

# Annex 6: Environmental and Social Management Framework E-Mobility Program



## Abbreviations

ADB	Asian Development Bank
AE	Accredited Entity
APR	Annual Performance Reports
BEB	Battery-Electric Bus
CAP	Corrective Action Plan
DMC	Developing Member Countries
EE	Executing Entity
EHS	Health and Safety
EIA	Environmental Impact Assessment
EMP	Environmental Management Plan
ESMF	Environmental and Social Management Framework
ESS	Environmental and Social Safeguards
EV	Electric Vehicles
FI	Financial Intermediaries
GCF	Green Climate Fund
GHG	Greenhouse gas
GRM	Grievance Redress Mechanism
IEE	Initial Environmental Examination
IPP	Indigenous People Plan
LCV	Light commercial vehicle
NMT	non-motorized transport
RP	Resettlement Plan
SPS	Safeguard Policy Statement

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## I. Introduction

1. The Environmental and Social Management Framework (ESMF) of the E-mobility Program (the program) has been developed to ensure that environmental and social risks and potential impacts from all activities under the program will be minimized and mitigated to acceptable levels. The ESMF sets out the principles, requirements, procedures, and guidelines for conducting due diligence and review of environmental and social issues for potential projects under the Program. All projects under the E-Mobility Program will be subject to ADB's safeguards policies and requirements as outlined in ADB's Safeguard Policy Statement (SPS)<sup>1</sup> and align with GCF Environmental and Social Safeguards (ESS) standards. Should ADB safeguards policy be amended over the course of the program, the ADB safeguards requirements applicable at the time of preparation of the project will be applied. With respect to any project that will trigger ADB IP Safeguards, we will ensure that FPIC (as defined in GCF Policy) is obtained as part of project preparation.

2. ADB's SPS aims to assist developing member countries (DMCs) address environmental and social sustainability in development projects. The SPS will help minimize and mitigate, if not avoid, adverse impacts on people and the environment. Approved by ADB's Board of Directors in July 2009, the ADB SPS comprises three safeguard policies: Environment, Involuntary Resettlement, and Indigenous Peoples. In the SPS's implementation, ADB will work with partners to put policy principles and requirements into practice through project review, assessment, categorization, implementation (e.g., risk mitigation and management measures), institutional arrangements, and other procedures. The SPS also provides a platform for participation and consultation among affected people and other stakeholders in design and implementation.

3. ADB's SPS involves a structured process of impact screening, assessing, and planning mitigation to address the risk and adverse effects of projects throughout the project cycle. The safeguard policies require that (i) impacts are identified and assessed early in the project cycle; (ii) plans to avoid, minimize, mitigate, or compensate for the potential adverse impacts are developed and implemented; and (iii) affected people are informed and consulted during project preparation and implementation.

### A. Background of the E-Mobility Program

4. The E-Mobility Program or the program is designed to foster the deployment of large-scale battery electric bus (BEB) fleet in 7 (seven) countries including Armenia, Georgia, Indonesia, Kazakhstan, Kyrgyz Republic, Nepal, and Uzbekistan. By improving public transport (PT) and non-motorized transport (NMT) system and infrastructure, and urban climate resilience, the program will help the program countries enhance their climate resilience, reduce their greenhouse gas (GHG) emissions, improve air quality, as well as boost economic growth by creating jobs, reducing fuel import bills, and decreasing health costs.

5. The program will use GCF financing to leverage resources from ADB and other co-financing partners and governments. The program will demonstrate the establishment and operation of commercial BEBs, upscale electric mobility, and create a transformational shift towards a low carbon development in the region. The program comprises four components:

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<sup>1</sup> ADB. 2009. *Safeguard Policy Statement*. Manila. <https://www.adb.org/documents/safeguard-policy-statement>

climate resilient urban transport infrastructure, public transport and non-motorized transport upgrading, deployment of BEBs, and preparation of a climate resilient e-mobility framework.

6. **Component 1: Climate Resilient Urban Transport Infrastructure.** This component intends to increase climate resilience of urban transport infrastructure. The selection of the climate adaptation measures will depend on respective climate risk and vulnerability context, PT and NMT interventions, and the city's baseline situation and plans. The component may involve the following activities:

- Construction of bioswales or channels designed to concentrate and convey stormwater runoff while removing debris and pollution.
- Application of green pavement technology including permeable road pavements and reflective pavements.
- Cover pedestrian pathways with parasols and urban forestation.
- Climate-proofing of bus terminals and depots, bus passenger transfer facilities, vehicle maintenance facilities, and battery charging centers.

7. **Component 2: Public Transport and Non-Motorized Transport Upgrading.** The program will provide support to increase public transport ridership and non-motorized transport by improving public transport operation efficiency and effectiveness of public transport and non-motorized transport attractiveness. The component may involve the following activities:

- Construction of dedicated lanes for buses, bicycles, and pedestrian.
- Universal access to public transport system
- Road junction improvements
- Transport operation and management improvement (NMT and pedestrian planning, fare integration, electronic fare collection, bus route restructuring, improvement of bus management operations, parking management)
- Construction of Transit Operation Development (TOD)
- Improving last-mile mobility services including (electric) micro-mobility.

8. **Component 3: Deployment of e-bus fleets.** The program will deploy large-scale BEBs to prove their technical and commercial viability and will invest in associated facilities. The program will also support the development of business models for BEB operations including e-bus leasing and Public Private Partnerships. BEB subcomponents should include comprehensive training and capacity building for operation and maintenance of the BEBs. The component may involve the following activities:

- Purchase or leasing and operation of BEBs.
- Installation of appropriate BEB charging technology stations
- Purchase and operation of renewable energy generation
- Capacity building for BEB operation and maintenance

9. **Component 4: Preparation of a climate resilient e-mobility framework.** The program will help prepare projects to be financed under the program and develop sound policy frameworks for massive deployment of electric vehicles. The component may involve the following activities:

- Program management assistance.
- Technical assistance for project preparation including pre- and full feasibility assessment, legal, institutional, financial,

- Advisory services on possible business model development, e-mobility framework.
- Capacity building and training on various topics including e-bus technology, operation, and maintenance; gender and inclusiveness in urban transport design.
- Support of enabling public policies for EV deployment.
- Knowledge sharing and learning from project design and implementation.

