Airport Authority (SAA);
 - iii. **Tonga:** Tonga Airports Limited (TAL). TAL is also the PIA per above;
 - iv. **Tuvalu:** Ministry of Communications and Transport (MCT).

7. **Key Steps.** The key steps of the framework are outlined below and detailed procedures required for each of these elements are described in subsequent Sections.

Planning and Project Preparation

- A. Compliance with Country Environmental Requirements
 - ◆ Proposed subproject
 - ◆ Airport due diligence
- B. Screening
 - ◆ Environment
 - ◆ Social
- C. Typical Potential Issues
 - ◆ Environment
 - ◆ Social
- D. Documentation
 - ◆ Environment
 - ◆ Social
- E. Public Consultation and handling complaints
- F. Disclosure
- G. Review and Approval
- H. Conditionality and Contractual Obligations

Implementation

- A. Monitoring and Reporting

III. Planning and Project Preparation

A. Compliance with Country Environmental Requirements

1. Proposed Subproject

8. The respective CAA will first obtain all national level environmental approvals for the subproject. It shall then submit to the IA an information package demonstrating that country environmental procedures were followed and all environmental approvals obtained and complied with, including any international obligations.

9. The information package should include the following:

- Feasibility study (if necessary);
- Any approved environmental documents prepared to meet country environmental licensing requirements (e.g. an EIA);
- National environmental authority EIA approval letter or “No EIA Required” letter;
- Record of any public consultations and how the issues raised were considered and dealt with.

2. Airport Due Diligence

10. The CAA shall complete the following form and submit to the IA.

Criteria	Yes	No	Comments
Does the current airport operation have a valid operating permit, valid license, and all necessary government approvals to conduct business?			If NO, the airport must obtain all required licenses/permits/approvals etc. prior to subproject approval or include such corrective measures in the subproject
Does the current airport operation meet all country and international environmental regulations regarding air emissions, water discharges, ozone depleting substances and solid waste management?			If NO, the airport must take corrective measures to meet regulations prior to subproject approval or include such corrective measures in the subproject
Does the current airport operation have any outstanding environmental liabilities (fees, fines, penalties, pending legal actions/decisions)			If YES, the airport must take corrective measures to remove these liabilities prior to subproject approval or include such corrective measures in the subproject
Have there been any complaints raised by local			If YES, the airport must take corrective measures to remove

affected groups or NGOs regarding conditions or operations at the airport			these liabilities prior to subproject approval or include such corrective measures in the subproject
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B. Screening

3. Environment

11. The IA is responsible for subproject environmental screening. Screening checklist is given in Annex A. Although the overall PAIP has been designated “Category B” it is possible for an individual proposed subproject to contain elements that may involve significant environmental risk (Category A). This categorization is consistent with WB safeguard policies and a summary of their definition is provided in Annex C.

12. Consequently, as a precautionary measure, the IA will review the information package provided by the CAA¹ and complete the Environmental Screening Table presented in [Annex A](#). Any proposed subproject which results in a Category A assignment can only be considered for financing if the individual subproject element resulting in the Category A assignment is appropriately mitigated from the subproject and/or replaced with an element that presents a less significant environmental risk (Category B or C). The IA shall include the completed Environmental Screening Table in the Project File.

4. Social

13. **Involuntary Resettlement.** Potential subprojects may need to acquire land or impact on trees and crops in order to undertake the investments, or may already be located on land owned by local residents (non-government owned).

14. Existing leases of airport lands will not trigger the World Bank's Involuntary Resettlement Policy OP 4.12 but due diligence will be required to ensure there are no landownership issues, that the leases have an appropriate rate (based on replacement value) and that the leases are in place for a sufficient amount of time into the future. However if there are any landownership issues, if new lands are required, if assets or access to assets (including crops and structures) may be impacted, or if livelihoods are impacted then OP 4.12 would be triggered.

15. If potential impacts are unknown prior to the detailed design of a project a Resettlement Planning Framework (RPF) must be prepared by the client. If exact impacts are known prior to detailed design, a Resettlement Action Plan (RAP) or Abbreviated Resettlement Plan (ARP) needs to be prepared.

