



ENVIRONMENTAL & SOCIAL POLICY

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Responsible Officer: Chief Investments Officer (CIO)

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ABBREVIATIONS AND ACRONYMS

DBZ	Development Bank of Zambia
DFI	Development Finance Institution
EIA	Environmental Impact Assessment
ESIA	Environmental & Social Impact Assessment
ESMP	Environmental and Social Management Plan
ESMS	Environmental & Social Management System
ESS	Environmental & Social Safeguards
FI	Financial Intermediary
GRM	Grievance Redress Mechanism
IFC	International Finance Corporation
ILO	International Labour Organization
OHS	Occupational Health and Safety
OHSI	Occupational Health and Safety Institute
PPE	Personal Protective Assessment
SIA	Social Impact Assessment
TOR	Terms of Reference
ZEMA	Zambia Environmental Management Agency

DEFINITIONS

The following definitions shall apply in this policy:

- a) **Bank:** The Development Bank of Zambia
- b) **Due diligence:** in the context of environmental and social management system, means the process of investigating potential investments to confirm all facts, such as reviewing environmental and social safeguards, audits, assessments, and compliance before consideration of funding or entering into an agreement with another.
- c) **Environmental and Social Assessment:** the assessment of environmental and social risks, impacts and opportunities. This type of assessments may include specific impacts assessment, audits, and due diligence studies, among others.;
- d) **Environmental and social impact assessment (ESIA):** refers to a process or tool based on an integrated assessment where the scale and type of potential biophysical and social, risks and impacts of projects, programs and/or policy initiatives, are predicted, acknowledged and evaluated. It also involves evaluating alternatives and designing appropriate mitigation, management and monitoring measures to manage the predicted potential impacts.
- e) **Environmental and social impacts:** refer to any change, potential or actual, to (i) the physical, natural, or cultural environment, and (ii) impacts on surrounding community and workers, resulting from the activities to be supported.
- f) **Environmental and social risk:** is a combination of the probability of certain hazard occurrences and the severity of impacts resulting from such an occurrence;
- g) **Environmental and social management system (ESMS):** refers to a set of management processes and procedures that allow an organization to identify, analyse, control and reduce the environmental and social impacts of its activities in a consistent way and to improve performance in this regard over time.
- h) **Environmental and social management plan (ESMP):** refers to a document that contains a list and description of measures that have been identified for avoiding adverse environmental and social impacts or minimising them to acceptable levels, or to mitigate and compensate them and usually the main output of the ESIA process.
- i) **Environmental and social safeguards (ESS):** refers to a set of standards that specifies the desired outcomes and the specific requirements to achieve these outcomes through means that are appropriate to the nature and scale of the activity and commensurate with the level of environmental and social risks and/or impacts.

- j) Indigenous People:** Indigenous people are those that live in separated communities or cultural or ethnic groupings geographically distant from urban centres and often function at the periphery of political, social and economic systems of the dominant mainstream society which makes them vulnerable to being disadvantaged in the processes of development.
- k) Mitigants:** A means of easing, lessening or assuaging effects of Environmental and Social factors
- l) Project Brief:** This is a report to be made by the developer/project sponsor. It shall include preliminary predictions of possible impacts of a proposed project on the environment as a first stage in the environment impact assessment process.
- m) Project Sponsor:** This is a role in project management, usually the senior member of the project board and often the chair. Project sponsors encourage separation of decision-making responsibilities between project manager and project sponsor, accountability for the realisation of project benefits, oversight of the project management function and carry out senior stakeholder management.
- n) Social Capital:** Refers to the collective value of all networks, who people know and the inclinations that arise from these networks to do things for each other

PREAMBLE

The Development Bank of Zambia (DBZ/the Bank) is committed to supporting the Government's development agenda by making available long, medium and short-term finance and equity investments to entities in both the private and public sectors. The Bank further recognizes that human well-being in the country depends on the quality of the environment and the sustainable use of natural resources. Therefore, it strives to ensure that its operations have no unintended adverse direct or indirect environmental or social impact on communities that it serves.

This policy outlines the Bank's Environmental and Social management guidelines that may assist clients manage project environmental and social risks and impacts and enhance project environmental and social performance.

This policy will be driven by a range of factors with a focus on sustainable development, which recognizes and accepts that the ecological capital must be protected, and the impoverishment rates of the poor are diminished.

The economic benefits of the developmental projects often translate into far reaching consequences affecting not just the ecosystem but the occupational safety and the surrounding communities as well. This is what sustainable development entails and it is now widely recognized as the preferred development paradigm. The policy therefore stresses the anticipatory nature of sustainable development rather than the reactive responses so predominant in development related decisions.

1. INTRODUCTION

The Development Bank of Zambia (DBZ) (herein referred to as “the Bank”) was established in 1972, through an Act of Parliament (*Development Bank of Zambia Act CAP 363 of the Laws of Zambia*), to play a significant role in the country’s financial and economic development agenda.

As the sole Development Finance Institution (DFI) in the country, its mandate goes beyond profitability and extends to the country’s social-economic goals. In its quest to fulfill its mandate and mission, the Bank seeks to achieve, among others, environmentally and socially sustainable development outcomes.

This E&S policy, therefore, articulates how the Bank integrates environmental and social considerations into its decision making and operations to effectively manage environmental and social risks and impacts and improve outcomes.

2. OBJECTIVES & SCOPE

2.1 Policy Objectives

This policy presents the commitments of the Bank and articulates the principles and standards to which it holds itself accountable.

The main objectives of the policy and guidelines are as follows:

- i) To manage and ensure that all Bank financed operations and activities are environmentally and socially viable; and
- ii) To improve and promote corporate environmental and social responsibility within the Bank.
- iii) To improve and promote corporate environmental and social responsibility for its borrowers and partners.

The Bank will undertake E&S assessment of all applications for a facility. The E&S assessment process will start from the time a potential project for financing is identified and it will cover all project components and stages beyond the project. The applicant will be responsible for undertaking the E&S assessment exercise in accordance with the Bank policy and National Regulations.

2.2 Scope of application

The policy will apply to all DBZ financed or co-financed programmes and projects. The financial instruments may vary and may include, loans, equity investments, managed funds, guarantees and grants.

At the activity level, the policy establishes the requirements for environmental and social risk assessment and management to be aligned to the relevant Environmental and Social Safeguards¹ (ESS) ensuring that due diligence is undertaken for all DBZ financed or co-financed activities directly or indirectly through financial intermediaries.

3. GUIDING PRINCIPLES

The following principles shall guide how the Bank will implement the Environmental and Social Management System (ESMS) and achieve the objectives of this policy:

- i) *Integration of environmental and social sustainability.* Sustainable development underpins the country's development agenda, through its National Development Plans, hence is a key consideration in the policies and governance frameworks of the Bank. The policy provides an opportunity to incorporate environmental and social considerations that improve environmental and social outcomes and generate co-benefits to the environment and the communities that depend on it.
- ii) *Systematic assessment of impacts and risks* –The Bank is committed to ensuring that its operations comply with the relevant ESS by assessing environmental, climate change and social risks and impacts as early as possible in the project cycle as well as day to day bank operations, and providing effective audit, monitoring and supervision of agreed environmental and social management measures during implementation.
- iii) *Continuous improvement and best practices.* The ESMS will be continuously be reviewed and updated. It will also be consistently aligned with international best practices and applicable standards, reflecting the experiences and lessons learned by other DFIs. This review will include stakeholder consultation and will be supplemented by annual and operational reviews and reporting, which may lead to improvements in the ESMS, as required.
- iv) *Gender-sensitive approach.* The Bank will contribute to gender equality and inclusiveness by ensuring that the methods and tools to promote gender equality and reduce gender disparities are established and implemented.
- v) *Labour and working conditions.* All activities financed by the Bank will promote decent work, fair treatment, non-discrimination and equal opportunity for workers, guided by local and international labour laws and standards.
- vi) *The Bank's grievance and redress mechanism* – The grievance and redress system ensures that processes are responsive, treat claimants fairly, and operate effectively.

¹ The IFC Performance Standards: https://www.ifc.org/wps/wcm/connect/24e6bfc3-5de3-444d-be9b-226188c95454/PS_English_2012_Full-Documents.pdf?MOD=AJPERES&CVID=jkV-X6h

4. OPERATIONAL SAFEGUARDS

The Bank has adopted the *IFC Performance Standards*² as its Operational Safeguards:

Performance Standard 1:	Assessment and Management of Environmental and Social Risks and Impact
Performance Standard 2:	Labor and Working Conditions
Performance Standard 3:	Resource Efficiency and Pollution Prevention
Performance Standard 4:	Community Health, Safety, and Security
Performance Standard 5:	Land Acquisition and Involuntary Resettlement
Performance Standard 6:	Biodiversity Conservation and Sustainable Management of Living Natural Resources
Performance Standard 7:	Indigenous Peoples
Performance Standard 8:	Cultural Heritage

The Performance Standards should be read together and cross-referenced as needed. Where environmental or social risks and impacts are identified, the client is required to manage them through its Environmental and Social Management System (ESMS) consistent with Performance Standard 1. Performance Standards 2 through 8 establish objectives and requirements to avoid, minimize, and where residual impacts remain, to compensate/offset for risks and impacts to workers, Affected Communities, and the environment.

5. POLICY IMPLEMENTATION

5.1 Environmental and Social Due Diligence

DBZ's environmental and social due diligence is integrated into its overall due diligence of the project activities under consideration.

The purpose of the due diligence is to understand and evaluate how the environmental and social risks and impacts are screened, assessed and planned to be managed and mitigated by the client. It verifies the consistency of the assessments and proposed management with the ESS standards and this policy.

The bank's due diligence responsibilities will include, as appropriate:

- a) Reviewing the information provided by the Borrower relating to the environmental and social risks and impacts of the project

² The *Summary Performance Standards and Checklists* are Appended to this Policy

- b) Providing guidance to assist the Borrower in developing appropriate mitigation measures.

The bank, as part of its own due diligence process, will review clients' identification of third-party risks, and will determine whether such risks are manageable, and if so under what conditions, so as to create outcomes consistent with the Performance Standards. Certain risks may require them to refrain from supporting the proposed business activity.

DBZ's agreements pertaining to the financing of clients' activities include specific E&S provisions with which clients undertake to comply. These include complying with the applicable requirements of the Performance Standards and specific conditions included in action plans, as well as relevant provisions for environmental and social reporting, and supervision visits by bank staff or representatives, as appropriate. If the client fails to comply with its environmental and social commitments as expressed in the facility letter and associated documents, the bank may exercise its rights and remedies, as appropriate.

Investments Through Financial Intermediaries

As part of its wholesale lending activities, the Bank provides finance for on-lending to Financial Institutions (FIs) engaged in a diverse range of activities consisting largely of medium and small enterprise finance, microfinance, leasing, trade finance, guarantees, consumer finance, each with its own environmental and social risk profile.

The bank will require FIs to put in place and maintain an Environmental and Social Management System (ESMS) to identify, assess, manage, and monitor the environmental and social risks and impacts of FI subprojects on an ongoing basis. The ESMS will be commensurate with the level of environmental and social risks in its portfolio, and prospective business activities. The ESMS should incorporate relevant principles of *Performance Standard 1* and apply relevant aspects of *Performance Standard 2* to their workers. Where an FI is unwilling to put an ESMS in place, the application will not be considered.