10. **Implementation arrangements.** The program will be managed by ADB as GCF Accredited Entity. ADB will be responsible for arranging and administering concessional finance, grants, and technical assistance funds from GCF under the program. The funds will be provided alongside ADB funds and/or other co-financiers. ADB will set up a dedicated team to manage and oversee the program implementation.

## B. Risk categorization of the E-Mobility Program

11. Environmental and social risks are expected primarily from the civil works and BEB operation. Component 2 types has two activities: civil works and system planning and policy development. Development of system planning and policy development under component 2 and capacity building activities under components 3 and 4 are not expected to generate environmental and social risks.

12. **Civil works: construction** works will be required to implement components 1 and 2, and some activities of component 3 especially the installation of charging stations and construction of the renewable energy generation facilities. Environmental and social impacts are expected to happen during the preconstruction, construction, and operation phase. Land acquisition may be required for the construction of dedicated lane for buses, bicycle, pedestrian path, renewable generation facilities. Environment and social impacts are expected from the civil works (drainage, bioswales, parasols, road junctions, TOD) and the application of green pavement technologies and urban forestation.

13. **BEB operation and maintenance:** the deployment of BEBs is predicted to create environmental and social risks during the operation phase and have no or limited impacts during pre- and construction phase. The program anticipates critical risks of used batteries. Used EV batteries are an issue of concern in all countries which foster e-mobility. ADB will work with the partner countries under Component 4 to develop sound policies and regulations to avoid negative impacts of used EV batteries. This includes strategies, policies, and regulations in battery re-use, battery recycling, and battery disposal.

14. While environmental and social risks are based on country and context specific, in general, projects under the program could entail a cluster of risks that must be minimized and mitigated through the ESMF. A summary of these risks is presented in Table 1.

15. Using ADB's Good Practice Note for Addressing Sexual Exploitation, Abuse and Harassment (GPN)<sup>2</sup> and guidance regarding the proportionality of measures, SEAH risk assessment will be conducted for each individual project in parallel with the environmental and social risk assessment. SEAH risk mitigation and response actions will be included in the project SEAH action plan to be implemented by the project executing/Implementing agency EA/IA and contractors' action plan to ensure affective mitigation and response. To ensure contractors accountability on SEAH, procurement requirements will be included in the standard bidding

<sup>2</sup> ADB. 2023. *Good Practice Note on Addressing Sexual Exploitation, Abuse, and Harassment in ADB-Financed Projects with Civil Works*. Manila.

documents and contract templates. Requirements for contractor's code of conduct and training on SEAH misconduct will be mandatory for all project contractors, irrespective of SEAH risk categorization. Anticipated SEAH risk during construction and operation are in Table 2.

**Table 1 Anticipated environmental and social risks in projects.**

Project scope of work	Examples of Anticipated Risks in Projects			Likely ADB Categories*
	Environment	Social		
		Involuntary Resettlement	Indigenous Peoples	
<ul style="list-style-type: none"><li>• Civil works (component 1 and 2; and some of component 3)</li></ul>	<ul style="list-style-type: none"><li>• Land impact/conversion</li><li>• Generation of wastes, noise, vibration, and dust.</li><li>• Soil erosion, land degradation and pollution of waterways arising from clearing, earth movements, grubbing, excavations, and stockpiling of materials</li><li>• Labor, safety, and health</li><li>• Increased water runoff</li></ul>	<ul style="list-style-type: none"><li>• Resettlement (temporary and permanent)</li><li>• Land acquisition</li><li>• Livelihood impacts</li><li>• Affordability of new transport (for (vulnerable and youth)</li><li>• Risks associated with influx of labor such as spread of communicable diseases (including Covid-19, STIs and HIV/AIDS)</li></ul>	<ul style="list-style-type: none"><li>• IP may be affected in certain cities, assurance of the process for broad community support is applied.</li></ul>	B and C
<ul style="list-style-type: none"><li>• BEB operation (component 3)</li></ul>	<ul style="list-style-type: none"><li>• Labor, safety, and health risks</li><li>• Road crashes</li><li>• Soil contamination from BEB maintenance facilities</li><li>• Contamination of land and groundwater from used batteries</li></ul>	<ul style="list-style-type: none"><li>• Not relevant</li></ul>	<ul style="list-style-type: none"><li>• None</li></ul>	B and C
<ul style="list-style-type: none"><li>• System planning, technical assistance, and capacity building</li></ul>	<ul style="list-style-type: none"><li>• None</li></ul>	<ul style="list-style-type: none"><li>• None</li></ul>	<ul style="list-style-type: none"><li>• None</li></ul>	Not relevant

\*Safeguard categorization B and C follows ADB SPS (2009)

**Table 2 Anticipated SEAH risks in projects**

<b>Anticipated risk during constructions</b>	<b>Mitigation measures</b>	<b>Anticipated risk in operations</b>	<b>Mitigation measures</b>
Female workers may be targeted for SEAH by male workers	Code of conduct signed by all workers, training and awareness raising activities, effective reporting mechanism with multiple reporting channels	Female transport workers may be sexually harassed by male colleagues	Code of conduct signed by the workers, training and awareness raising activities, reporting mechanism and effective response system
		Male supervisor may use position of power to sexually harass female colleagues	Strong HR procedures, Code of conduct signed by the workers, training awareness raising activities, reporting mechanism
Women, girls, and boys, or other vulnerable groups from the community may be targeted for SEAH by construction workers	Code of conduct signed by all workers, training and awareness raising activities, effective reporting mechanism with multiple reporting channels	Passengers experience threatening and unwelcome behavior including sexual abuse and harassment while using public transport	Gender responsive designs and safety measures, including visible signages/screens, with reporting channels, trained staff and responding mechanisms.