16. **Indigenous Peoples.** Each project will need to assess whether there are indigenous people located in the project area. Under Operational Policy 4.10, Indigenous People is a term used to refer to a distinct, vulnerable, social and cultural

¹ The IA may determine that a “fact finding” field visit is necessary to complete the Environmental Screening Table.

group possessing the following characteristics in varying degrees: (i) self-identification as members of a distinct indigenous cultural group and recognition of this identity by others; (ii) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories; (iii) customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and, (iv) an indigenous language, often different from the official language of the country or region. If indigenous people are found to be in the project area, the World Bank's Indigenous People's policy OP 4.10 will apply. A social assessment proportional to the issues will be performed integrated with environmental assessment to determine any impacts on Indigenous Peoples or other vulnerable groups. If the indigenous people are homogeneous, are the majority, and the project is for their benefit, an Indigenous People's Plan will not normally be required, but particular care will be exercised in project planning that vulnerable persons or groups are identified, are fully informed and consulted, that the sensitivity of land-based livelihoods is reflected in any resettlement options considered, and that benefits of the project are equitably shared.

C. Typical Potential Issues

5. Environment

17. Generally, the type of civil works anticipated will involve renovation or maintenance of existing infrastructure, some construction of new or extended facilities on existing land, and equipment replacement/installation that will not involve any new construction. Therefore, many of the issues for the project components are similar.

18. For civil works and construction activities, the general issues are:

- Materials Supply (Gravel, Concrete, Asphalt, etc.)-environmental compliance of suppliers dust, and material spillage/loss during transport, delivery and storage
- Noise
- Dust
- Chance Find of Cultural Artifacts
- Management of Solid Wastes (Non-Hazardous)-collection, transport, and disposal of any debris
- Emissions from Construction Equipment
- Fuel and Oil Spills From Construction Vehicles
- Worker and Public Health and Safety
- Management of Oil and Fuel for Construction Equipment
- Traffic Management
- EU Standards for Key Equipment

19. For equipment replacement and installation, the chief issues are:

- Disposal of Packaging Wastes
- Worker Safety During Installation

20. For operation, the primary issues are:

- Solid waste management
- Wastewater management from airport cleaning and maintenance activities
- Noise from new equipment (pumps etc.)
- Management of fuel, oil, hazardous materials, etc.
- Emergency procedures in case of fuel, oil, hazardous materials spill

21. For the export of waste to other countries for reuse, recycling and / or disposal the issues are:

- Transport methods to avoid littering during transit
- Compliance with applicable transit / recipient country law and regulation
- The use of licensed or permitted landfills for waste disposal
- The use of licensed or permitted facilities for the handling / recycling or disposal of hazardous waste
- To reuse and recycle waste as a priority, followed by disposal.
- Benefits of reducing waste generation / disposal on small island states (reduced air, land and water pollution, reduced potential health and safety impacts from exposure to waste, reduced demand for land, reduced vermin / pest problems).
- Compliance with international conventions on the trans-boundary movement of hazardous substances and waste.
- The environmental issues associated with waste reuse, recycling and disposal at the destination territory / island / country (noise, odour, leachate, pests, use of land).

6. Social

22. The main potential social issues are:

- Land acquisition may be necessary in order to install airport infrastructure. Structures, such as vendor stalls, trees or crops, may need to be moved or removed in order to build airport infrastructure or in order to bring the airport to ICAO² standards. Fences may need to be erected to protect the airport grounds, and they could block access to people's lands or assets (including crops) or vendor stalls may need to be moved to be outside or inside the fence (which could reduce the customer base of the vendor). Airport lands may also belong to individual landowners (non-government) and their lands may already be leased or need to be acquired.
- If indigenous peoples in the sense of a distinct vulnerable social and cultural group are found to be in the project area then the project must ensure people are well informed of the project, are supportive of the project, and can benefit from it. This is the case whether or not the project will have positive or negative impacts on the indigenous peoples. Negative impacts

² International Civil Aviation Organisation

would be mitigated through the project to result in their situation being at least as good as, or better than before it. The project will need to ensure that free, prior and informed consultations leading to broad community support take place, and that appropriate mechanisms are in place to ensure that the project design is sensitive to community needs and can incorporate people's feedback into project design.

- There could be minor temporary impacts during construction activities including dust, noise and increased vehicle traffic, and lighting during nighttime hours.
- For any export of waste:
 - a. there may be economic benefits and / or negative impacts on small businesses and individuals working in the waste sector. This could require some action to avoid adverse impacts, or to restore livelihoods under the applicable resettlement instrument.
 - b. There are health, safety and wellbeing benefits to reducing waste disposal on small island states (reduced exposure to waste and leachate, reduced demand on land for waste disposal, reduced pests and disease vectors).
 - c. There may be social impacts and economic impacts with the reuse, recycling and disposal of wastes in the receiving island / territory / country such as noise, odour, leachate, and visual impacts.