5.2 Screening and Risk Categories

For the purpose of E&S assessment, projects will be classified under 3 categories. Category A and B will cover projects of environmental concern which will be subject to E&S Impact Assessment (ESIA) and will require the project sponsor to prepare a Project Brief and / or an Environmental Impact Statement. All other projects with no environmental concern will be classified as Category C projects.

A Project Brief is a report to be made by the developer/project sponsor to include preliminary predictions of possible impacts of a proposed project on the environment as a first stage in the environment impact assessment process. The project brief will then be submitted to the Zambia

Environmental Management Agency (ZEMA) for review. Where ZEMA determines that a project is likely to have a significant impact on the environment, an Environmental Impact Statement will be required to be prepared in accordance with the EIA Regulations and in line with financier's requirements.

All project categories will require an Occupational Health and Safety (OHS) assessment. The requirements and specifications of the report are given by the Occupational Health and Safety Institute (OHSI) the local regulatory body of Zambia.

The project categories³ are described as follows:

a) Category A – Projects requiring an Environmental Impacts Statement

A project is to be classified as Category A if it is likely to have significant adverse environmental and/or social risks and impacts that, individually or cumulatively, are diverse, irreversible, or unprecedented. An ESIA is required in accordance with ESIA Regulations. The ESIA for a Category A project examines the project's potential positive and negative impacts and recommends measures needed to prevent, minimize, mitigate, or compensate for adverse impacts.

The project sponsor is responsible for the preparation of an Environmental Impacts Statement in accordance with ZEMA approved Terms of Reference (TOR). The project sponsor will carry out the assessment and identify mitigation measures for adverse environmental impacts. A Consultant may be used for this purpose.

ZEMA will carry out its own independent assessment then compare alternatives on the basis of economic, socio-cultural, environmental gains and costs, ranks and recommends alternatives to the developer on the basis of sound environmental, economic and social analysis. The developer/project sponsor will then select the preferred alternative, giving reasons. ZEMA will base their approval on the above report.

ZEMA will also be responsible for carrying out a post implementation assessment environmental audit 12-36 months after commencement of the project. The audit will focus on the conditions attached to the authorization document and include conclusion regarding the extent to which the measures specified in the conditions have been implemented and if the measures are achieving the expected results and where deficiencies exist, measures to deal with them are added.

Nevertheless, the bank will review the ZEMA report and approved Terms of Reference to ensure that the project has been correctly categorized and that all environmental and social risks have been identified and appropriate mitigation measures added to the approved Terms of Reference. Additionally, the bank will ensure that the borrower's ESMP is implemented during monitoring visits.

b) Category B – Projects requiring a Project Brief

³ The *Project Category Types* are appended to this Policy

Projects falling under Category B will require the project sponsor or developer to prepare a project brief for review by ZEMA. This will be followed up by an Environmental Impact Assessment. These projects have potential limited adverse environmental and/or social risks and impacts that individually or cumulatively, are few, generally site-specific, largely reversible, and readily addressed through mitigation measures.

The project sponsor will be required to submit a detailed brief to ZEMA for review. If satisfied that the project will have no significant impact on the environment, or that the project brief discloses sufficient mitigation measures to ensure the acceptability of the anticipated impacts, ZEMA will give their approval, with conditions where appropriate.

If however, ZEMA finds that the project may cause significant impacts on the environment and that these have not been mitigated, or that all significant environmental issues have not been properly dealt with, it may request that additional information be provided or that an Environmental Impact Statement be submitted, or reject the project altogether.

c) Category C

A project is to be classified under Category C if it is likely to have essentially no adverse environmental and/or social risks and/or impacts. Beyond screening, no further Environmental Assessment action is required for a Category C project. Unlike Category A and B which include the environmental, occupational and social aspect, Category C projects will only have occupational and social aspects to be assessed.

E&S Categorization in Financial Institutions (FIs)

In screening activities involving investments in financial institutions (Fis), the screening considers the risks associated with the intended end user client. Categories of activities involving investments through financial intermediation functions or delivery mechanisms involving financial intermediation are divided into the following three levels of risk:

a) High level of intermediation, FI-1.

When an intermediary's existing or proposed portfolio includes, or is expected to include, substantial financial exposure to business activities with potential significant adverse environmental or social risks or impacts that, individually or cumulatively, are diverse, irreversible, or unprecedented.

b) Medium level of intermediation, FI-2

When an intermediary's existing or proposed portfolio includes, or is expected to include, substantial financial exposure to business activities with potential limited adverse environmental or social risks and impacts that are few, generally site-specific, largely reversible, and readily addressed through mitigation measures.

c) Low level of intermediation, FI-3.

When an intermediary's existing or proposed portfolio includes financial exposure to business activities that predominantly have minimal or negligible adverse environmental and social impacts.

5.3 Environmental and Social Management Plan (ESMP)

The Bank will agree on an ESMP with the Borrower. The ESMP will set out the material measures and actions required for the project to meet the ESSs over a specified timeframe. The ESMP will form part of the legal agreement. The legal agreement will include, as necessary, obligations of the Borrower to support the implementation of the ESMP.

The Bank will require the Borrower to implement the measures and actions identified in the ESMP diligently, in accordance with the timeframes specified in the ESMP, and to review the status of implementation of the ESMP as part of its monitoring and reporting.

5.4 Monitoring and Reporting

The Bank will monitor the environmental and social performance of the project in accordance with the requirements of the legal agreement, including the ESMP, and will review any revision of the ESMP including changes resulting from changes in the design of a project or project circumstances.

It will carry out the following actions to monitor its investments as part of its portfolio monitoring program:

- Implement a regular monitoring program for projects with environmental and social risks and/or impacts in accordance with the requirements of IFC's *Environmental and Social Review Procedures*.
- Review implementation performance, as reported in the client's Annual Monitoring Report and updates on the Environmental and Social Action Plan against the environmental and social conditions for investment and the client's commitments.
- Changes in the project circumstances resulting in altered or adverse environmental or social impacts will be addressed accordingly.
- If the client fails to comply with its environmental and social commitments, as expressed in the environmental and social conditions for investment, appropriate remedies will be taken.
- For investments in FIs, the bank may include visits to recipients of FI loans/investments, particularly subprojects in category A and B.

Where appropriate and as set out in the ESMP, the Bank will require the Borrower to engage stakeholders and third parties, such as independent experts, local communities or nongovernmental organizations (NGOs), to complement or verify project monitoring information. This ensures participatory monitoring through the involvement of communities, local stakeholders, indigenous peoples and civil society organizations in all the stages of the life cycle of the project's activities.

Where the Bank has identified and agreed with the Borrower and, as relevant, other agencies, on corrective or preventive measures and actions, all material measures and actions will be included in the ESMP.

5.5 Grievance Redress Mechanism (GRM)⁴

The GRM receives and facilitates the resolution of concerns and grievances of project-affected parties arising in connection with the project's environmental and social performance. This is proportionate to the risks and impacts of the project. The mechanism should ensure that complaints received are promptly reviewed and resolved in a manner that is satisfactory to the complainants and other relevant parties, that will be identified, depending on the nature of the complaint.

The bank will conduct the necessary due diligence and oversight on the project's GRM while maintaining responsibility for its own mechanism. The process is to ensure that the GRM is functioning effectively, efficiently, legitimately, and independently, and in a manner that is accessible, equitable, predictable, transparent, allowing for continuous learning.

The project's GRM should ensure that it is culturally appropriate, readily accessible, at no cost to the public, and without retribution to the individuals, groups, or communities that raised the issue or concern. Further, it should ensure that it does not impede the access to the redress mechanism of a finance provider or to judicial or administrative remedies that may be available through the national systems.

6. ROLES & RESPONSIBILITIES

6.1 Role of The Borrower

The borrower shall be responsible for integrating environmental and social considerations into projects according to ZEMA and the bank's requirements.

The borrower's responsibilities will include the following:

- Providing baseline E&S information to facilitate the Screening process;
- Where necessary, retaining independent E&S expertise to prepare Environmental Assessments for Category A & B projects;
- Conducting meaningful consultations and ensuring follow-up during E&S Assessment
- Ensuring compliance to EOS Assessment during project activities (construction and operations);
- Conducting public consultations, especially with local people affected/benefiting, or living in the project area;
- Covering the cost of any necessary compensation to local communities;
- Ensuring disclosure of the finding of the EIA to the public, and collect/integrate their comments and suggestions; and

⁴ The *DBZ Grievance Redress Mechanism (GRM)*, which forms part of DBZ's E&S Framework, is articulated in a separate document.

- Conforming to the requirements of the safeguards.

The borrower shall be required to consult with relevant stakeholders throughout the project implementation and report to the bank on a quarterly basis on the E&S Assessment.

6.2 Internal Responsibilities

The bank's Managing Director takes overall responsibility for the E&S Policy and Framework, including its execution and communication to all levels of the bank. The day to day responsibility for implementation of the E&S Framework is delegated to the Investments Department, which is headed by the Chief Investment Officer with the support of an E&S and a Gender Team Leader. Both Teams are provided with training in this E&S Policy and the E&S Framework to assist them in fulfilling their responsibilities with respect to E&S risk identification and management.

After project approval, in consultation with the Legal Department, Investments Department ensures that E&S requirements are reflected in the Bank's legal documentation for the project. The Facility Letter contains covenants, which require the Borrower to comply with agreed conditions. In addition, the Facility Letter stipulates that the project borrower must, within 90 days after the end of the company's fiscal year, submit annual environmental monitoring and performance reports to the Bank, in a format to be agreed upon with the bank.

7. REFERENCE DOCUMENTS

In the process of preparing this Policy document, the following documents were consulted and adopted as best practice of Environmental and Social Safeguards.

- 1) African Development Bank (AfDB). (2015). *Environmental and Social Assessment Procedures* (ESAP). In Safeguards and Sustainability Series (Vol. 1, Issue November, p. 100).
- 2) Development Bank of Southern Africa (DBSA). (2018). *Environmental and Social Safeguard Standards 2018*. www.dbsa.org
- 3) European Investment Bank. (2018). *European Investment Bank Environmental and Social Standards*. Manual.
- 4) Green Climate Fund (GCF). (2008). *Environmental and Social Policy*. In Social Policy (Issue May).
- 5) International Finance Corporation (IFC). (1998). *Procedure for Environmental and Social Review of Projects*. In Manual (Issue December).
- 6) International Finance Corporation (IFC). (2012). *International Finance Corporation's Policy on Environmental and Social Sustainability*. Manual.
- 7) International Finance Corporation (IFC). (2013). *IFC Performance Standards on Environmental and Social Sustainability - Effective January 1, 2012*. In International

Finance Corporation (IFC) Website (p. 72).
http://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/publications/publications_handbook_pps

8) World Bank. (2016). *World Bank Environmental and Social Framework*. World Bank.
www.worldbank.org

8. APPENDICES

Appendix A: Project Category Types

Appendix B: Summary Performance Standards and Checklists

APPENDIX A:

Project Category Types

Project Category Types

1. Category A: Business activities with potential significant adverse environmental or social risks and/or impacts that are diverse, irreversible, or unprecedented.