16. ADB's initial project gender categorization provides an entry point to think about how to further enhance and strengthen systems, policies, and practices to prevent, mitigate, and respond to SEAH. Projects categorized gender equity theme or effective gender mainstreaming embark on gender work that entails the preparation of gender action plans in which proactive gender designs to address potential GBV and SEAH risks can be added above and beyond the project's "do-no-harm" measures. This may include helping develop institutional SEAH policies and response protocols for executing and/or implementing agencies or strengthening the capacity of service providers and government stakeholders to prevent, mitigate, and respond to SEAH risks.

17. The program is categorized as B under GCF's environmental and social risk categorization with 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.

### **C. Principles underpinning the E-Mobility Program Environmental and Social Management Framework**

18. The ESMF has been formulated in compliance with ADB's SPS to identify and effectively address potential risks and impacts from projects funded under the program. Every project will be initially reviewed for technical and financial merit before subject to safeguards screening, review, and assessment in accordance with the ESMF. These procedures will apply to any project that utilizes GCF funds (through the program).

19. This ESMF sets out the screening, categorization, and appraisal procedures for all qualified projects to be financed under the program. The objectives of this ESMF are to:



- (i) avoid any direct, indirect, and potential adverse environmental and social impacts/risks of projects that it supports;
- (ii) minimize or mitigate adverse environmental and social impacts/risks;
- (iii) ensure that minimization or mitigation of environmental and social impacts and risks meet the requirements of national laws and regulations, and ADB's environmental and social safeguard requirements;
- (iv) guide borrowers in preparing projects for appraisal by ADB, and in monitoring, reporting, and in undertaking corrective actions, if any;
- (v) ensure that effective mechanisms are in place for safeguard compliance during project implementation, and to undertake corrective actions, if required;
- (vi) develop institutional capacity among the borrowers for safeguards compliance; and
- (vii) in applying the above, ensure that ADB applies all of its own safeguards (including indigenous peoples) policies and procedures that enable it to comply with GCF ESS standards and IPP.

20. Individual projects proposed under the program shall comply with all environmental and social safeguard requirements under the SPS 2009. It is important to note that the ESMF is a living document, which can be revised if necessary. This version of the ESMF will be effective for at least one year after the program is effective. Its effectiveness will be reviewed by ADB after one year and can be revised subject to ADB's review and concurrence.

21. The ESMF presents the roles, responsibilities, and procedures in place to avoid, minimize, and mitigate any direct, indirect, cumulative, and induced:

- (i) adverse impacts and/or risks on the environment;
- (ii) adverse impacts and risks of involuntary resettlement; and
- (iii) adverse impacts on indigenous peoples and their communities that may arise from the implementation of such projects.

22. All projects under the E-Mobility Program will be co-financed and processed by ADB and will be subject to achieving the objectives and requirements of ADB's SPS. In addition, and as required by ADB's SPS, ADB will adopt IFC Environmental, Health and Safety (EHS)<sup>3</sup> to formulate an Environmental and Social Management Framework (ESMF) in compliance with ADB's SPS. The interim ESS standards currently applied by the GCF are the International Finance Corporation (IFC) Environmental and Social Performance Standards. As an accredited entity of the GCF, ADB's SPS and procedures at an institutional level are aligned with GCF ESS standards. With respect to any project that will trigger ADB IP Safeguards, we will ensure that FPIC (as defined in GCF Policy) is obtained as part of project preparation.

23. In accordance with ADB's SPS, ADB will not finance projects that do not comply with its safeguard policy statement, nor will it finance projects that do not comply with the host country's

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<sup>3</sup> International Finance Corporation. *Environmental, Health and Safety Guidelines*. [www.ifc.org/ehsguidelines](http://www.ifc.org/ehsguidelines)

social and environmental laws and regulations, including those laws implementing host country obligations under international law. In addition, ADB will not finance activities on the prohibited investment activities list (ADB SPS, Appendix 5). Only ADB safeguard categories B and C projects will be considered, and the ADB safeguards requirements will apply to avoid, minimize, mitigate, and compensate potential risks and impacts.

24. In the implementation of this ESMF and ADB's SPS, ADB will work with borrowers to ensure that all potential projects under the program will:

- (i) be screened, categorized, and properly appraised in terms of their environmental and social impacts and risks in line with ADB's SPS and agreed actions, if any, are identified to fill gaps.

- (ii) be reviewed and evaluated against national policies, laws, regulations and standards on environment, health, safety; involuntary resettlement and land acquisition; indigenous peoples and physical cultural resources; and meaningful public consultation;

- (iii) address gender and development issues, including through meaningful consultations where relevant (including women and tailored to the needs of disadvantaged and vulnerable groups);

- (iv) establish a grievance redress mechanism (GRM) to receive and facilitate resolution of the affected people's concerns and grievances regarding the project's environmental and social safeguards performance.

- (v) include in contracts with civil works contractors, subcontractors and other providers of goods and services provisions to employ local labor wherever possible, and to ensure compliance with ADB's social safeguards requirements and international core labor standards, as defined in ADB's Core Labor Standards Handbook<sup>4</sup>.

25. In line with ADB's policies and procedures, the program will commit to: (i) avoid, and where avoidance is impossible, mitigate adverse impacts to people and the environment; (ii) avoid, and where avoidance is not possible, mitigate the risks of sexual exploitation, sexual abuse and sexual harassment (SEAH) to people impacted by GCF-financed activities; (iii) enhance equitable access to development benefits; and (iii) give due consideration to persons vulnerable positions and situations marginalized populations, groups, and individuals, including women and girls, local communities, indigenous peoples, and other marginalized groups of people and individuals that are affected or potentially affected by GCF-financed project activities and are especially vulnerable to exploitation or other potentially harmful or unintended impacts.

## II. Environmental and Social Management Framework for E-Mobility Program

26. ADB's Safeguard Policy Statement (SPS) aims to promote the sustainability of project outcomes by protecting the environment and people from projects' potential adverse impacts. The SPS sets out the policy objectives, scope, triggers, and principles for three key safeguard areas: (i) 11 policy principles of Environmental safeguards (ADB SPS, p.16), (ii) 12 policy principles

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<sup>4</sup> ADB, ILO. 2006. *Core Labor Standards Handbook*. Manila.

Involuntary Resettlement safeguards (ADB SPS, p.17), and (iii) 9 policy principles of Indigenous Peoples safeguards (ADB SPS, p. 18).