D. Documentation

7. Environment

23. Preparation of environmental documentation is the technical and financial responsibility of the CAA participating in the project. For Category B projects an Environmental Management Plan (EMP) will satisfy this documentation requirement. The format for a simple EMP is presented in [Annex B.1, but the requirements will depend on the nature and scale of impacts for each project](#). The documentation must also meet in-country environmental legislation, and be harmonized into one document whenever possible for efficiency

24. For projects involving the export of waste, the EMP must include impact assessment of reducing waste in the source country and the waste processing and disposal impacts at the destination country / territory / island. The EMP must clearly state how the export of waste will comply with transit and recipient country law and international conventions on the trans-boundary movement of hazardous materials and waste.

8. Social

25. **Resettlement and Land Acquisition.** If a subproject involves involuntary resettlement or land acquisition, the CAA is required to prepare a Resettlement Action Plan (RAP) or Abbreviated Resettlement Plan (ARP), as per World Bank Policy OP 4.12. If impacts are not known prior to the start of the project, then a Resettlement Policy Framework must be prepared, and once impacts are known a RAP or ARP must be prepared. The format for a RAP and ARP is presented in [Annex B.2](#).

26. **Indigenous People.** If Indigenous Peoples (as defined in World Bank Policy OP 4.10 on Indigenous Peoples) are found to be in the project area, and are distinct and vulnerable group compared with the cultural and social majority, the country aviation authority must prepare an Indigenous Peoples Protection Plan (IPP). The format for an IPP is presented in [Annex B.3](#). In addition, as noted above, free, prior and informed consultations leading to broad community support must take place.

E. Public Consultation

27. The CAA/Implementing Agency is responsible for conducting consultations to disclose and discuss the project including all relevant safeguard documents. Local people potentially impacted by the project – as well as others with an interest in the project, including NGOs and relevant government agencies – are to be consulted before and during project preparation and implementation to inform the public of the project. This ensures that potential impacts are identified together with potentially affected stakeholders. During project implementation consultations will need to take place with affected people to ensure they are properly compensated for impacts experienced.

28. While country-specific regulations may require public consultation in the preparation of project Feasibility Studies, World Bank policies require that consultations are conducted during preparation of all safeguard instruments.

29. If the World Bank's Involuntary Resettlement Policy is triggered, consultations to disclose the RPF/RAP/ARP will be needed and ongoing consultations with affected people will also be necessary to ensure they can have inputs regarding their compensation entitlements. If the World Bank's Indigenous People's Policy (OP 4.10) is triggered, free, prior and informed consultations leading to broad community support should take place and ongoing consultations with these communities should be a feature of the project. Consultations should be well documented (include who attended, information presented, concerns raised, answers to concerns, etc.) and attached to project documentation.

30. Once consultations have been completed, the IA and the World Bank shall review the documentation provided by the CAA to determine if the information contained is consistent with the country and World Bank public consultation documentation requirements as presented in [Annex B.1](#). If the IA and the World Bank is satisfied that the public consultation is consistent with country and World Bank requirements, further consultation is needed only if there is a material change to the project and its impacts, and in the interests of good corporate citizenship to inform the public whom the project aims to serve.

F. Disclosure

31. The CAA is normally required to disclose all environment and/or social safeguard documents (e.g. EMP, RPF, RAP, etc.) locally in the local language. For minor impact

projects, it may be acceptable to inform the public about the project and the safeguards provisions in a Public Information Bulletin in local language via press, TV and radio, on condition that the complete documents are available on request in English, and provisions are fully discussed in community consultations. The mode of disclosure is to be determined in consultation with the Safeguards Secretariat prior to project appraisal by the World Bank and the partner Government. The documents should be placed at a location with normal public access (e.g. the airport, public library etc.) at or near the airport and on the CAA / parent ministry / Implementing Agency website.

32. In addition, the CAA shall provide the IA an English language version of any environment and/or social safeguard documents with a cover letter indicating the date and location the environment and/or social safeguard documents were disclosed locally, as well as giving permission for them to be disclosed by the World Bank. The IA shall forward a copy of the English language documents to the World Bank office for disclosure in the World Bank's InfoShop.

G. Review and Approval

33. The IA is responsible for final review and approval of any environment and/or social safeguard documents prepared, to ensure compliance with World Bank policies. If a country EIA document had been prepared for the subproject, the IA shall check to ensure the EMP is consistent with the country's EA documentation. In addition, the IA shall ensure any significant issues raised at any public consultation are also reflected in the respective safeguard documents. The IA will liaise with the World Bank for ensuring that they are consistent with World Bank safeguard policies.