Projects falling under Category A will include the following:

1.1 Urban Development

- a) Designing of new townships which are 50Ha or more or sites covering 700 dwellings and above;
- b) Establishment of industrial estates.
- c) Establishment or expansion of recreational areas such as golf course, which would attract 200 or more vehicles
- d) Shopping centres and complexes – 10 000m² and above, floor area

1.2 Transportation

- a) All major roads outside urban areas, the construction of new roads and major improvements over 10 Km in length or over 1 Km in length if the road passes through a National Park or Game Management Area
- b) Railway lines 10Km away from built up area
- c) Airport and airfields whose runway is 1,800 m or more
- d) Pipelines: for water, diameter 0.5 m and above and length 10 Km outside built up area; for oil, 15 Km or more of which 5 Km or more of their length will be situated in a protected area, a seriously polluted or a water abstraction area
- e) Establishment of or expansion of harbours or pontoon areas

1.3 Dams, Rivers and Water Resources

- a) Dams and barrages covering a total of 25 Ha or more;
- b) Exploration for, and use of, ground water resources including production of geothermal energy: water to be extracted to be more than 2 million cumecs (m³/s);
- c) Water supply – reservoir surface area 50 m² or more

1.4 Mining: Including Quarrying and Open Cast Extraction

- a) Copper mining, coal site
- b) Limestone, sand, dolomite, phosphate and clay extraction's of 2 Ha or more
- c) Precious metals Industrial metals
- d) Gemstones
- e) Radioactive metals

1.5 Forestry Related Activities

- a) Clearance of forestry in sensitive areas such as watershed areas or for industrial use 50 Ha or more
- b) Reforestation and afforestation
- c) Wood processing plants – 1,000 tonnes or more

1.6 Agriculture

- a) Land clearance for large scale agriculture
- b) Introduction and use of agrochemicals new to Zambia
- c) Introduction of new crops and animals especially exotic ones new to Zambia.
- d) Irrigation schemes covering an area of 50 Ha or more.
- e) Fish farms of which production is 100 tonnes or more a year.
- f) Aerial and ground spraying – industrial scale.

1.7 Processing and Manufacturing Industry

- a) Cement works and lime processing – 1,000 tonnes or more a year.
- b) Fertiliser manufacturing or processing – 1,000 tonnes or more a year.
- c) Tanning and dressing of hides and skins – 1,000 skins a week.
- d) Abattoirs and meat processing plants – 20,000 carcasses and above a month.
- e) Fish processing plant – more than 100 tonnes a year.
- f) Pulp and paper mills – daily output 50 air-dried tonnes and above
- g) Food processing plants – 400 tonnes or more output a year.

1.8 Electrical Infrastructure

- a) Electricity generation station
- b) Electrical transmission lines – 220 kV and more than 1 Km long
- c) Surface roads for electrical and transmission lines for more than 1 Km long

1.9 Waste Disposal

- a) Sites for solid disposal: construction of permanent disposal site with 1,000 tonnes and above a day.
- b) Sites for hazardous disposal of 100 tonnes or more a year.
- c) Sewage disposal works – with a capacity of 15,000 litres or more a day

1.10 Nature Conservation Areas

- a) Creation of national parks, game management areas and buffer zones.
- b) Commercial exploitation of natural fauna and flora
- c) Introduction of alien species of flora and fauna to local ecosystems

2. Category B: Business activities with potential limited adverse environmental or social risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures.

- a) Urban area rehabilitation
- b) Water transport
- c) Flood control schemes
- d) Exploration for and production of hydrocarbons including refining and transport
- e) Timber harvesting and processing
- f) Land consolidation schemes
- g) Mining and mineral processing, reduction of ores, minerals, cement and lime kilns
- h) Smelting and refining of ores and minerals
- i) Foundries
- j) Brick and Earthen manufacture
- k) Glass works
- l) Brewing and malting plants
- m) Plants for manufacture of coal briquettes
- n) Pumped storage schemes
- o) Bulk grain processing plants
- p) Hydro power schemes and electrification
- q) Chemical processing and manufacturing
- r) Resettlement schemes
- s) Storage of hydrocarbons
- t) Hospitals, clinics and health centre
- u) Cemetery designation
- v) Touring and recreational development in national parks or similar reserves
- w) Projects located in or near environmental sensitive areas such as:
 - Indigenous forests;
 - Wetlands;
 - Zones of high biological diversity;
 - Areas supporting populations of rare and endangered species;
 - Zones prone to erosion or desertification;
 - Areas of historical and archaeological interest;
 - Areas of cultural or religious significance;
 - Areas used extensively for recreation and aesthetic reasons;
 - Areas prone to flooding and natural hazards;
 - Water catchments concerning major sources for public, industrial or agricultural uses
 - Areas of human settlements (particularly those with schools and hospitals)

APPENDIX B:
Summary Performance Standards
And Checklists

Performance Standard 1: Assessment and Management of Environmental and Social Risks and Impacts

Introduction. An effective Environmental and Social Management System (ESMS) is a dynamic and continuous process initiated and supported by management, and involves engagement between the client, its workers, local communities directly affected by the project and other stakeholders.

Objectives

- To identify and evaluate environmental and social risks and impacts of the project.
- To adopt a mitigation hierarchy to anticipate and avoid, or where avoidance is not possible, minimize and, where residual impacts remain, compensate/offset for risks and impacts to workers, Affected Communities and the environment.
- To promote improved environmental and social performance of clients through the effective use of management systems.
- To ensure that grievance from Affected Communities and external communications from other stakeholders are responded to and managed appropriately.
- To promote and provide means for adequate engagement with affected communities throughout the project cycle on issues that could potentially affect them.

Scope of Application. This performance applies to business activities with environmental and/or social risks and/or impacts.

Requirements.

- Environmental and Social Assessment and Management System.* The client in coordination with other responsible government agencies and third parties as appropriate, will conduct a process of environmental and social assessment and establish and maintain an ESMS appropriate to the nature and scale of the project and commensurate with the level of its environmental and social risks impacts.
- Policy.* The client will establish an overarching policy defining the environmental social objectives and principles that guide the project to achieve sound environment and social performance.
- Identification of Risks and Impacts.* The Client will establish and maintain a process for identifying the environmental and social risks and impacts of the project.
- Management Program.* The client will establish management programs that I will describe mitigation and performance improvement measures and actions that address the identified environmental and social risks and impacts of the project.
- Organisational Capacity and Competency.* The client, in collaboration with appropriate and relevant third parties, will establish, maintain, and strengthen as necessary an organisational structure that defines roles, responsibilities, and authority to implement the ESMS
- Emergency Preparedness and Response.* The emergency preparedness and response activities will be periodically reviewed and revised, as necessary, to reflect changing conditions.

- vii) *Monitoring and review.* The client will establish procedures to monitor and measure the effectiveness of the management program, as well as compliance with any related legal and/or contractual obligations and regulatory requirements.
- viii) *Stakeholder Engagement.* This is an ongoing process that may involve, in varying degrees, the following elements: stakeholder analysis and planning, disclosure and dissemination of information, consultation and participation, grievance mechanism, and ongoing reporting to Affected Communities.
 - a) *Stakeholder Analysis and Engagement Planning:* Clients should identify the range of stakeholders that may be interested in their actions and consider how external communication might facilitate a dialog with all stakeholders.
 - b) *Disclosure of Information.* Disclosure of relevant project information helps Affected Communities and other stakeholders understand the risks, impacts and opportunities of the project.
 - c) *Consultation.* When affected Communities are subject to identified risks and adverse impacts from a project, the client will undertake a process of consultation in a manner that provides the Affected Communities with opportunities to express their views on project risks, impacts and mitigation measures and allows the client to consider and respond to them.
 - d) *Informed Consultation and Participation.* For projects with potentially significant adverse impacts on affected communities, the client will conduct an informed consultation and participation process.
 - e) *Indigenous.* For project with adverse impacts to Indigenous People, the client is required to engage them in a process of Informed Consultation and Participation and in certain circumstances the client is required to obtain free, prior, and informed consent.
 - f) *Private Sector Responsibilities Under Government-Led Stakeholders Engagement.* Where government is the responsibility of the host government, the client will collaborate with the responsible government agency to the extent permitted by the agency, to achieve outcomes that are consistent with the objectives of the standard.
- ix) *External Communication and Grievance mechanisms.* Can be divided into external communication and grievance mechanism for affected communities.
- x) *Ongoing Reporting to Affected Communities.* The client will provide periodic reports to the Affected Communities that describe progress with the implementation of the Project Action Plan on issues that involve ongoing risks to or impacts and on issues that the grievance mechanism have identified as a concern to those Communities.

ANNEX 1-1: Client Responsibility and Requirements

REQUIREMENTS	YES	NO	COMMENTS
1. Environment and Social Assessment and Management System			
Has the client, third party or relevant government agency carried out an environmental and social assessment, and established and maintained an ESMS appropriate to the nature and scale of the project?	<input type="checkbox"/>	<input type="checkbox"/>	
2. Policy			
Does the policy provide a framework for the environmental and social assessment and management process?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the policy specify that the project complies with the applicable laws of the land?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the policy consistent with the Performance Standard?	<input type="checkbox"/>	<input type="checkbox"/>	
3. Identification of Risks and Impacts			
Does the client have a process for identifying environmental and social risks of the project?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the scope of the risk and impact identification consistent with international industry practice?	<input type="checkbox"/>	<input type="checkbox"/>	
4. Management Programs			
Are the management programs consistent with the client's policy and objectives?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the management program establish environmental and social action plans?	<input type="checkbox"/>	<input type="checkbox"/>	
5. Organisational Capacity and Competency			
Does the organisational structure define roles, responsibilities and authority to implement the ESMS?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the personnel in the client's organisation directly responsible for the project's environmental and social management system possess the necessary knowledge and skill?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 1-1: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
6. Emergency Preparedness and Response			
Has the client documented its emergency preparedness and response activities, resources and responsibilities?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client provided ready assistance to affected communities and the local government in their preparations to respond effectively to emergency situations?	<input type="checkbox"/>	<input type="checkbox"/>	
7. Monitoring and Review			
Has the client put in procedures to monitor and measure the effectiveness of the Management Program, as well as compliance with legal and/or contractual obligations and regulatory requirements?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the Senior management receive periodic reviews of the effectiveness of the ESMS?	<input type="checkbox"/>	<input type="checkbox"/>	
8. Stakeholder Engagement			
Has the client conducted a stakeholder analysis and engagement planning to identify the range of stakeholders that may be interested in their actions?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client provided the affected communities with access to relevant information about the project?	<input type="checkbox"/>	<input type="checkbox"/>	
Did the client conduct a consultation meeting with affected communities where they expressed their views on the project risks, impacts and mitigation measures?	<input type="checkbox"/>	<input type="checkbox"/>	
9. External Communications and Grievance Mechanism			
Has the client implemented and maintained a procedure for external communication?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client established a grievance mechanism to receive and facilitate resolution of Affected communities' concerns?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 1-1: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
10. Ongoing Reporting to Affected Communities			
Does the client provide periodic reports to the Affected Communities describing progress with implementation of the project Action Plans and issues arising?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the frequency of the periodic reports propionate to concerns of Affected Communities?	<input type="checkbox"/>	<input type="checkbox"/>	

Performance Standard 2: Labour and Working Conditions

Introduction. Labour laws exist so that employees are treated appropriately in work environments and that their rights as employees are protected, thereby ensuring that their expertise is valued and compensated accordingly. By treating workers fairly and providing them with safe and healthy working conditions, clients may enhance the efficiency and productivity of the project's operations. Failure to establish and foster a sound worker-management relationship can undermine worker commitment and retention and can jeopardize a project.