27. The objectives of ADB's safeguards are to

- (i) avoid adverse impacts of projects on the environment and affected people, where possible;
- (ii) minimize, mitigate, and/or compensate for adverse project impacts on the environment and affected people when avoidance is not possible; and
- (iii) help borrowers/clients to strengthen their safeguard systems and develop the capacity to manage environmental and social risks.

28. ADB adheres to the objectives of the safeguards and is committed to their delivery. ADB assumes the responsibility for conducting due diligence and for reviewing, monitoring, and supervising projects throughout the ADB's project cycle in conformity with the principles and requirements embodied in the SPS. By adhering to its social and environmental safeguards, ADB enhances the predictability, transparency, and accountability of its actions and decision making; helps borrowers/clients manage social and environmental impacts and risks; and promotes the long-term sustainability of investments. Transforming this commitment into results on the ground depends on shared, but differentiated, efforts by ADB and its borrowers/clients.

#### **A. Roles, responsibilities, and capacity**

29. ADB's SPS outlines the role and responsibilities of ADB as well as of borrowers/clients. Borrowers/clients are required to undertake social and environmental assessments, carry out meaningful consultations with affected people and communities, prepare and implement safeguard plans, monitor the implementation of these plans, and prepare and submit monitoring reports. ADB's role is to inform policy requirements to borrowers/clients, help borrowers/clients meet those requirements during project processing and implementation, ensure due diligence and review, and provide monitoring and supervision. ADB's role in monitoring safeguard compliance also continues during project implementation. ADB oversees project completion reports and project performance evaluation reports include review of the implementation of safeguards are under.

#### **B. Safeguards Management Requirements for Governments**

30. This ESMF is fully integrated with the project cycle requirements of ADB. The due diligence process described is initiated early in the project cycle when the project is being considered for financing from ADB. If compliance of all ADB safeguard requirements cannot be met, the project will not be financed by ADB and cannot access financing under the program. For all ADB projects financed, the processes described in the ESMF will remain active until ADB's exposure to the project is completed.

31. The procedures to be followed under this ESMF are summarized here and described in detail in the ADB SPS. Key steps include screening, categorization, due diligence, compliance monitoring, and reporting, all of which are described in the following sections. Templates and guidance for the preparation of Environmental Impact Assessment (EIA), Initial Environmental Examination (IEE), resettlement and indigenous people's plans are provided in the annex. Given that the ADB's screening and categorization is central in pointing to the specific types of

assessments/plans and reporting required the borrowers/clients will be advised not to prepare plans before project categorization is approved by ADB.

32. As part of the implementation of ADB SPS, assessments of national policy, regulations and standards on environment, resettlement and indigenous peoples will be conducted at the project level. This also includes an assessment of implementation capacity of borrowers, and should there be gaps, ADB can support capacity building if required.

## C. Safeguard procedures

### 1. Screening and Categorization

33. ADB, in consultation with the borrower, will screen and categorize the project based on the significance of the potential impacts and risks on the environment, involuntary resettlement, and indigenous peoples. ADB's sector-based rapid assessment checklists are used to assist with screening and categorization (Annex 1). Based on the rapid assessment, ADB assigns one of the environmental categories listed in Table 2. For all projects, borrowers will ensure that all applicable national regulative requirements are followed.

34. Links to categorization forms used by ADB staff for this purpose are given in Annex 1, Annex 2, and Annex 3. The checklists will point to the significance of impacts associated with the project, classifying it as Category B or C (Table 2 and 3). If the project involves investment of funds through a financial intermediary, the project will be classed as FI.

**Table 3 ADB risk screening categories for environment, involuntary resettlement, and indigenous peoples**

ENVIRONMENT
<p>A project's environment category is determined by the category of its most environmentally sensitive component, including direct, indirect, induced, and cumulative impacts. Each proposed project is scrutinized as to its type, location, scale, sensitivity and the magnitude of its potential environmental impacts. The level of detail and comprehensiveness of the EIA or IEE are commensurate with the significance of the potential impacts and risks (ADB SPS 2009).</p> <p><b>Category B.</b> A proposed project is classified as category B if its potential adverse environmental impacts are less adverse than those of category A projects. These impacts are site-specific, few if any of them are irreversible, and in most cases mitigation measures can be designed more readily than for category A projects. An initial environmental examination (IEE), including an EMP, is required.</p> <p><b>Category C.</b> A proposed project is classified as category C if it is likely to have minimal or no adverse environmental impacts. An EIA or IEE is not required, although environmental implications need to be reviewed.</p> <p><b>Category FI.</b> A proposed project is classified as category FI if it involves the investment of ADB funds to, or through, a financial intermediary (paras. 54–59).</p>
INVOLUNTARY RESETTLEMENT
<p>A project's involuntary resettlement category is determined by the category of its most sensitive component in terms of involuntary resettlement impacts. The involuntary resettlement impacts of an ADB-supported project are considered significant if 200 or more persons will experience major impacts, which are defined as (i) being physically displaced from housing, or (ii) losing 10% or more</p>

of their productive assets (income generating). The level of detail and comprehensiveness of the resettlement plan are commensurate with the significance of the potential impacts and risks (ADB SPS 2009).

**Category B.** A proposed project is classified as category B if it includes involuntary resettlement impacts that are not deemed significant. A resettlement plan, including assessment of social impacts, is required.

**Category C.** A proposed project is classified as category C if it has no involuntary resettlement impacts. No further action is required.

**Category FI.** A proposed project is classified as category FI if it involves the investment of ADB funds to, or through, a financial intermediary (paras. 54–59).

## INDIGENOUS PEOPLES

A project's Indigenous Peoples category is determined by the category of its most sensitive component in terms of impacts on Indigenous Peoples. The significance of impacts of an ADB-supported project on Indigenous Peoples is determined by assessing (i) the magnitude of impact in terms of (a) customary rights of use and access to land and natural resources; (b) socioeconomic status; (c) cultural and communal integrity; (d) health, education, livelihood, and social security status; and (e) the recognition of indigenous knowledge; and (ii) the level of vulnerability of the affected Indigenous Peoples community. The level of detail and comprehensiveness of the IPP are commensurate with the significance of potential impacts on Indigenous Peoples. (ADB SPS 2009).