H. Conditionality and Contractual Obligations

34. Each country's grant agreement contains a commitment to ensure that the recipient shall comply with all requirements set forth in the EMP and social safeguard documents. The IA shall ensure that the EMP and relevant social safeguard clauses are included in any bidding or contract documents prepared under the project.

IV. Implementation

A. Monitoring and Reporting

35. The project's design and supervision consultant shall have the responsibility for monitoring compliance of the project's activities with the environmental and social obligations specified in the grant agreements.

36. The IA will monitor the design and supervision consultant's reports to ensure safeguards compliance, undertaking field visits or further investigations as necessary. The World Bank will also conduct its own monitoring to ensure the project is compliant with its environment and social safeguards.

37. All supervision reports shall include sections on environment and social safeguard compliance. The contents of these sections shall verify that the requirements as detailed in the grant agreement have been satisfied. If requirements have not been satisfied, the IA in consultation with the design and supervision consultant shall provide recommendations for further actions to ensure compliance.

38. The IA progress reports to the World Bank shall also include a section on environment and social safeguards. In this section, the IA shall summarize overall environmental compliance, and social compliance, by subproject portfolio and investment activity.

V. Capacity Assessment

39. Over the course of the project the IA shall assess the institutional capacity of the CAA and the institutional arrangements to determine if they are realistic and appropriate (see [Annex B.1](#), "INSTITUTIONAL ARRANGEMENTS" and "INSTITUTIONAL STRENGTHENING"). If these aspects are not acceptable, the IA shall ensure the subproject design includes any necessary resources to address the institutional strengthening aspects described in the EMP.

ANNEX A: Screening

Environmental Screening Table

Criteria	NA	Yes	No	Comments
Will the subproject likely have significant impacts to the human or natural environment that extend well beyond the airport boundaries, and are long-lasting?				If YES, assign Category A
Will the project involve construction or widening of roads				If YES, assign Category A unless otherwise agreed with the World Bank
Will the subproject likely have negative impacts to the human or natural environment that are modest, confined to a small region and are temporary or short-lived and these impacts are easy and inexpensive to control?				If YES, assign Category B
Will the subproject likely have no minor or no negative impacts to the human or natural environment?				If YES, assign Category C
Do subproject documents clearly state no new terminal or airstrips will be constructed?				If YES, assign Category B
Does the subproject specify there will be no use of any hazardous materials like asbestos?				If YES, assign Category B
Will the subproject affect any protected areas, known natural habitats, or established or proposed critical habitats				If YES, assign Category A
Will the subproject affect forests?				If YES, assign Category A
Is the subproject likely to have any adverse impacts on sites/structures with archeological, paleontological, historical, religious significance or unique natural value?				If YES, assign Category A
Will the subproject include the export of waste to another territory / island / country?				If YES, assign Category B, include in the EMP the impacts that may occur in-country and in the country / territory / island location that will transit/accept the waste.
Will the subproject include the export of waste to another territory / island / country which will NOT comply with international conventions on the trans-boundary movement of hazardous materials and waste?				If YES, the subproject cannot proceed.

ANNEX B.1: Environmental Management Plan (EMP) Simplified Format

PROJECT DESCRIPTION

40. A brief description of the subproject: the nature of the investment, the location, and any characteristics of the area that are of particular interest, e.g. near a protected area, area of cultural, historical, religious interest etc. Also, include a very brief description of the general land use characteristics (farming, small industry etc.), and the location(s) of the nearest population centers.

I. MITIGATION PLAN

Issue	Mitigating Measure	Responsibility	Cost	Start Date	End Date
General Civil Works, Construction and Equipment Replacement					
Export of Waste (if necessary)					
Operations					

II. MONITORING PLAN

Issue	What <i>parameter is to be monitored</i>	Where <i>is the parameter to be monitored</i>	How <i>is the parameter to be monitored/ type of monitoring equipment</i>	When <i>is the parameter to be monitored- frequency of measurement or continuous</i>	Responsibility	Cost
General Civil Works, Construction and Equipment Replacement						
Export of Waste (if necessary)						
Operations						

III. INSTITUTIONAL ARRANGEMENTS

41. A short narrative discussion supported by organizational charts detailing how all the monitoring data is going to be used to maintain sound environmental performance: who collects the data, who analyzes it, who prepares reports, who are the reports sent to and how often, and who does that person send it to, or what does he/she do with the information—who has the authority to spend, shutdown, change operations etc. This information can be presented by completing the “Institutional Responsibility” column in the following table. Include export of waste in the table if relevant.