Objectives

- To promote the fair treatment, non-discrimination, and equal opportunity of workers.
- To establish, maintain, and improve the worker-management relationship.
- To promote compliance with national employment and labour laws.
- To protect workers, including vulnerable categories of workers such as children, migrant workers, workers engaged by third parties, and workers in the client's supply chain.
- To promote safe and healthy working conditions, and the health of workers.
- To avoid the use of forced labour.

Scope of Application. It applies to workers:

- i) directly engaged by the client (direct workers),
- ii) engaged through third parties to perform work related to core business processes of the project for a substantial duration (contracted workers), as well as
- iii) engaged by the client's primary suppliers (supply chain workers).

Requirements

I. DIRECT WORKERS

1. Working Conditions and Management of Worker Relationship

- i) *Human Resources Policies and Procedures.* The client will adopt and implement human resources policies and procedures appropriate to its size and workforce which should be provided to workers.
- ii) *Working Conditions and Terms of Employment.* The client will provide reasonable working conditions and terms of employment.
- iii) *Workers' Organizations.* Client will recognise workers' rights to form and to join workers' organizations of their choosing without interference.
- iv) *Non-Discrimination and Equal Opportunity.* The client will not make employment decisions on the basis of personal characteristics such as gender, race, nationality, ethnic, social and indigenous origin, religion or belief, disability, age, or sexual orientation.
- v) *Retrenchment.* The retrenchment plan will be based on the principle of non-discrimination and will reflect the client's consultation with workers, their organizations, and, where appropriate, the government, and comply with collective bargaining agreements if they exist.

vi) *Grievance Mechanism*. The client will provide a grievance mechanism for workers (and their organizations, where they exist) to raise workplace concerns.

2. Protecting the Work Force

i) *Child Labour*. The client will not employ children in any manner that is economically exploitative or is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral, or social development.

ii) *Forced Labour*. The client will not employ forced labour, which consists of any work or service not voluntarily performed that is exacted from an individual under threat of force or penalty.

3. Occupational Health and Safety

The client will provide a safe and healthy work environment, taking into account inherent risks in its particular sector and specific classes of hazards in the client's work areas, including physical, chemical, biological, and radiological hazards, and specific threats to women.

II. CONTRACTED WORKERS

With respect to contracted workers the client will take commercially reasonable efforts to ascertain that the third parties who engage these workers are reputable and legitimate enterprises and have an appropriate Environmental and Social Management System (ESMS).

III. SUPPLY-CHAIN WORKERS

Where there is a high risk of child labour or forced labour in the primary supply chain, the client will identify those risks and take appropriate steps to remedy them. Additionally, where there is a high risk of significant safety issues related to supply chain workers, the client will introduce procedures and mitigation measures to ensure that primary suppliers within the supply chain are taking steps to prevent or to correct life-threatening situation.

ANNEX 2-1: Relevant Legislation

In the context of Zambia, the client will ensure that the project meets all relevant legislation as a minimum such as:

- The Constitution of the Republic of Zambia
- The Employment Code Act, 2019
- The Industrial and Labour Relations act Ch 269 of the Laws of Zambia
- The Workers Compensation Act
- The National Pensions Act

ANNEX 2-2: Client Responsibility and Requirements

REQUIREMENTS	YES	NO	COMMENTS
I. DIRECT WORKERS			
1. Working Conditions and Management of Worker Relationship			
Are rights of workers under national labor and employment laws clearly documented and understandable?	<input type="checkbox"/>	<input type="checkbox"/>	
Do they cover rights under any collective agreements?	<input type="checkbox"/>	<input type="checkbox"/>	
Do they cover rights related to hours of work, wages, overtime, compensation and benefits?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client employ migrant workers?	<input type="checkbox"/>	<input type="checkbox"/>	
Are they engaged on substantially equivalent terms and conditions to non-migrant workers carrying out similar work?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client provide residential or temporary accommodation to workers, which is conducive for human habitation consistent with non-discrimination and equal opportunity principles?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client discourage workers from electing worker representatives, forming or joining workers' organizations of their choosing, or from bargaining collectively?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client discriminate or retaliate against workers who participate, or seek to participate, in such organizations and collective bargaining?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client base its employment relationship on the principle of equal opportunity and fair treatment?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client take measures to prevent and address harassment, intimidation, and/or exploitation, especially in regard to women?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the principles of non-discrimination apply to migrant workers?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 2-2: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
Does the client have a retrenchment plan in its labour policies?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client have a grievance mechanism for workers?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the mechanism ensure that concerns are addressed at the appropriate level of management and promptly?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the mechanism transparent and does it provide timely feedback to those concerned, without any retribution?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the mechanism allow for anonymous complaints to be raised and addressed?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the mechanism allow for access to other judicial or administrative remedies that might be available under the law or through existing arbitration procedures?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client employ children under the age of 18 and are involved in any hazardous work?	<input type="checkbox"/>	<input type="checkbox"/>	
2. Protecting the Work Force			
Is there evidence to suggest that client employs forced labour or trafficked persons?	<input type="checkbox"/>	<input type="checkbox"/>	
3. Occupational Health and Safety			
Does the client take steps to prevent accidents, injury, and disease arising from, associated with, or occurring in the course of work?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client provide preventive and protective measures that modify, substitute, or eliminate hazardous conditions or substances?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client provide Health and Safety training of workers?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there documentation and reporting of occupational accidents, diseases, and incidents?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 2-2: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
Does the client have emergency prevention, preparedness, and response arrangements?	<input type="checkbox"/>	<input type="checkbox"/>	
II. CONTRACTED WORKERS			
Does the client have established policies and procedures for managing and monitoring the performance of third-party employers/job agencies?	<input type="checkbox"/>	<input type="checkbox"/>	
III. SUPPLY-CHAIN WORKERS			
Does the client consider the adverse impacts associated with supply chains ⁵ including the risk of child labour, forced labour, significant occupational, health or safety considerations, and takes appropriate steps to utilise alternate products / supply chains?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client continuously monitor the primary supply chain and introduce procedures and mitigation measures to ensure that primary suppliers take steps to prevent or to correct imminent danger, death or serious harm to workers?	<input type="checkbox"/>	<input type="checkbox"/>	

⁵ Certain industries are prone to labour abuse...these include

ANNEX 2-3: Occupational Health and Safety Requirements

Within the environmental and social management system, the borrower or client includes a health, safety and environmental programme that includes plans or procedures to prevent accidents, injury, and disease arising from, associated with, or occurring in the course of work by:

- Identifying and minimising, as far as reasonably practicable, the causes of potential safety and occupational hazards to workers, including exposure to inappropriate levels of noise, temperature, radiation or lighting.
- Providing preventive and protective measures, including modification, substitution, or elimination of hazardous conditions or substances.
- Providing appropriate equipment to minimise risks and requiring and enforcing its use.
- Training workers and providing appropriate incentives for them to use and comply with health and safety procedures and protective equipment.
- Documenting and reporting on occupational accidents, diseases and incidents; and
- Developing emergency prevention, preparedness and response arrangements.

ANNEX 2-4: Workplace Inspection Checklist

DESCRIPTION	YES	NO	COMMENTS
Floors, Corridors, Walkways and Driveways			
Are floor areas and corridors free of debris, materials or equip?	<input type="checkbox"/>	<input type="checkbox"/>	
Are all doorways clear of debris, materials or equipment?	<input type="checkbox"/>	<input type="checkbox"/>	
Are the floors slippery, oily or wet?	<input type="checkbox"/>	<input type="checkbox"/>	
Is non-slip matting used where slippery conditions exist?	<input type="checkbox"/>	<input type="checkbox"/>	
Are floors kept clean?	<input type="checkbox"/>	<input type="checkbox"/>	
Are wet floor signs posted when floors are being washed?	<input type="checkbox"/>	<input type="checkbox"/>	
Are carpets and/or tiles clean and in good condition?	<input type="checkbox"/>	<input type="checkbox"/>	
Are areas designated as aisles well marked and visible?	<input type="checkbox"/>	<input type="checkbox"/>	
Are entries in the Salting / Sanding Log up to date?	<input type="checkbox"/>	<input type="checkbox"/>	
Are walkways and driveways being cared for as required?	<input type="checkbox"/>	<input type="checkbox"/>	
Emergency Equipment			
Is emergency lighting working? Has it been tested?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the location of all fire extinguishers clearly marked?	<input type="checkbox"/>	<input type="checkbox"/>	
Are all fire extinguishers properly mounted on the wall?	<input type="checkbox"/>	<input type="checkbox"/>	
Have all fire extinguishers been professionally inspected within the past 12 months?	<input type="checkbox"/>	<input type="checkbox"/>	
Is employee fire extinguisher training up to date?	<input type="checkbox"/>	<input type="checkbox"/>	
Are emergency exits clearly marked?	<input type="checkbox"/>	<input type="checkbox"/>	
Are smoke detectors in good working condition?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 2-4: Workplace Inspection Checklist (Cont.)

DESCRIPTION	YES	NO	COMMENTS
Electrical			
Are any electrical cords, wires or cables frayed or damaged?	<input type="checkbox"/>	<input type="checkbox"/>	
Are electrical outlets overloaded?	<input type="checkbox"/>	<input type="checkbox"/>	
Are extension cords used between power bars and outlets?	<input type="checkbox"/>	<input type="checkbox"/>	
Are plugs, sockets and switches in good working condition?	<input type="checkbox"/>	<input type="checkbox"/>	
Are all electrical cords properly secured?	<input type="checkbox"/>	<input type="checkbox"/>	
Are all electrical panels and switches easily accessible?	<input type="checkbox"/>	<input type="checkbox"/>	
Do any electrical or phone cords create a tripping hazard?	<input type="checkbox"/>	<input type="checkbox"/>	
Ventilation, Lighting, Sanitation and Accommodation			
Is there an adequate supply of fresh air?	<input type="checkbox"/>	<input type="checkbox"/>	
Are exhaust fans working properly? (Bathrooms, kitchen, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	
Are lighting levels adequate in the workplace and restrooms?	<input type="checkbox"/>	<input type="checkbox"/>	
Is task lighting provided in low light or high glare areas?	<input type="checkbox"/>	<input type="checkbox"/>	
Are work areas, particularly computer stations, free of glare?	<input type="checkbox"/>	<input type="checkbox"/>	
Are burnt out or missing light bulbs being replaced?	<input type="checkbox"/>	<input type="checkbox"/>	
Are an adequate number of garbage containers available at suitable locations?	<input type="checkbox"/>	<input type="checkbox"/>	
Are the trash / garbage containers emptied regularly?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 2-4: Workplace Inspection Checklist (Cont.)