**Category B.** A proposed project is classified as category B if it is likely to have limited impacts on Indigenous Peoples. An IPP, including assessment of social impacts, is required.

**Category C.** A proposed project is classified as category C if it is not expected to have impacts on Indigenous Peoples. No further action is required.

**Category FI.** A proposed project is classified as category FI if it involves the investment of ADB funds to, or through, a financial intermediary (paras. 54–59).

Source: ADB, Operations Manual: Safeguard Policy Statement (2013)

Note: Safeguard category A is excluded for this program.

35. At an initial stage, projects will be screened against ADB's prohibited investment activity list (ADB SPS, Appendix 5). If the project involves a prohibited activity, it will not be eligible for financing by ADB or under the program. Otherwise, ADB will indicate to the borrower the applicable environmental and social safeguards requirements for the project. ADB will review and approve all procedures and reports as prescribed here.

36. Early in the project cycle (typically at project identification stage), ADB, in consultation with the borrower, will screen and categorize the project based on the significance of the potential impacts and risks. ADB's sector-based rapid assessment checklists are used to assist with screening and categorization. Likely environmental, involuntary resettlement impacts and effects on indigenous peoples will be assessed.

37. In line with ADB's policies and procedures on screening and risk categories, among the risks and impacts to be considered include SEAH risks. The program will ensure that the risk category is proportional to the nature, scale and location of activity including in relation to the SEAH. The SEAH risk assessment will be conducted for each individual project in parallel with the environmental and social risk assessment. ADB will adhere to recommendations of the GPN,

with regard to the proportionate measures in addressing SEAH risks in each project. Risk categorization will inform the SEAH due diligence requirements, project SEAH action plan, and procurement requirements.

## **2. Environment Documents to be Prepared**

38. For category B projects, an Initial Environmental Examination (IEE) will be required with an EMP in English. In case the project is at an advanced development stage, the borrower will be required to review the existing reports (national assessments) and other supporting documents including public consultation reports. ADB cleared reports will be disclosed on the ADB website. If gaps exist with ADB requirements, a corrective action plan (CAP) will be prepared and cleared by ADB, to fill gaps and upgrade reports. Templates for IEE reports are included in the ADB SPS (SPS, Appendix 1).

## **3. Social Safeguards Screening and Categorization: Involuntary Resettlement and Indigenous Peoples**

39. ADB SPS requires borrowers to review the project reports to analyze the likely impact on involuntary resettlement and indigenous peoples. Borrowers will have to conduct social due diligence, including one or more site visits, verifying information on potential impacts. This initial due diligence includes completion of Involuntary Resettlement Impact Categorization Checklist (Annex 2) and Indigenous Peoples Impact Screening Checklist (Annex 3). ADB shall assure that borrowers address existing gaps and duly inform ADB of changes.

40. Based on the social safeguard screening checklists, borrowers will recommend a categorization rating based on ADB definitions in accordance with ADB's SPS and record it using the categorization form.

41. If the project is classified as category B for involuntary resettlement (Table 2 for risk screening cutoffs for categorization) an RP will be required and follow the procedures as for category A projects that requires that the Government shall work with the independent consultants to prepare a detailed resettlement plan (RP). Templates for the RP included in the ADB SPS (ADB SPS, Appendix 2). ADB shall be included in consultations during the RP preparations and fieldwork. The draft RP, in English, will be reviewed by ADB. The draft and final RP will be disclosed on the ADB website. In case the project is at an advanced development stage, borrower will review the RP and other supporting documents including public consultation reports. If gaps exist with ADB requirements, a corrective action plan (CAP) shall be prepared and agreed with ADB.

42. According to ADB's SPS, borrowers shall avoid involuntary resettlement, wherever possible; to minimize involuntary resettlement by exploring project and design alternatives; to enhance, or at least restore, the livelihoods of all displaced persons in real terms relative to pre-project levels; and to improve the standards of living of the displaced poor and other vulnerable groups. The involuntary resettlement safeguards cover physical displacement (relocation, loss of residential land, or loss of shelter) and economic displacement (loss of land, assets, access to assets, income sources, or means of livelihoods) because of (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas. It covers them whether such losses and involuntary restrictions are full or partial, permanent, or temporary. All provisions of the ADB SPS (2009) are to be complied with.



43. If the project is classified as category B for indigenous people (Table 2 for risk screening cutoffs for categorization), it follows the procedures as for category A projects that borrower governments will prepare a detailed Indigenous People's Plan (IPP). Templates for the IPP are included in the ADB SPS (ADB SPS, Appendix 2). The IPP preparations and field work will include consultations with ADB and the draft IPP in English will be made available for appraisal by ADB. The draft and final IPP will be disclosed on the ADB website. ADB cleared category B IPP will be disclosed.

44. The Indigenous Peoples safeguards are triggered if a project directly or indirectly affects the dignity, human rights, livelihood systems, or culture of Indigenous Peoples or affects the territories or natural or cultural resources that Indigenous Peoples own, use, occupy, or claim as an ancestral domain or asset. In considering these characteristics, national legislation, customary law, and any international conventions to which the country is a party will be considered. A group that has lost collective attachment to geographically distinct habitats or ancestral territories in the project area because of forced severance is eligible. For all projects, borrowers will ensure that national requirements related to indigenous peoples are followed.

#### **4. Financial intermediaries**

45. For projects involving investment of ADB funds to or through financial intermediaries (FI), ADB conducts safeguard due diligence to assess the potential environmental and social impacts and risks associated with the FI's existing and likely future portfolio, and its commitment and capacity in social and environmental management. Where the FI's investments have minimal or no adverse environmental or social risks, the FI project will be treated as category C project and need not apply any other specific requirements. All other FIs will be required to have in place or establish an appropriate environmental and social management system (ESMS) commensurate with the nature and risks of the FI's likely future portfolio to be maintained as part of the FI's overall management system. The ESMS will be documented and agreed on by ADB and the FI.