Action	Institutional Responsibility
<i>Monitoring Data Collection</i> Construction	Construction (from “Monitoring Plan”)
Operation	Operation (from “Monitoring Plan”)
<i>Data Analysis</i> Construction	Construction
Operation	Operation
<i>Environmental Report Preparation</i> Construction	Construction
Operation	Operation
<i>Environmental Report Receipt/Frequency (Who receives report/how often)</i> Construction	
Operation	
<i>Management Action</i> Construction	Construction
Operation	Operation

IV. INSTITUTIONAL STRENGTHENING

A. Equipment Purchases (Tabular Presentation Preferred)

- Type of equipment
- Number of Units
- Unit cost
- Total Cost
- Local or International Purchase
- Calibration requirements
- Maintenance budget to finance ongoing maintenance and upkeep, including training of staff, calibration of equipment etc.

B. Training/Study Tours

- Type of Training (Mitigation, Monitoring, Environmental Management, Other) including consideration for ongoing retention of knowledge when trained staff leave the organisation
- Number of Students
- Current and Future Organizational Unit in Which They Work or Current and Future Title/Job Description
- Duration of Training
- Start Date/End Date (for each student)
- Venue of Training (Domestic or Abroad)
- Institute or Organization to Provide Training
- Cost (Local and Foreign)

C. Consultant Services

- Type of Service
- Terms of Reference
- Justification
- Cost

V. CONSULTATION WITH LOCAL NGOs AND PROJECT-AFFECTED GROUPS

A. Provide documentation of the following:

- Manner in which notification of the consultation was announced: media(s) used, date(s), description or copy of the announcement
- Date(s) consultation(s) was (were) held
- Location(s) consultation(s) was (were) held
- Who was invited
- Measures taken to ensure participation of vulnerable groups/women
- Materials presented at consultations, e.g. information bulletins, maps, plans, photographs
- Name, Organization or Occupation, Telephone/Fax/e-mail number/address (home and/or office)
- Who attended
- Name, Organization or Occupation, Telephone/Fax/e-mail number/address (home and/or office)
- Meeting Program/Schedule
- What is to be presented and by whom
- Summary Meeting Minutes (Comments, Questions and Response by Presenters)
- List of decisions reached, and any actions agreed upon with schedules and deadlines and responsibilities.
- How the project plan/other documentation was amended to take into account the issues raised during the consultation.

ANNEX B.2: Resettlement Plan Formats

I. Abbreviated Resettlement Action Plan (ARAP) Annotated Table of Contents

Introduction

- Project (one paragraph); refer to the RPF that covers the project and provides the policies and principles for the ARAP.
- Brief description of the sub-project development objectives and intended beneficiaries (copy from the Appraisal Stage ISDS or latest disclosed project appraisal document)
- Describe the activities that will give rise to impacts that require 'resettlement' (i.e. anything that causes loss of land, assets or elements of an individual's livelihood – not only physical relocation, but e.g. loss of trees, temporary relocation of roadside stall, compromised access).

1. Census of Affected Persons and Inventory of Assets

- Brief description of how the data was gathered, e.g. household survey
- Table of affected households/persons, contact details, affected livelihoods assets, value of affected dwelling/structures/assets
- Comment on how valuations were derived (e.g. Valuer-General official valuations based on market prices at a given date)
- Brief comment about any significant differences sources of vulnerability of APs (ethnicity, single parent or female headed household, new baby, aged household members, sickness, disability, severe poverty if applicable), or state that they are representative of the general socioeconomic profile of the country if so.

2. Compensation to be provided

- Forms of compensation to be provided (e.g. replacement of the lost good, or monetary compensation; any other form of compensation e.g. employment at the project site)
- Description of the conditions for voluntary donation if applicable, (e.g. an easement for road drainage could be voluntarily given by the landowner); if not applicable, omit this section:
 - Informed un-coerced consent, and ability to withhold consent
 - No severe impacts on living standards - no physical relocation, less than 20% of any individual's livelihood assets affected
 - Availability of a complaints and compensation procedure
 - Documentation and independent verification of the donation of land or assets; annex pro forma documents.

3. Consultation with Affected Persons

- Brief description of the general public communications to announce the project and invite comment
- Subsequent consultations with known or self-identified APs:
 - Alternatives discussed with APs and the community
 - Communication of information about the cut-off date for registering as an AP; availability of a complaints / grievance mechanism (details of this under Section 4)
- Arrangements for formal disclosure of Resettlement instrument; availability for public view/comment, and on the WB website.