DESCRIPTION	YES	NO	COMMENTS
Are lunchrooms and any cooking equipment kept clean?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the lunchroom provided with sufficient light?	<input type="checkbox"/>	<input type="checkbox"/>	
Are washrooms clean?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there an adequate supply of paper towels and toilet paper?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there an adequate supply of soap?	<input type="checkbox"/>	<input type="checkbox"/>	
If necessary is adequate hand sanitizer available?	<input type="checkbox"/>	<input type="checkbox"/>	
Are all washroom fixtures working properly?	<input type="checkbox"/>	<input type="checkbox"/>	
Do both hot and cold running water work?	<input type="checkbox"/>	<input type="checkbox"/>	
Housekeeping			
Are work areas, shelves, etc. free of dust?	<input type="checkbox"/>	<input type="checkbox"/>	
Are carpets vacuumed on a regular basis?	<input type="checkbox"/>	<input type="checkbox"/>	
Are all waste products removed to a suitable disposal/storage area on a regular basis to prevent health or safety hazard?	<input type="checkbox"/>	<input type="checkbox"/>	
Are floors swept on a regular basis?	<input type="checkbox"/>	<input type="checkbox"/>	
First Aid Kits			
Is there a first aid kit available in the work area?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the first aid kit location clearly marked and accessible?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the first aid kit adequate for the number of employees in this area, and, are contents complete?	<input type="checkbox"/>	<input type="checkbox"/>	
Are the names and phone numbers of first-aid attendants posted?	<input type="checkbox"/>	<input type="checkbox"/>	
Is a list of first aid attendants posted by the kit?	<input type="checkbox"/>	<input type="checkbox"/>	
Are entries kept up to date in the First Aid record book?	<input type="checkbox"/>	<input type="checkbox"/>	
Do any of the contents need to be replenished?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 2-4: Workplace Inspection Checklist (Cont.)

DESCRIPTION	YES	NO	COMMENTS
Equipment			
Is all equipment kept clean and free of debris?	<input type="checkbox"/>	<input type="checkbox"/>	
Is equipment regularly maintained and are maintenance records up to date?	<input type="checkbox"/>	<input type="checkbox"/>	
Are the manufacturers' manuals available for all equipment and machines?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there adequate work-space around fixed machinery and is it free of debris?	<input type="checkbox"/>	<input type="checkbox"/>	
Are the plugs on electrical equipment properly grounded? Are all guards mounted and properly used?	<input type="checkbox"/>	<input type="checkbox"/>	
Are employees properly trained to operate equipment/machines?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the required personal protective equipment available for each piece of equipment or machinery?	<input type="checkbox"/>	<input type="checkbox"/>	
Is personal protective equipment being used properly?	<input type="checkbox"/>	<input type="checkbox"/>	
Are stop/start and "kill" switches clearly marked and within easy reach of the operator?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there a lock out procedure for defective equipment/machinery?	<input type="checkbox"/>	<input type="checkbox"/>	
Is adequate ventilation provided in areas where a job may generate fumes or excessive heat?	<input type="checkbox"/>	<input type="checkbox"/>	
Are tools and equipment stored properly when not in use?	<input type="checkbox"/>	<input type="checkbox"/>	
Hazardous Materials			
Are Material Safety Data Sheets provided for all hazardous material at each workplace?	<input type="checkbox"/>	<input type="checkbox"/>	
Are containers properly and clearly labeled?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 2-4: Workplace Inspection Checklist (Cont.)

DESCRIPTION	YES	NO	COMMENTS
Are hazardous materials stored properly?	<input type="checkbox"/>	<input type="checkbox"/>	
Do employees know where to find MSDS's for the products they are using?	<input type="checkbox"/>	<input type="checkbox"/>	
Are eye wash stations available and are they clean?	<input type="checkbox"/>	<input type="checkbox"/>	
Personal Protective Equipment			
Do employees know where to find the personal protective equipment required for the job they are doing?	<input type="checkbox"/>	<input type="checkbox"/>	
Do employees know how to use personal protective equipment properly?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the appropriate personal protective equipment located at each piece of machinery?	<input type="checkbox"/>	<input type="checkbox"/>	
Is personal protective equipment in good condition and being used properly?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 2-5: Hazard Analysis Checklist

DESCRIPTION	YES	NO	COMMENTS
Chemical			
Is there a possibility that asbestos-containing materials will be encountered?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there a possibility that lead-containing materials will be encountered?	<input type="checkbox"/>	<input type="checkbox"/>	
Will there be jack hammering, roto-hammering or similar concrete work	<input type="checkbox"/>	<input type="checkbox"/>	
Will there be breaking or cutting of tiles, masonry or other silica dust work	<input type="checkbox"/>	<input type="checkbox"/>	
Will the job involve welding, soldering, or torch cutting?	<input type="checkbox"/>	<input type="checkbox"/>	
Will there be engines running on the worksite?	<input type="checkbox"/>	<input type="checkbox"/>	
Will work involve chemicals, solvents, painting, brazing or grit blasting?	<input type="checkbox"/>	<input type="checkbox"/>	
Will work be within vaults, manholes, trenches, or tanks >4 feet deep?	<input type="checkbox"/>	<input type="checkbox"/>	
Will the workers require personal protective clothing?	<input type="checkbox"/>	<input type="checkbox"/>	
Will the job involve materials or processes requiring respiratory protection?	<input type="checkbox"/>	<input type="checkbox"/>	
Physical			
Is there a potential for manual material-handling of items over 40 pounds?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there a potential for repetitive tasks for more than 30 minutes a work shift?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there a potential for repetitive transfer of materials less than 20Kg?	<input type="checkbox"/>	<input type="checkbox"/>	
Will workers be exposed to elevated noise levels on this job?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there high (e.g. jackhammer) or low vibration (e.g. manned cab vehicles) activity?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 2-5: Hazard Analysis Checklist (Cont.)

DESCRIPTION	YES	NO	COMMENTS
Safety			
Will work be performed on or near energized equipment, lines, or circuits?	<input type="checkbox"/>	<input type="checkbox"/>	
Will there be overhead power lines or potential underground or hidden utilities?	<input type="checkbox"/>	<input type="checkbox"/>	
Will workers be working above 6 feet from ground level?	<input type="checkbox"/>	<input type="checkbox"/>	
Will scaffolding or ladders be used and worker access be provided?	<input type="checkbox"/>	<input type="checkbox"/>	
Will there be work cutting, grinding, or breaking of concrete or masonry?	<input type="checkbox"/>	<input type="checkbox"/>	
Will the job involve steel and/or scaffolding erection?	<input type="checkbox"/>	<input type="checkbox"/>	
Will floor, wall, and/or roof openings be created during this job?	<input type="checkbox"/>	<input type="checkbox"/>	
Will crane(s), forklift(s), manlift(s), or other lifting equipment be used?	<input type="checkbox"/>	<input type="checkbox"/>	
Will there be excavation or trenching in excess of 4 feet?	<input type="checkbox"/>	<input type="checkbox"/>	
Will the subcontractor be using motor vehicles or heavy equipment on-site?	<input type="checkbox"/>	<input type="checkbox"/>	

Performance Standard 3: Resource Efficiency and Pollution Prevention

Introduction. Performance Standard 3 recognizes the impact of increased economic activities and urbanization on water, air and land on pollution levels. In addition, these activities consume finite resources in a way that threatens the environment and populace at a local and international level. The growing global consensus on atmospheric concentration of greenhouse gases (GHG) is also covered in the standard.

Objectives

- Avoid or minimize adverse impacts on human health and the environment,
- Promote sustainable use of resources and
- Reduce project related GHG emissions.

Scope of Application. The applicability of this Performance Standard is established during the environmental and social risks and impacts identification process. The implementation of the actions necessary to meet the requirements of this Performance Standard is managed through the client's Environmental and Social Management System.

Requirements. The client should consider ambient conditions for the application of technically and financially feasible resource efficiency and pollution prevention principles and techniques during the project lifecycle. The principles and techniques must be tailor made to the hazards and risks associated with the project and in line with good international industry practice (GIIP), including the World Bank Group Environmental, Health and Safety guidelines (EHS Guidelines). In situations where host country regulations differ from the levels and measures presented in the EHS Guidelines, the more stringent of the two must be adhered to.

I. RESOURCE EFFICIENCY

The client is expected to implement technically and financially feasible and cost-effective measures for improving efficiency with a focus on areas of core business activities. Where benchmarking data are available, the client will make a comparison to establish the relative level of efficiency.

1. Greenhouse Gases

The client will consider alternatives and implement options to reduce project – related GHG emissions during the design and operation of the project.

2. Water consumption

The client shall adopt measures that avoid or reduce water usage in a way that does not have significant and adverse impacts on others.

II. POLLUTION PREVENTION

the client will avoid the release of pollutants or minimize and/or control the intensity and mass flow of their release.

1. Wastes

The client will avoid the generation of hazardous and non – hazardous waste materials.

2. Hazardous Materials Management

The client will avoid or, minimize and control the release of hazardous materials.

3. Pesticide Use and Management

The client will, where appropriate, formulate and implement an integrated pest management (IPM) and/or integrated vector management (IVM) approach targeting economically significant pest infestations and disease vectors of public health significance.

ANNEX 3-1: Client Responsibility and Requirements

REQUIREMENTS	YES	NO	COMMENTS
Resource Efficiency			
Does the project involve the consumption of energy, water, as well as other resources and material inputs (with a focus on areas that are considered core business activities)?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client provided a plan demonstrating that implementation will include measures that are technically and financially feasible, and cost effective in the consumption of energy, water, as well as other resources and material inputs?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the measures integrate the principles of cleaner production into product design and production processes (with the objective of conserving raw materials, energy, and water)?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client provided a comparison to establish the relative level of efficiency (where benchmarking data is available)?	<input type="checkbox"/>	<input type="checkbox"/>	
Greenhouse Gases			
Has the client provided alternatives and implementation plans for technically and financially feasible and cost – effective options to reduce project – related GHG emissions (during the design and operation of the project)?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the options include alternative project locations, adoption of renewable or low carbon energy sources, sustainable agriculture, forestry and livestock management practices, the reduction of fugitive emissions and the reduction of gas flaring?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the project expected to produce (or is currently producing) more than the acceptable limit of CO ₂ – equivalent annually?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 3-1: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
Water Consumption			
Is the project a potentially significant consumer of water?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client provided a plan outlining measures that will lead to the avoidance or reduction of water usage in a way that does not lead to significant adverse impacts on others?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the measures involve the use of additional technically feasible water conservation measures within the client's operations?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the measures involve the use of alternative water supplies?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the measures involve the use of water consumption offsets to reduce total demand for water resources to within the available supply?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client evaluated an alternative project location?	<input type="checkbox"/>	<input type="checkbox"/>	
Pollution Prevention			
Will the project result in the release of pollutants?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client provided a plan to avoid and/or minimize and/or control the intensity and mass flow of their release?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there historical existence of pollution such as land or ground water contamination on the project site?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the client is responsible for the mitigation measures of the pollution?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the project potentially result in adverse impacts on existing ambient conditions?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client considered existing ambient conditions?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client considered the existing and future land use?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 3-1: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
Has the client considered the project's proximity to areas of importance to biodiversity?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client considered the potential for cumulative impacts with uncertain and/or irreversible consequences?	<input type="checkbox"/>	<input type="checkbox"/>	
Wastes			
Does the project involve the generation of hazardous and non – hazardous waste materials?	<input type="checkbox"/>	<input type="checkbox"/>	
Have measures been put in place to reduce the generation of waste, and recover and reuse waste in a manner that is safe for human health and the environment?	<input type="checkbox"/>	<input type="checkbox"/>	
Have measures been put in place to treat, destroy, or dispose of waste in an environmentally sound manner that includes the appropriate control of emissions and residues resulting from the handling and processing of the waste material?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client put in place measures to adopt GIIP alternatives for its environmentally sound disposal while adhering to the limitations applicable to its transboundary movement?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the disposal of hazardous waste materials involve the use of a third party?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the third party licensed by a relevant government regulatory agency as a legitimate enterprise?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the third party provided evidence of its chain of custody documentation?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client ascertained whether a licensed disposal site is operated to acceptable standards and their location?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 3-1: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
Hazardous Materials Management			
Does the project involve the use or production of hazardous materials?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client provided a plan to avoid or minimize and control the release of hazardous materials?	<input type="checkbox"/>	<input type="checkbox"/>	
Has an assessment been conducted on the production, transportation, handling, storage, and use of hazardous materials for project activities?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client provided less hazardous substitutes where hazardous materials are intended to be used in the manufacturing process or other operations?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client intend to manufacture, trade and use chemicals and hazardous materials that are subject to international bans or phase – outs?	<input type="checkbox"/>	<input type="checkbox"/>	
Pesticide Use and Management			
Does the project involve the use or handling of pesticide materials?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client formulated and implemented an integrated pest management (IPM) and/or integrated vector management (IVM) approach?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the IPM and IVM program integrate coordinated use of pest and environmental information along with available pest control methods?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the project include the use of chemical pesticides?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client selected chemical pesticides that are low in human toxicity? That are known to be effective against the target species? And that have minimal effects on non – target species and the environment?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 3-1: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
Has the client selected chemical pesticides, upon requirements that the pesticides are packaged in safe containers, are clearly labelled for safe and proper use and have been manufactured by an entity currently licensed by relevant regulatory agencies?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client designed its pesticide application regime to i.) Avoid damage to natural enemies of the target pest, and where avoidance is not possible, minimize, and ii.) Avoid the risks associated with the development of resistance in pests and vectors, and where avoidance is not possible, minimize	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client adopted the Food and Agriculture Organization's International Code of Conduct on the Distribution and Use of Pesticides and other GIIP?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client purchased, stored, used, manufactured or traded in products that fall in WHO Recommended Classification of Pesticides by Hazard Class Ia (extremely hazardous) or Ib (highly hazardous) ⁶ ?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client purchased, stored, used, manufactured or traded in Class II (moderately hazardous) pesticides (unless the project has appropriate controls on manufacture, procurement, or distribution and/or use of these chemicals)?	<input type="checkbox"/>	<input type="checkbox"/>	
Has appropriate training, equipment, and facilities to handle, store, apply and dispose of these products been provided to personnel?	<input type="checkbox"/>	<input type="checkbox"/>	