46. Detailed requirements for FI's are detailed in the SPS, Appendix 4. All FIs will ensure that their investments are compliant with applicable national laws and regulations and will apply the prohibited investment activities list (ADB SPS, Appendix 5) to projects financed by ADB. Should subprojects entail potential for significant environmental or social impacts, the FI will be required to ensure that such projects meet ADB safeguards requirements, including on information disclosure and consultation. In such cases, the FI will refer projects to ADB early in its due diligence process and ADB will assist the FI with appraisal of these subprojects. For such projects, borrowers will submit IEE, RP or IPP to ADB for clearance before subproject approval.

#### **D. Safeguards due diligence**

47. For projects proposed for financing, ADB will conduct safeguard reviews, including reviews of the borrower's safeguard documents and transboundary and SEAH risks and impacts, as part of its overall due diligence. ADB's safeguard due diligence and review emphasizes environmental and social impact assessments and the planning process, in addition to safeguard documentation. Due diligence and review involve field visits as well as desk reviews. Through such due diligence and review, ADB will confirm (i) that all key potential social and environmental impacts and risks of a project are identified; (ii) that effective measures to avoid, minimize, mitigate, or compensate for the adverse impacts are incorporated into the safeguard plans and project design; (iii) that the borrower/client understands ADB's safeguard policy principles and requirements as laid out in the SPS and has the necessary commitment and capacity to manage social and environmental impacts and/or risks; (iv) that the role of third parties is appropriately

defined in the safeguard plans; and (v) that consultations with affected people are conducted in accordance with ADB's requirements.

48. The nature of the due diligence will depend on the complexity of the project and potential impacts. Category C projects can be based on desk studies, category B projects usually require both desk study and field visit/s.

49. Due diligence reports and/or safeguards plans in English are to be prepared for category B projects. Templates are provided in the ADB SPS, Annex 1. All safeguards' plans (IEE, RP, IPP, ESMS) must be provided to ADB for review and clearance.

50. According to ADB's SPS, the borrower is responsible for assessing projects and their environmental and social impacts, preparing safeguard plans, and engaging with affected communities through information disclosure, consultation, and inform participation following all policy principles and safeguard requirements in comply with ADB SPS (2009). The borrower will submit all required information, including assessment reports, safeguard plans/frameworks, and monitoring reports, to ADB for review. The borrower must comply with host country laws, regulations, and standards, including host country obligations under international law. Furthermore, the borrower/client must implement safeguard measures agreed with ADB to deliver the policy principles and meet the requirements specified in Safeguard Requirements 1–4. To ensure that contractors appropriately implement the agreed measures, the borrower will include the safeguard requirements in all bidding documents and contracts.

51. ADB has approved a Good Practice Note on addressing sexual exploitation abuse and harassment in ADB-financed projects with civil works and has exceptionally agreed to apply the principles of the GPN to the Projects financed under this Program. Accordingly, ADB will support the projects implementing agencies to take reasonable measures to minimize the risk of SEAH for any person or group of persons-workers and community members, located within and immediately adjacent to the Project site and area of operations, such as storage and assembly yards, workers' barracks, access areas to the project, and public areas bordering project construction sites, who are subject to actual or potential direct risks and/or adverse impacts related to the construction or operation of the project.

52. ADB will take all reasonable steps to support the Project implementing agencies to address risks of SEAH in connection with the Projects. Subject to its relevant policies and procedures, ADB will advise the Donor (GCF) of any credible allegations of such SEAH incidents of which ADB becomes aware during or after the term of this Arrangement (by written notice to [integrity@gcf.org](mailto:integrity@gcf.org)). Subject to ADB's relevant policies and procedures, and to the extent reasonable and practicable, ADB will keep the Donor informed of the outcome of completed investigations to address identified allegations of SEAH, and measures taken by the Recipient to address confirmed instances of SEAH. It is understood and accepted that ADB's arrangement to inform on SEAH is subject to not compromising the safety, security, privacy, and due process rights of any concerned persons.

53. Such reports will indicate: the Donor's reference number for this Arrangement, the nature of the alleged misconduct, date of alleged incident of SEAH, date of report to ADB, situation concerning the investigation and the action that will be taken by the Implementing partner, and whether the case is referred to law enforcement. ADB will provide an update to the Donor regarding measures taken by the Implementing partner to address allegations of SEAH.



**Table 4 Safeguards Requirements**

<b>Category (Risk Rating)</b>	<b>Environmental Safeguards</b>	<b>Involuntary Resettlement Safeguards</b>	<b>Indigenous Peoples Safeguards</b>
Category B (with less significant impacts)	<ul style="list-style-type: none"> <li>• Comply with (i) Safeguard Requirements 1 of the ADB SPS (2009); (ii) National laws.</li> <li>• Produce an IEE (with EMP).</li> <li>• Disclose IEE prior to project approval.</li> </ul>	<ul style="list-style-type: none"> <li>• Comply with (i) Safeguard Requirements 2 of the ADB SPS (2009); (ii) National laws. Prepare an RP with social assessment.</li> </ul>	<ul style="list-style-type: none"> <li>• Comply with (i) Safeguard Requirements 3 of the ADB SPS (2009) (ii) National laws.</li> <li>• Prepare and follow processes as deemed relevant by ADB SPS (2009).</li> <li>• IP Community support must be available.</li> <li>• Meaningful consultation must be conducted and documented.</li> <li>• Prepare an IP Plan (IPP).</li> </ul>
Category C (with minimal or no impacts)	<ul style="list-style-type: none"> <li>• Review environmental implications.</li> <li>• Comply with national laws.</li> </ul>	<ul style="list-style-type: none"> <li>• Assess if there are any IR impacts and prepare a Due-Diligence Report (DDR).</li> <li>• Comply with national laws</li> </ul>	<ul style="list-style-type: none"> <li>• Comply with (i) Safeguard Requirements 3 of the ADB SPS (2009). (ii) National laws.</li> <li>• Assess if there are any IP impacts and prepare a DDR.</li> </ul>
Category FI	<ul style="list-style-type: none"> <li>• Investments have potential for environmental and social risks (Category B or C): establish an environment and social management system (ESMS) as part of overall FI management system.</li> <li>• For any project under FI with significant risks (category B), ADB clearance of IEE required before subproject approval.</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Investments have potential for involuntary resettlement (Category B and C) risks: establish an environment and social management system (ESMS) as part of overall FI management system.</li> <li>• For any project with significant risks, ADB clearance of RP required before subproject approval.</li> </ul>	<ul style="list-style-type: none"> <li>• Investments have potential for indigenous peoples (IP) risks (Category B and C): establish an environment and social management system (ESMS) as part of overall FI management system.</li> <li>• For any sub-project with significant risks, ADB clearance of IPP required before subproject approval.</li> </ul>