4. Institutional Responsibilities for Delivery of Compensation

- Responsible agency
- Method of notification to APs
- Timing of settlement (before the incidence of the loss to be compensated)
- Method of verification, disclosure and witnessing of the settlement (annex form for recording and witnessing handover of entitlement)
- Process for handling complaints or grievances, appeals.

5. Implementation Reporting and Monitoring

- Institutional responsibilities for reporting and monitoring of the ARAP
- Independent participation in monitoring e.g. at their option, village kaupule, interested NGOs
- Summary report on consultation with the wider community (append attendance register)
- Summary report on consultation with Affected Persons (append attendance register).

6. Timetable and budget

- Time and task matrix
- Source and flow of funds:
 - Consultation costs
 - Personnel costs
 - Office overhead expenses
 - Compensation funds
 - Monitoring and reporting costs.

II. Resettlement Action Plan (RAP) Format

1. Resettlement Plan

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

3. *Description of the project.* General description of the project and identification of the project area.

4. *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.

5. *Objectives.* The main objectives of the resettlement program.

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

(a) the results of a census survey covering

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

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

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

(iv) information on vulnerable groups or persons as provided for in [OP 4.12, para. 8](#), for whom special provisions may have to be made; and

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

(b) Other studies describing the following

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

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

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

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

7. *Legal framework.* The findings of an analysis of the legal framework, covering

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

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

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

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

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

(f) any legal steps necessary to ensure the effective implementation of resettlement activities under the project, including, as appropriate, a process for recognizing claims to legal rights to land—including claims that derive from customary law and traditional usage (see [OP 4.12, para.15 b](#)).

8. *Institutional Framework*. The findings of an analysis of the institutional framework covering

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

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

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

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

10. *Valuation of and compensation for losses*. The methodology to be used in valuing losses to determine their replacement cost; and a description of the proposed types and levels of compensation under local law and such supplementary measures as are necessary to achieve replacement cost for lost assets.¹

11. *Resettlement measures*. A description of the packages of compensation and other resettlement measures that will assist each category of eligible displaced persons to achieve the objectives of the policy (see [OP 4.12, para. 6](#)). In addition to being technically and economically feasible, the resettlement packages should be compatible with the cultural preferences of the displaced persons, and prepared in consultation with them.

12. *Site selection, site preparation, and relocation*. Alternative relocation sites considered and explanation of those selected, covering

(a) institutional and technical arrangements for identifying and preparing relocation sites, whether rural or urban, for which a combination of productive potential, locational advantages, and other factors is at least comparable to the advantages of the old sites, with an estimate of the time needed to acquire and transfer land and ancillary resources;

(b) any measures necessary to prevent land speculation or influx of ineligible persons at the selected sites;

(c) procedures for physical relocation under the project, including timetables for site preparation and transfer; and

(d) legal arrangements for regularizing tenure and transferring titles to resettlers.

13. *Housing, infrastructure, and social services.* Plans to provide (or to finance resettlers' provision of) housing, infrastructure (e.g., water supply, feeder roads), and social services (e.g., schools, health services);²plans to ensure comparable services to host populations; any necessary site development, engineering, and architectural designs for these facilities.

14. *Environmental protection and management.* A description of the boundaries of the relocation area; and an assessment of the environmental impacts of the proposed resettlement³and measures to mitigate and manage these impacts (coordinated as appropriate with the environmental assessment of the main investment requiring the resettlement).

15. *Community participation.* Involvement of resettlers and host communities,⁴

(a) a description of the strategy for consultation with and participation of resettlers and hosts in the design and implementation of the resettlement activities;

(b) a summary of the views expressed and how these views were taken into account in preparing the resettlement plan;

(c) a review of the resettlement alternatives presented and the choices made by displaced persons regarding options available to them, including choices related to forms of compensation and resettlement assistance, to relocating as individuals families or as parts of preexisting communities or kinship groups, to sustaining existing patterns of group organization, and to retaining access to cultural property (e.g. places of worship, pilgrimage centers, cemeteries);⁵and

(d) institutionalized arrangements by which displaced people can communicate their concerns to project authorities throughout planning and implementation, and measures to ensure that such vulnerable groups as indigenous people, ethnic minorities, the landless, and women are adequately represented.