⁶ World Health Organization & International Programme on Chemical Safety. (2010). The WHO recommended classification of pesticides by hazard and guidelines to classification 2009. World Health Organization. <https://apps.who.int/iris/handle/10665/44271>

Performance Standard 4: Community Health, Safety, and Security

Introduction. Addresses the client’s responsibility to avoid or minimize the risks and impacts to community health, safety, and security that may arise from project related activities, with particular attention to vulnerable groups.

Objectives

- To anticipate and avoid adverse impacts on the health and safety of the Affected Community during the project life from both routine and non-routine circumstances.
- To ensure that the safeguarding of personnel and property is carried out in accordance with relevant human rights principles and in a manner that avoids or minimizes risks to the Affected Communities.

Scope of Application. Addresses potential risks and impacts to the Affected Communities from project activities.

Requirements

1. Community Health and Safety

The client will evaluate the risks and impacts to the health and safety of the Affected Communities during the project lifecycle and will establish preventive and control measures consistent with good international industry practice (GIIP), such as in the World Bank Group Environmental, Health and Safety Guidelines (EHS Guidelines⁷) or other internationally recognized sources.

- Infrastructure and Equipment Design and Safety.* The client will design, construct, operate, and decommission the structural elements or components of the project in accordance with GIIP, taking into consideration safety risks to third parties or Affected Communities.
- Hazardous Materials Management and Safety.* The client will avoid or minimize the potential for community exposure to hazardous materials and substances that may be released by the project. Further, the client will exercise commercially reasonable efforts to control the safety of deliveries of hazardous materials, and of transportation and disposal of hazardous wastes, and will implement measures to avoid or control community exposure to pesticides, in accordance with the requirements of Performance Standard 3.
- Ecosystem Services.* The project’s direct impacts on priority ecosystem services may result in adverse health and safety risks and impacts to Affected Communities. Where appropriate and feasible, the client will identify those risks and potential impacts on priority ecosystem services that may be exacerbated by climate change.

⁷ https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/policies-standards/ehs-guidelines

- iv) *Community Exposure to Disease.* The client will avoid or minimize the potential for community exposure to waterborne, water based, water-related, and vectorborne diseases, and communicable diseases that could result from project activities, taking into consideration differentiated exposure to and higher sensitivity of vulnerable groups. Further, the client will avoid or minimize transmission of communicable diseases that may be associated with the influx of temporary or permanent project labour.
- v) *Emergency Preparedness and Response.* The client will document its emergency preparedness and response activities, resources, and responsibilities, and will disclose appropriate information to Affected Communities, relevant government agencies, or other relevant parties.

2. Security Personnel.

The client will assess risks posed by its security arrangements to those within and outside the project site.

The client will make reasonable inquiries to ensure that those providing security are not implicated in past abuses; will train them adequately in the use of force (and where applicable, firearms), and appropriate conduct toward workers and Affected Communities; and require them to act within the applicable law.

The client will provide a grievance mechanism for Affected Communities to express concerns about the security arrangements and acts of security personnel. Further, the client will consider and, where appropriate, investigate all allegations of unlawful or abusive acts of security personnel, take action (or urge appropriate parties to take action) to prevent recurrence, and report unlawful and abusive acts to public authorities.

ANNEX 4-1 - Client Responsibility and Requirements

REQUIREMENTS	YES	NO	COMMENTS
Community Health and Safety			
Does the client evaluate the risks and impacts to the health and safety of the Affected Communities during the project lifecycle?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client established preventive and control measures consistent with good international industry practice (GIIP)?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client design, construct, operate, and decommission the structural elements or components of the project in accordance with GIIP, taking into consideration safety risks to third parties or Affected Communities?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client make use of external expertise with relevant and recognized experience when structural elements or components are situated in high-risk locations, which may threaten the safety of communities?	<input type="checkbox"/>	<input type="checkbox"/>	
For projects that operate moving equipment, has the client put in measures to avoid the occurrence of incidents and injuries to members of the public?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client avoid or minimize the potential for community exposure to hazardous materials and substances that may be released by the project?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client exercise commercially reasonable efforts to control the safety of deliveries of hazardous materials, and of transportation and disposal of hazardous waste.	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client implement measures to avoid or control community exposure to pesticides, in accordance with the requirements of Performance Standard 3	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 4-1 - Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
Does the project impact directly on priority ecosystem services that may result in adverse health and safety risks and impacts to Affected Communities.	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client avoid or minimize the potential for community exposure to waterborne, water based, water-related, and vector-borne diseases, and communicable diseases.	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client avoid or minimize transmission of communicable diseases that may be associated with the influx of temporary or permanent project labor?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client play an active role in preparing for and responding to emergencies associated with the project?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client documented its emergency preparedness and response activities, resources, and responsibilities to Affected Communities, relevant government agencies, or other relevant parties?	<input type="checkbox"/>	<input type="checkbox"/>	
Security Personnel			
Does the client provide security to safeguard its personnel and property?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client assess risks posed by its security arrangements to those within and outside the project site?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client carry out a full due diligence of its security service providers?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client take appropriate action of unlawful or abusive acts of security personnel?	<input type="checkbox"/>	<input type="checkbox"/>	

Performance Standard 5: Land Acquisition and Involuntary Resettlement

Introduction. Unless properly managed, involuntary resettlement may result in long-term hardship and impoverishment for the affected communities and persons, as well as environmental damage and adverse socio-economic impacts in areas to which they have been displaced. To help avoid expropriation and eliminate the need to use governmental authority to enforce relocation, clients are encouraged to use negotiated settlements meeting the requirement of this performance standard 5, even if they have legal means to acquire land without the seller's consent.

Objectives

- To avoid or minimize displacement by exploring alternative project designs.
- To avoid forced eviction.
- To improve or restore the livelihoods and the standards of living of displaced persons.
- To improve living conditions among physically displaced persons.
- To anticipate and avoid or minimize adverse social and economic impacts from land acquisition or restrictions on land use.

Scope of Application. It applies to physical and/or economic displacement resulting from the following types of land-related transactions:

- i) Land rights or land use rights acquired through expropriation or other compulsory procedures in accordance with the legal system of the land
- ii) Land rights or land use rights acquired through negotiated settlements with property owners or those with legal rights to the land if failure to reach settlement would have resulted in expropriation or other compulsory procedures.
- iii) Project situations where involuntary restrictions on land use and access to natural resources cause a community or groups within a community to lose access to resource usage where they have traditional rights.
- iv) Certain project situations requiring evictions of people occupying land without formal, traditional, or recognizable rights
- v) Restriction on access of other resources including communal property and natural resources such as marine and aquatic resources, timber and non-timber forest products, freshwater, medical plants, hunting and gathering grounds and grazing and cropping areas.

Requirements

1. General

- i) *Project Design.* The client will consider feasible alternative project design to avoid minimize physical and/or economic displacements, while balancing environmental, social and financial costs and benefits, paying particular attention to impacts on the poor and vulnerable.

ii) *Compensation and Benefits for Displaced Persons.* In cases of unavoidable displacement, the client will offer displaced communities and persons compensation for loss of assets at full replacement cost and other assistance to help them improve or restore their standard of living.

iii) *Community Engagement.* The client will engage with Affected Communities, including host communities, through the process of stakeholder engagement.

iv) *Grievance Mechanism.* The client will establish a grievance mechanism to allow the client to receive and address specific concerns about compensation and relocation raised by affected communities.

iv) *Resettlement and Livelihood Restoration Planning and Implementation.* Where involuntary resettlement is unavoidable, either as a result of a negotiated settlement or expropriation, a census will be carried out to collect appropriate socio-economic baseline data to identify the persons who will be displaced by the project, determine who will be eligible for compensation and assistance.

2. Displacement

Displaced persons can be classified as follows:

- i) Persons with formal legal rights to the land or assets they occupy/use
- ii) Persons who do not have legal rights to land or assets but have claim to land that is recognised under national law
- iii) Person who do not have recognizable legal right or claim to the land or assets they claim to occupy or use.

Further, requirement of the Performance standard in respect of the physical displacement may apply simultaneously:

- i) *Physical Displacement.* In this case, the client will develop a Resettlement Action Plan that covers, at a minimum, the applicable requirements of this performance standard regardless of the number of people affected.
- ii) *Economic Displacement.* In this case, the client will develop a Livelihood Restoration Plan to compensate affected persons and/or communities and offer other assistance that meet the objectives of this performance standard.

3. Private sector responsibilities Under Government-Managed Resettlement

Where land acquisition and resettlement are the responsibility of the government, the client will collaborate with the responsible government agency, to achieve outcomes that are consistent with this Performance Standard.