Note: Safeguard category A is excluded. IEE = initial environmental examination, IPP = indigenous people's plan; RP = resettlement plan; EMP = environmental management plan

## **E. Information disclosure, consultation, and participation**

54. In line with ADB's SPS and ADB's Access to Information Policy<sup>5</sup>, ADB is committed to working with the borrowers to ensure that relevant information (whether positive or negative) about social and environmental safeguard issues is made publicly available in a timely manner, in an accessible place, and in a form and language(s) understandable to affected people and to other stakeholders, including the general public, so they can provide meaningful inputs into project design and implementation. ADB will post the following safeguard documents on its website under pages specific to each project as well as under the program's page:

- (i) draft environmental assessment and review framework, draft initial environmental examinations, draft resettlement frameworks and/or plans, and draft Indigenous Peoples planning frameworks and/or plans before project appraisal.

<sup>5</sup> ADB. 2018. *Access to Information Policy*. Manila. <https://www.adb.org/documents/access-information-policy>

- (ii) final or updated environmental impact assessments and/or initial environmental examinations, resettlement plans, and Indigenous Peoples plans upon receipt.
- (iii) corrective action plans prepared during project implementation; and
- (iv) environmental, involuntary resettlement, and Indigenous Peoples monitoring reports submitted by borrowers/clients during project implementation upon receipt.

55. Links to these reports will also be available on the GCF website, as per GCF Information Disclosure Policy and GCF Environmental and Social Policy.

56. ADB's SPS outlines requirements for borrowers to conduct meaningful consultation with various stakeholders. Meaningful consultation is a process that shall (i) begin early in the project preparation stage and is carried out on an ongoing basis throughout the project cycle; (ii) provide timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive, and tailored to the needs of disadvantaged and vulnerable groups; and (v) enable incorporation of all relevant views of affected people and other stakeholders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues. Borrowers will engage with communities, groups, or people affected by the proposed projects, and with civil society through information disclosure, consultation, and informed participation in a manner commensurate with the risks to and impacts on affected communities.

57. For projects with significant adverse environmental, involuntary resettlement, or Indigenous Peoples impacts, ADB project teams will participate in consultation activities to understand the concerns of affected people and ensure that such issues are addressed in project design and safeguard plans.

58. The consultation process will employ a range of formal and informal consultative methods such as in-depth interviews, public meetings, focus group discussions etc. Examples of key informants to be consulted, during the preparation and implementation, include the following stakeholders:

- (i) Heads and members of households likely to be affected
- (ii) Affected households belonging to the vulnerable groups
- (iii) Host communities
- (iv) Indigenous Groups/Ethnic Minorities
- (v) Women in the affected as well as host communities
- (vi) Local CSOs and NGOs, if present
- (vii) Relevant government agencies and departments

59. In accordance with ADB's SPS, women's participation will be ensured by involving them in public consultation at various levels and stages of project preparation and by arrangements. The borrower will ensure that the views of the affected persons, particularly those vulnerable, are considered and addressed in relevant plans.

60. If a project has land acquisition and involuntary resettlement impacts, each resettlement plan shall be prepared and implemented in close consultation with those affected people and involve surveys as well as community meetings. Compensation and assistance levels will be determined in consultation with the affected persons and their representatives. The compensation amounts will be finalized only after agreements with affected persons are reached. Resettlement information including measurement of losses, detailed asset valuations, entitlements and special provisions, grievance procedures, timing of payments and displacement schedule will be disclosed to the affected people. The disclosure will be in a manner accessible to the affected people where there are differing levels of literacy. Plans in local language will be made available to the affected people for reasonable periods of at least three months prior to actual dislocation. ADB will review the resettlement plans prior to disbursement for all such subprojects involving involuntary resettlement impacts.

61. According to ADB's SPS, borrowers will hold meaningful consultation with the affected indigenous people and ethnic minorities to ensure that they will participate after being fully informed. The borrower will design, implement, and monitor activities to prevent projects from adversely affecting indigenous people and ethnic minorities. If such an impact cannot be avoided, the borrowers will work to mitigate the negative impact, or make adequate compensations for it. Also, the borrowers will enable indigenous people and ethnic minorities to share the benefits of projects in a way, which suits their cultural traditions.

#### **F. Compliance monitoring and reporting**

62. The extent of monitoring activities, including their scope and periodicity, will be commensurate with the project's risks and impacts. Borrowers will implement safeguard measures and relevant safeguards plans, as agreed with ADB and in accordance with this ESMF and submit periodic monitoring reports on their implementation performance. ADB will require borrowers to:

- establish and maintain procedures to monitor the progress of implementation of safeguards plans,
- verify the compliance with safeguard measures and their progress toward intended outcomes,
- document and disclose monitoring results and identify necessary corrective and preventive actions in the periodic monitoring reports,
- follow up on these actions to ensure progress toward the desired outcomes,
- retain qualified and experienced independent external experts to verify monitoring information for projects, and
- submit periodic monitoring reports on safeguards measures as agreed with ADB.

63. At a project level, ADB reviews project performance against borrowers' commitments as agreed in the legal documents. ADB will carry out the following monitoring actions to supervise project implementation:

- conduct periodic site visits for projects with adverse environmental or social impacts;

- conduct supervision missions with detailed review by ADB's safeguard specialists/officers or consultants for projects with adverse social or environmental impacts;
- review the periodic monitoring reports submitted by borrowers/clients to ensure that adverse impacts and risks are mitigated as planned and as agreed with ADB;
- work with borrowers/clients to rectify any failures to comply with their safeguard commitments, as covenanted in the legal agreements, and exercise remedies to reestablish compliance as appropriate; and
- prepare a project completion report that assesses whether the objective and desired outcomes of the safeguard plans have been achieved, taking into account the baseline conditions and the results of monitoring.