16. *Integration with host populations.* Measures to mitigate the impact of resettlement on any host communities, including

(a) consultations with host communities and local governments;

(b) arrangements for prompt tendering of any payment due the hosts for land or other assets provided to resettlers;

(c) arrangements for addressing any conflict that may arise between resettlers and host communities; and

(d) any measures necessary to augment services (e.g., education, water, health, and production services) in host communities to make them at least comparable to services available to resettlers.

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

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

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

20. *Costs and budget.* Tables showing itemized cost estimates for all resettlement activities, including allowances for inflation, population growth, and other contingencies; timetables for expenditures; sources of funds; and arrangements for timely flow of funds, and funding for resettlement, if any, in areas outside the jurisdiction of the implementing agencies.⁶

21. *Monitoring and evaluation.* Arrangements for monitoring of resettlement activities by the implementing agency, supplemented by independent monitors as considered appropriate by the Bank, to ensure complete and objective information; performance monitoring indicators to measure inputs, outputs, and outcomes for resettlement activities; involvement of the displaced persons in the monitoring process; evaluation of the impact of resettlement for a reasonable period after all resettlement and related development activities have been completed; using the results of resettlement monitoring to guide subsequent implementation.

III. Resettlement Policy Framework (RPF) Format

42. The resettlement policy framework covers the following elements, consistent with the provisions described in OP 4.12, paragraphs 2 and 4:

- a brief description of the project and components for which land acquisition and resettlement are required, and an explanation of why a resettlement plan as described in paragraphs 2-21 or an abbreviated plan as described in paragraphs 22 cannot be prepared by project appraisal;
- principles and objectives governing resettlement preparation and implementation;
- a description of the process for preparing and approving resettlement plans;
- estimated population displacement and likely categories of displaced persons, to the extent feasible;
- eligibility criteria for defining various categories of displaced persons;
- a legal framework reviewing the fit between borrower laws and regulations and Bank policy requirements and measures proposed to bridge any gaps between them;
- methods of valuing affected assets;
- organizational procedures for delivery of entitlements, including, for projects involving private sector intermediaries, the responsibilities of the financial intermediary, the government, and the private developer;
- a description of the implementation process, linking resettlement implementation to civil works;
- a description of grievance redress mechanisms;
- a description of the arrangements for funding resettlement, including the preparation and review of cost estimates, the flow of funds, and contingency arrangements;
- a description of mechanisms for consultations with, and participation of, displaced persons in planning, implementation, and monitoring; and,
- arrangements for monitoring by the implementing agency and, if required, by independent monitors.

ANNEX B.3: Indigenous Peoples Protection Plan (IPP) Format – including Social Assessment

I. SOCIAL ASSESSMENT

43. The breadth, depth, and type of analysis required for the social assessment are proportional to the nature and scale of the proposed project's potential effects on the Indigenous Peoples. Likely impacts will be identified early in project preparation, and incorporated in project design.

44. The social assessment includes the following elements, as needed:

- A review, on a scale appropriate to the project, of the legal and institutional framework applicable to Indigenous Peoples.
- Gathering of baseline information on the demographic, social, cultural, and political characteristics of the affected Indigenous Peoples' communities, the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend.
- Taking the review and baseline information into account, the identification of key project stakeholders and the elaboration of a culturally appropriate process for consulting with the Indigenous Peoples at each stage of project preparation and implementation (see paragraph 9 of this policy).
- An assessment, based on free, prior, and informed consultation, with the affected Indigenous Peoples' communities, of the potential adverse and positive effects of the project. Critical to the determination of potential adverse impacts is an analysis of the relative vulnerability of, and risks to, the affected Indigenous Peoples' communities given their distinct circumstances and close ties to land and natural resources, as well as their lack of access to opportunities relative to other social groups in the communities, regions, or national societies in which they live.
- The identification and evaluation, based on free, prior, and informed consultation with the affected Indigenous Peoples' communities, of measures necessary to avoid adverse effects, or if such measures are not feasible, the identification of measures to minimize, mitigate, or compensate for such effects, and to ensure that the Indigenous Peoples receive culturally appropriate benefits under the project.

45. The Indigenous Peoples Plan (IPP) is prepared in a flexible and pragmatic manner, and its level of detail varies depending on the specific project and the nature of effects to be addressed.