ANNEX 5-1: Client Responsibility and Requirements

REQUIREMENTS	YES	NO	COMMENTS
General			
Has the client considered feasible alternative designs to avoid physical/economic displacement?	<input type="checkbox"/>	<input type="checkbox"/>	
Can the displacement be avoided?	<input type="checkbox"/>	<input type="checkbox"/>	
If displacement occurred, did the client compensate the affected persons /communities?	<input type="checkbox"/>	<input type="checkbox"/>	
Are the compensation standards transparent?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client provided opportunities to displaced communities and persons to derive appropriate development benefits?	<input type="checkbox"/>	<input type="checkbox"/>	
During the process of stakeholder engagement, did the client engage the affected communities and persons?	<input type="checkbox"/>	<input type="checkbox"/>	
Did the disclosure of relevant information and participation of Affected Communities continue during the process of planning. Implementation and evaluation of compensation payments, livelihood and restoration activities?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client established a grievance mechanism consistent with Performance Standard 1?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client respond to issues (grievances) raised on time?	<input type="checkbox"/>	<input type="checkbox"/>	
Did the client conduct a census in order to collect appropriate socio-economic baseline data to identify people displaced by the project?	<input type="checkbox"/>	<input type="checkbox"/>	
Did the affected Persons/communities accept the compensation?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client established procedures to monitor and evaluate the implementation of a resettlement Action Plan or Livelihood Plan?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 5-1: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
Displacement			
Does the client have a Livelihood Restoration Plan in place?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client have a Resettlement Action Plan in place?	<input type="checkbox"/>	<input type="checkbox"/>	
Private sector responsibilities under Government - managed resettlement			
Is the Land acquisition a responsibility of Government?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the Government capacity limited with regards to Land acquisition?	<input type="checkbox"/>	<input type="checkbox"/>	

Performance Standard 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources.

Introduction: Performance Standard 6 recognizes the importance of protecting and conserving biodiversity, maintaining ecosystem services, and sustainably managing living natural resources.

Scope of Application: The applicability of this Performance Standard is established during the environmental and social risks and impacts identification process. The implementation of the actions necessary to meet the requirements of this Performance Standard is managed through the client's Environmental and Social Management System.

Requirements: The client should seek to avoid impacts on biodiversity and ecosystem services.

1. Protection and Conservation of Biodiversity

A biodiversity offset should be designed and implemented to achieve measurable conservation outcomes that can reasonably be expected to result in no net loss and preferably a net gain of biodiversity; however, a net gain is required in critical habitats.

- i) *Modified Habitat:* The client should minimize impacts on modified habitats that include significant biodiversity value and implement mitigation measures as appropriate.
- ii) *Natural Habitat:* The client will not significantly convert or degrade natural habitats, unless no other viable alternatives within the region exist for development of the project modified habitat, consultation has established the views of stakeholders, including affected communities and mitigation measures will be designed to achieve no net loss of biodiversity where feasible.
- iii) *Critical Habitat:* The client will not implement any project activities unless no other viable alternatives within the region exist, the project does not lead to measurable adverse impacts on those biodiversity value for which the critical habitat was designated, and on the ecological processes supporting those biodiversity values, the project does not lead to a net reduction in the global and/or national/regional population and a robust and appropriately designed biodiversity monitoring and evaluation program is integrated into the client's management team.
- iv) *Legally Protected and Internationally Recognized Areas:* The client will demonstrate that the proposed development is legally permitted, act in a manner that is consistent with any government recognized management plans, consult protected area stakeholders and implement additional programs to promote and enhance the conservation aims and effective management of the area.

- v) *Invasive Alien Species*: The client will not intentionally introduce any new alien species unless this is carried out in accordance with the existing regulatory framework for such introduction, will not deliberately introduce any alien species with a high risk of invasive behaviour regardless of whether such introductions are permitted under the existing regulatory framework, and will implement measures to avoid the potential for accidental or unintended introductions.

2. Management and Ecosystem Services

The client will conduct a systematic review to identify priority ecosystem services, including affected communities that are likely to be impacted.

3. Sustainable Management of Living Natural Resources

Clients engaged in the primary production of living natural resources, will manage living natural resources in a sustainable manner.

4. Supply Chain

Where a client is purchasing primary production that is known to be produced in regions where there is a risk of significant conversion of natural and/or critical habitats, systems and verification practices will be adopted as part of the client's ESMS to evaluate its primary suppliers.

ANNEX 6-1: Client Responsibility and Requirements

REQUIREMENTS	YES	NO	COMMENTS
General			
Has the client provided a plan to avoid impacts on biodiversity and ecosystem services?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client put in place implementation plans to minimize impacts and restore diversity and ecosystem services?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client provided a policy of adaptive management in which the implementation of mitigation and management measures are responsive to changing conditions and the results of monitoring throughout the project's lifecycle?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client have competent professionals to assist in conducting the risks and impacts identification process?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client have access to external experts with the appropriate regional experience to assist in the development of a mitigation hierarchy that complies with the performance standard and to verify the implementation of the measures?	<input type="checkbox"/>	<input type="checkbox"/>	
Protection and Conservation of Biodiversity			
Has the client provided a mitigation hierarchy?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the mitigation hierarchy include offsets, which may be considered only after appropriate avoidance, minimization, and restoration measures have been applied?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the biodiversity offset been designed and implemented to achieve measurable conservation outcomes?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the biodiversity offset adhered to the "like – for – like" or better principle carried out in alignment with the best available information and current practices?	<input type="checkbox"/>	<input type="checkbox"/>	
Have external experts with knowledge in offset design and implementation been involved?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 6-1: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
Modified Habitat			
Is the client operating, or planning to operate in an area that may contain a large proportion of plant and/or animal species of non – native origin or where human activity has substantially modified an area’s primary ecological functions and species composition?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client provided a plan to minimize impacts on such biodiversity and implemented mitigation measures as appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	
Natural Habitat			
Does the project involve the conversion or degrading of natural habitats?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client demonstrated that there are no other viable alternatives within the region for the development of the project on a modified habitat?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client conducted consultations with stakeholders, including affected communities, with respect to the extent of conversion and degradation?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client adopted the mitigation hierarchy with respect mitigation of conversion or degradation?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client provided mitigation measures designed to achieve no net loss of biodiversity?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client provided measures that avoid impacts on biodiversity through the identification and protection of set asides?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client implemented measures to minimize habitat fragmentation, such as biological corridors?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client restored habitats during operations and/or after operations?	<input type="checkbox"/>	<input type="checkbox"/>	
Critical Habitat			
Is the client operating or planning to operate in a habitat of high biodiversity value, including habitats with significant importance to critically Endangered and/or Endangered species?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 6-1: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
Is the client operating or planning to operate in a habitat of significant importance to endemic and/or restricted range species?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the client operating or planning to operate in an a habitat supporting globally significant concentrations of migratory species and/or congregatory species?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the client operating or planning to operate in a habitat of highly threatened and/or unique ecosystems?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the client operating or planning to operate in a habitat associated with key evolutionary processes?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client demonstrated that no other viable alternatives within the region exist for development of the project on modified or natural habitats that are not critical?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client demonstrated that the project does not lead to measurable adverse impacts on diversity values for which the critical habitat was designated, and on the ecological processes supporting those biodiversity values?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client demonstrated that the project does not lead to a net reduction in the global and/or national/regional population of any Critically Endangered or Endangered species over a reasonable period of time?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client demonstrated that a robust, appropriately designed, and long – term biodiversity monitoring and evaluation program is integrated into the client’s management program?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client provided a Biodiversity Action Plan?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the action plan include i) a Biodiversity monitoring and evaluation program and ii) the project’s mitigation strategy	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 6-1: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
Has the client demonstrated through an assessment that the project's significant residual impacts on biodiversity will be adequately mitigated?	<input type="checkbox"/>	<input type="checkbox"/>	
Legally Protected and Internationally Recognized Areas			
Is the proposed project located within a legally protected area or an internationally recognized area?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client demonstrated that the proposed development in such areas is legally permitted?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client demonstrated that they will act in a manner consistent with any government recognized management plans?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client consulted protected area sponsors and managers, Affected Communities, Indigenous Peoples and other stakeholders on the proposed project, as appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client implemented additional programs, as appropriate, to promote and enhance the conservation aims and effective management of the area?	<input type="checkbox"/>	<input type="checkbox"/>	
Invasive Alien Species			
Has the client introduced or plans to introduce any new alien species (not currently established in the country or region of the project)?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the client compliant to existing regulatory frameworks for the introduction of any new alien species?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the client intend to introduce any alien species with a high risk of invasive behaviour?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client presented a risk assessment (as part of the client's environmental and social risks and impacts identification process) to determine the potential for invasive behaviour?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 6-1: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
Has the client implemented measures to avoid the potential for accidental or unintended introductions including the transportation of substrates and vectors (such as soil, ballast, and plant materials) that may harbour alien species?	<input type="checkbox"/>	<input type="checkbox"/>	
In the case where alien species are already established in the country or region of the proposed project, has the client diligently prevented the spreading of alien species into areas in which they have not already been established?	<input type="checkbox"/>	<input type="checkbox"/>	
Management of Ecosystem Services			
Has the client conducted a systematic review to identify priority ecosystem services where a project is likely to adversely impact ecosystem services?	<input type="checkbox"/>	<input type="checkbox"/>	
Will the project operations most likely have an impact and, therefore, result in adverse impacts on Affected Communities?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the project directly dependent on ecosystem services for its operations?	<input type="checkbox"/>	<input type="checkbox"/>	
Have affected communities participated in the determination of priority ecosystem services in accordance with the stakeholder engagement process as defined in Performance Standard 1?	<input type="checkbox"/>	<input type="checkbox"/>	
Will the project impact on priority ecosystem services of relevance to Affected Communities where the client has direct management control or significant influence?	<input type="checkbox"/>	<input type="checkbox"/>	
In the case where impacts are unavoidable, has the client minimized and implemented mitigation measures that aim to maintain the value and functionality of priority services?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client minimized impacts on ecosystem services and implemented measures that increase resource efficiency of their operations, as described in performance standard 3?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 6-1: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
Sustainable Management of Living Natural Resources			
Is the client engaged in the primary production of living natural resources, including natural and plantation forestry, agriculture, animal husbandry, aquaculture, and fisheries?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client located land – based agribusiness and forestry projects on unforested land or land already converted?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client demonstrated that they are managing living natural resources in a sustainable manner, through the application of industry – specific good management practices and available technologies?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client implemented sustainable management practices to one or more relevant and credible standards as demonstrated by independent verification or certification?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client demonstrated that the adopted standards are i) objective and achievable? ii) Founded on a multi stakeholder consultative process? iii) Encourage step – wise and continual improvements? iv) Provide for independent verification or certification through appropriate accredited bodies?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client conducted a pre – assessment of its conformity to the applicable relevant and credible standard(s) and taken actions to achieve such verification or certification over an appropriate period of time?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client committed to applying good international industry operating principles, management practices, and technologies?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client actively engaged and supported the development of a national standard, where relevant, including studies that contribute to the definition and demonstration of sustainable practices?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 6-1: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
Has the client conducted a pre – assessment of its conformity to the applicable relevant and credible standard(s) and taken actions to achieve such verification or certification over an appropriate period of time?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client committed to applying good international industry operating principles, management practices, and technologies?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client actively engaged and supported the development of a national standard, where relevant, including studies that contribute to the definition and demonstration of sustainable practices?	<input type="checkbox"/>	<input type="checkbox"/>	
Supply Chain			
Does the client have significant management control or influence over its primary suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client put in place systems and verification practices adopted as part of the client’s ESMS to evaluate its primary suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the systems and verification practices identify where the supply is coming from and the habitat type of this area?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the systems provide for an ongoing review of the client’s primary supply chains?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the systems limit procurement to those suppliers that can demonstrate that they are not contributing to significant conversion of natural and/or critical habitats?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the systems, where possible, require actions to shift the client’s primary supply chain over time to suppliers that can demonstrate that they are not significantly adversely impacting the areas they operate in?	<input type="checkbox"/>	<input type="checkbox"/>	

Performance Standard 7: Indigenous Peoples

Introduction. The Bank recognises that all policies, practices, programmes and activities developed and implemented by the promoter should pay special attention to the rights of vulnerable groups. Such groups may include indigenous people, ethnic minorities, women, migrants, the very young and the very old. The standard recognises that *Indigenous Peoples* in Zambia comprise social groups distinct from mainstream society, who can include the most marginalised and economically, socially, and legally vulnerable community segments in which they reside.