II. INDIGENOUS PEOPLE'S PLAN

46. As the Indigenous Peoples are homogeneous majorities in the PAIP partner countries, and the projects are for their benefit, potential vulnerabilities will be identified and addressed through social assessment early in project planning. Should distinct vulnerable social and cultural groups who are marginalized from mainstream society be encountered, an IPP would be prepared for their protection. The IPP includes the following elements, as needed:

- A summary of the information referred to in the Social Assessment, paragraph (a) and (b).
- A summary of the social assessment.
- A summary of results of the free, prior, and informed consultation with the affected Indigenous Peoples' communities that was carried out during project preparation (Annex A) and that led to broad community support for the project.
- A framework for ensuring free, prior, and informed consultation with the affected Indigenous Peoples' communities during project implementation (see paragraph 10 of this policy).
- An action plan of measures to ensure that the Indigenous Peoples receive social and economic benefits that are culturally appropriate, including, if necessary, measures to enhance the capacity of the project implementing agencies.
- When potential adverse effects on Indigenous Peoples are identified, an appropriate action plan of measures to avoid, minimize, mitigate, or compensate for these adverse effects.
- The cost estimates and financing plan for the IPP.
- Accessible procedures appropriate to the project to address grievances by the affected Indigenous Peoples' communities arising from project implementation. When designing the grievance procedures, the borrower takes into account the availability of judicial recourse and customary dispute settlement mechanisms among the Indigenous Peoples.
- Mechanisms and benchmarks appropriate to the project for monitoring, evaluating, and reporting on the implementation of the IPP. The monitoring and evaluation mechanisms should include arrangements for the free, prior, and informed consultation with the affected Indigenous Peoples' communities.

ANNEX C: Environmental Screening Categories

47. A summary of the environmental screening categories for World Bank (WB) financed projects is provided below. PAIP as a program is categorized as an overall Category B program, but may contain elements of Category A depending on specific investments:

48. The following is reproduced from the WB OP4.01 available on the WB website: www.worldbank.org:

8. The Bank undertakes environmental screening of each proposed project to determine the appropriate extent and type of EA. The Bank classifies the proposed project into one of four categories, depending on the type, location, sensitivity, and scale of the project and the nature and magnitude of its potential environmental impacts.

(a) *Category A*: A proposed project is classified as Category A if it is likely to have significant adverse environmental impacts that are sensitive,¹² diverse, or unprecedented. These impacts may affect an area broader than the sites or facilities subject to physical works. EA for a Category A project examines the project's potential negative and positive environmental impacts, compares them with those of feasible alternatives (including the "without project" situation), and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental performance. For a Category A project, the borrower is responsible for preparing a report, normally an EIA (or a suitably comprehensive regional or sectoral EA) that includes, as necessary, elements of the other instruments referred to in para. 7.

(b) *Category B*: A proposed project is classified as Category B if its potential adverse environmental impacts on human populations or environmentally important areas--including wetlands, forests, grasslands, and other natural habitats--are less adverse than those of Category A projects. These impacts are site-specific; few if any of them are irreversible; and in most cases mitigatory measures can be designed more readily than for Category A projects. The scope of EA for a Category B project may vary from project to project, but it is narrower than that of Category A EA. Like Category A EA, it examines the project's potential negative and positive environmental impacts and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental performance. The findings and results of Category B EA are described in the project documentation (Project Appraisal Document and Project Information Document).¹³

(c) *Category C*: A proposed project is classified as Category C if it is likely to have minimal or no adverse environmental impacts. Beyond screening, no further EA action is required for a Category C project.

(d) *Category FI*: A proposed project is classified as Category FI if it involves investment of Bank funds through a financial intermediary, in subprojects that may result in adverse environmental impacts.

- ¹² A potential impact is considered "sensitive" if it may be irreversible (e.g., lead to loss of a major natural habitat) or raise issues covered by [OP 4.04, Natural Habitats](#); [OP/BP 4.10, Indigenous Peoples](#); [OP/BP 4.11, Physical Cultural Resources](#) or [OP 4.12, Involuntary Resettlement](#).
- ¹³ When the screening process determines, or national legislation requires, that any of the environmental issues identified warrant special attention, the findings and results of Category B EA may be set out in a separate report. Depending on the type of project and the nature and magnitude of the impacts, this report may include, for example, a limited environmental impact assessment, an environmental mitigation or management plan, an environmental audit, or a hazard assessment. For Category B projects that are not in environmentally sensitive areas and that present well-defined and well-understood issues of narrow scope, the Bank may accept alternative approaches for meeting EA requirements: for example, environmentally sound design criteria, siting criteria, or pollution standards for small-scale industrial plants or rural works; environmentally sound siting criteria, construction standards, or inspection procedures for housing projects; or environmentally sound operating procedures for road rehabilitation projects.