Objectives

- To assist the client, ensure that the development process respects Indigenous Peoples human rights, dignity, aspirations, culture, and natural resource-based livelihoods.
- To anticipate and avoid adverse project impacts on Indigenous Peoples communities, or when avoidance is not possible, to minimise and/or compensate for such impacts.
- To promote sustainable development benefits and opportunities for Indigenous Peoples in a culturally appropriate manner.
- To ensure the Free Prior Informed Consent (FPIC) is undertaken where projects impact on the livelihood, lands, and natural resources of the indigenous people.
- To ensure that projects establish and maintain ongoing relationships with the indigenous people affected by it throughout the project's life cycle, based on informed consultation and participation.
- To ensure that project implementation respects and preserves knowledge, culture and practices of indigenous people.

Scope of Application. The DBZ adopts the definition of *Indigenous Peoples* as comprising a distinct social and cultural group with common characteristics of:

- i) Self - identification to a distinct cultural group whose identity is recognised by others;
- ii) Collective attachment to geographically distinct habitats or ancestral territories;
- iii) Possessing separate customary cultural, economic, social or political institutions from those of mainstream society; and
- iv) Practising a distinct dialect or language.

The standard therefore applies to any community or group of indigenous peoples who maintain a collective attachment or have lost the collective attachment to distinct habitats or ancestral territories in the project area. The client will, however, be required to seek inputs from competent professionals to ascertain whether a particular group is considered as Indigenous Peoples.

Requirements

1. General

- i) *Avoidance of Adverse Impacts.* The client will through an environmental and social risks and impacts assessment process identify all communities of Indigenous Peoples who may be affected by the project. Any adverse impacts on affected communities shall be avoided or explore alternatives where possible.
- ii) *Participation and Consent.* The client will undertake an engagement process with the Affected Communities of Indigenous Peoples through stakeholder analysis and engagement planning, disclosure of information, consultation and participation. The client shall in such circumstances obtain the FPIC.

2. Circumstances Requiring Free, Prior, and Informed Consent

- i) *Impacts on Lands and Natural Resources Subject to Traditional Ownership or Under Customary Use.* The client will avoid and otherwise minimize the area of land proposed for the project if the project is to be situated on land that is traditionally owned by, or under the customary use of, Indigenous Peoples and adverse impacts are expected. The same shall apply on use of natural resources and areas
- ii) *Relocation of Indigenous Peoples from Lands and Natural Resources Subject to Traditional Ownership or Under Customary Use.* The client will consider feasible alternative project designs to avoid the relocation of Indigenous Peoples from communally held lands and natural resources subject to traditional ownership or under customary use. If such cannot be done, the client will not proceed with the project unless FPIC has been obtained.
- iii) *Critical Cultural Heritage.* Where a project may significantly impact on critical cultural heritage, priority will be given to the avoidance of such impacts and where the impacts are unavoidable, the client will obtain the FPIC of the affected communities of Indigenous Peoples.

3. Mitigation and Development Benefits

The client and the affected communities of Indigenous Peoples will identify mitigation measures in alignment with the mitigation measures in alignment with the mitigation hierarchy. The client will ensure the timely and equitable delivery of agreed measures to the affected communities and Eligibility compensations.

4. Private Sector Responsibilities Where Government is Responsible for Managing Indigenous Peoples Issues

Where the government has a defined role in the management of Indigenous Peoples issues in relation to the project, the client will collaborate with the responsible government agency, to the extent feasible and permitted by the agency, to achieve outcomes that are consistent with the objectives of this Performance Standard. The client will actively participate in the process in instances where the government's capacity is limited.

5. Documentation Required from the Client

- Socio Economic Assessment
- Indigenous Peoples Plan

ANNEX 7-1: Client Responsibility and Requirements

REQUIREMENTS	YES	NO	COMMENTS
General			
Has the client identified any community of Indigenous Peoples within the project area?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client engaged competent professionals to ascertain whether the group is considered as Indigenous Peoples?	<input type="checkbox"/>	<input type="checkbox"/>	
Will the project have any adverse impacts on the affected communities of Indigenous Peoples?	<input type="checkbox"/>	<input type="checkbox"/>	
Where such adverse impacts cannot be avoided or minimized, does the client have a compensation plan in place?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client undertaken an engagement process with the Affected Communities of Indigenous Peoples?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client through engagements obtained the FPIC?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client documented the accepted process and has an agreement in place as an outcome of the negotiations?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the client proposing to locate a project on, or commercially develop natural resources on lands traditionally owned by, or under the customary use of, Indigenous Peoples?	<input type="checkbox"/>	<input type="checkbox"/>	
Are there any envisaged adverse impacts and if so, has the client undertaken all steps to ensure that the affected community know their rights, benefit sharing and have a plan for compensation?	<input type="checkbox"/>	<input type="checkbox"/>	
Will the project design cause relocation of Indigenous Peoples from communally held lands and natural resources subject to traditional ownership or under customary use.?	<input type="checkbox"/>	<input type="checkbox"/>	

ANNEX 7-1: Client Responsibility and Requirements (Cont.)

REQUIREMENTS	YES	NO	COMMENTS
If relocation is unavoidable, has the client obtained the FPIC?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the project likely to significantly impact on critical cultural heritage that is essential to the identity and/or cultural, ceremonial, or spiritual aspects of Indigenous Peoples lives?	<input type="checkbox"/>	<input type="checkbox"/>	
If the significant project impacts on critical cultural heritage are unavoidable, has the client obtained the FPIC?	<input type="checkbox"/>	<input type="checkbox"/>	

Performance Standard 8: Cultural Heritage

Introduction. The standard recognises the importance of preservation of cultural heritage to promote equitable sharing of benefits among current and future generations. It aims to ensure that clients protect cultural heritage in the course of their project activities. The Standard is consistent with the convention concerning the protection of the World Cultural and Natural Heritage and its requirements are based in part on standards set by the convention on Biological Diversity.

Objectives

- To protect cultural heritage from the adverse impacts of project activities and support its preservation
- To promote the equitable sharing of benefits from the use of cultural heritage

Scope of Application. The DBZ adopts the definition of cultural heritage as referring to:

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

The standard therefore applies to any cultural heritage regardless of whether or not it has been legally protected or previously disturbed. The client will during the project life cycle consider potential project impacts to cultural heritage and will apply the provisions of this standard. However, this performance standard does not apply to cultural heritage associated with Indigenous peoples as this is covered under Performance Standard 7.

Requirements

1. Protection of Cultural Heritage in Project Design and Execution

The client will ensure to adhere and implement both Zambian and Internationally recognized practices for the protection, field based study and documentation of cultural heritage, and if a chance of impacts to cultural heritage exist, the client will retain competent professionals to assist in the identification and protection of cultural heritage.

- i) *Chance Find Procedures*⁸. The client will through an environmental and social risks and impacts assessment process determine whether the proposed location of the project is in areas where cultural heritage is expected to be found. As such, the client will develop provisions for managing chance finds through a chance find

⁸ A chance find procedure is a project-specific procedure that outlines the actions to be taken if previously unknown cultural heritage is encountered.

procedure which will be applied in the event that cultural heritage is subsequently discovered.

- ii) *Consultation*. Where the project may affect cultural heritage, the client will consult the affected communities to identify the heritage of importance, and to incorporate into the client's decision-making process the views of the affected communities on such cultural heritage. The relevant authorities shall be consulted too.
- iii) *Community Access*. The client will allow continued access to the cultural sites or provide a safe, secure and healthy alternative access route in instances where the clients project site contains cultural heritage or prevents access to previously accessible cultural heritage sites.
- iv) *Removal of Replicable Cultural Heritage*⁹. Where the client has encountered tangible cultural heritage that is replicable and not critical, the client will apply mitigation measures that favour avoidance. Where avoidance is not feasible, the client will apply a mitigation plan.
- v) *Removal of Non-Replicable*¹⁰ *Cultural Heritage*. The client will not remove any nonreplicable cultural heritage unless there are no technically or financially feasible alternatives to removal, the overall benefits of the project conclusively outweigh the anticipated cultural heritage loss from removal and any removal of cultural heritage is conducted using the best available technique.
- vi) *Critical Cultural Heritage*. The client should not remove, significantly alter, or damage critical cultural heritage. In exceptional circumstances when impacts on critical cultural heritage are unavoidable, the client will use a process of ICP of the Affected Communities. When dealing with Legally protected cultural heritage areas, the client, in addition to the requirements for critical cultural heritage, will comply with defined national or local cultural heritage regulations or the protected area management plans, Consult the protected area sponsors and managers, local communities and other key stakeholders on the proposed project and implement additional programs, appropriate, to promote and enhance the conservation aims of the protected area.

⁹ Replicable cultural heritage is defined as tangible forms of cultural heritage that can themselves be moved to another location or that can be replaced by a similar structure or natural features to which the cultural values can be transferred by appropriate measures. Archeological or historical sites may be considered replicable where the particular eras and cultural values they represent are well represented by other sites and/or structures.

¹⁰ Nonreplicable cultural heritage may relate to the social, economic, cultural, environmental, and climatic conditions of past peoples, their evolving ecologies, adaptive strategies, and early forms of environmental management, where the (i) cultural heritage is unique or relatively unique for the period it represents, or (ii) cultural heritage is unique or relatively unique in linking several periods in the same site.

2. Project's Use of Cultural Heritage

Where a project proposes to use the cultural heritage, including knowledge, innovations, or practices of local communities for commercial purposes, the client will engage the communities and will not proceed with such commercialization unless it enters into a process of ICP.

3. Documentation Required from the Client

For high risk and medium risk projects the following documents are required, where applicable to the project:

- Cultural Heritage Management Plan
- Chance Find Procedure

ANNEX 8-1: Client Responsibility and Requirements

REQUIREMENTS	YES	NO	COMMENTS
Working Conditions and Management of Worker Relationship			
Has the client conducted a review of the legal and institutional framework applicable to cultural heritage?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client identified whether the proposed location of the project is in areas where cultural heritage is expected?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client identified any cultural heritage and retained competent professionals to assist in the protection of the cultural heritage?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client developed a chance find procedure?	<input type="checkbox"/>	<input type="checkbox"/>	
Have the affected communities and regulatory agencies been consulted?	<input type="checkbox"/>	<input type="checkbox"/>	
Will the project site contain cultural heritage or prevent access to previously accessible cultural heritage sites?	<input type="checkbox"/>	<input type="checkbox"/>	
Will the project allow accessibility to cultural heritage sites?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client encountered tangible cultural heritage that is replicable?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client encountered cultural heritage that is nonreplicable?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the client used the process of ICP of the affected communities with regards critical cultural heritage?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the project located within a legally protected area or legally defined buffer zone?	<input type="checkbox"/>	<input type="checkbox"/>	
Will the project use the cultural heritage for commercial purposes?	<input type="checkbox"/>	<input type="checkbox"/>	