64. At a program level, ADB will monitor safeguards performance across the portfolio based on project level monitoring conducted by ADB project teams. A mid-term review of the program's performance on safeguards and gender and social inclusion will be conducted in year 3. A summary of information on safeguards performance and progress will be included in Annual Performance Reports (APR) provided by ADB to GCF.

#### **G. Grievance redress mechanism**

65. ADB requires that the borrower/client establish and maintain a grievance redress mechanism to receive and facilitate resolution of affected peoples' concerns and grievances about the borrower's/client's social and environmental performance at project level. A Safeguards Specialist will be appointed to the Program Secretariat and will be the indigenous people's focal point with operational responsibility to manage the implementation of this program. The grievance redress mechanism should be scaled to the risks and impacts of the project. It should address affected people's concerns and complaints promptly, using an understandable and transparent process that is gender responsive, culturally appropriate, and readily accessible to all segments of the affected people. The borrower/client will be made aware of the availability of the GCF Independent Redress Mechanism as an avenue for grievance redress in addition to the ADB requirements.

66. Integration of SEAH reporting into Project GRM. ADB requires borrower to establish functional reporting mechanisms to receive SEAH related complaints from workers and community members, in-line with recommendations of the ADB Good practice note on Integrating Sexual Exploitation, Abuse, and Harassment Reporting and Case Handling into Project Grievance Redress Mechanisms.<sup>6</sup> The contractor's reporting mechanisms should be the primary means of reporting for staff and community members affected by project related SEAH. However, staff of the contractor and community members may choose to use an executing or implementing agency's reporting mechanism or report directly to ADB. They may report directly to ADB if they feel that, despite reporting through the contractor's or executing or implementing agency's reporting mechanism, their case has not been satisfactorily handled, or where, after failed efforts with the contractor or executing or implementing agency, they feel that reporting via these mechanisms is in the public good (such as where large numbers of SEAH incidents are occurring

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<sup>6</sup> ADB.2023. *Integrating Sexual Exploitation, Abuse, and Harassment Reporting and Case Handling into Project Grievance Redress Mechanisms*. Manila. <https://www.adb.org/sites/default/files/publication/937376/seah-reporting-good-practice-note.pdf>

within a project with no or ineffective action). Alternative routes to reporting should be included in promotional material and communication plans and in staff training courses.

## **H. Accountability mechanism**

67. Project-affected people can also submit complaints to ADB's Accountability Mechanism, as a last resort of issues that were not prevented or solved at the project and operational levels. The Accountability Mechanism provides an independent forum and process whereby people adversely affected by ADB-financed projects can voice, and seek a resolution of their problems, as well as report alleged violations of ADB's operational policies and procedures. The Accountability Mechanism comprises two functions: (i) problem solving function is led by ADB's Special Project Facilitator to assist project-affected people in finding solutions to their problems; and (ii) a compliance review function led by a Compliance Review Panel, which investigates alleged ADB's noncompliance with its operational policies and procedures.

## **I. Implementation arrangements**

68. The ESMF of the program will be implemented by ADB as Accredited Entity (AE) of GCF as well as the Executing Entity (EE) for the program (component 4).

69. During implementation of the Program, individual projects shall be prepared and implemented in compliance with both ADB's SPS policy, as well as the GCF's relevant policies – including the Indigenous Peoples Policy.<sup>7</sup>

70. At a program level, ADB will monitor portfolio level safeguards implementation and performance, based on monitoring by ADB project teams. This role includes functional responsibilities under the team managing the E-Mobility Program in ADB. In this role, ADB staff managing the program will work closely with Safeguards Specialists that monitor ADB's overall portfolio of the countries under the Program.

71. At a project level, borrowers will undertake social and environmental assessments, carry out meaningful consultations with affected people and communities, prepare and implement safeguard plans, monitor the implementation of these plans, and prepare as well as submit monitoring reports.

72. ADB will inform policy requirements to borrowers/clients, help borrowers/clients meet those requirements during project processing and implementation through capacity-building programs, ensure due diligence and review, and provide monitoring and supervision.

73. Project Grievance Redress Mechanisms shall be established and function in a way that is complementary to the GCF Independent Redress Mechanism. The borrower/client will be made aware of the availability of the GCF independent Redress Mechanism and the project safeguards focal point (who would also cover IP aspects) will be available for assistance at any stage, including before a claim has been made. The ADB accountability mechanism is available as a last resort for project problem solving involving ADB safeguards related issues.<sup>8</sup>

<sup>7</sup> GCF. 2018. *Annex XI: Indigenous People Policy*, <https://www.greenclimate.fund/sites/default/files/decision/b19/decision-b19-11-b19-a11.pdf>

<sup>8</sup> <https://www.adb.org/who-we-are/accountability-mechanism/how-file-complaint>

74. ADB will monitor safeguard and SEAH compliance during project implementation. Project performance evaluation reports will include a review of the implementation of safeguards, including completion report stage. ADB's responsibilities are carried out by Environment and Social Safeguards Specialists based in country missions and those focused on specific sectors.

### III. Annex

#### Annex 1: Environment Screening Checklist and Categorization Form

##### A. Rapid Environmental Assessment Checklist

**Instructions:**

- (i) The subproject shall complete this checklist to support the environmental classification of the subproject.
- (ii) This checklist focuses on environmental issues and concerns. To ensure that social dimensions are adequately considered, refer also to ADB's (a) checklists on involuntary resettlement and Indigenous Peoples; (b) poverty reduction handbook; (c) staff guide to consultation and participation; and (d) gender checklists.
- (iii) Answer the questions assuming the "without mitigation" case. The purpose is to identify potential impacts. Use the "remarks" section to discuss any anticipated mitigation measures.

**Project Title:**

Screening Questions	Yes	No	Remarks
<b>A. Project Siting</b>			
Is the subproject area adjacent to or within any of the following environmentally sensitive areas?			
1) Environmental protection zone			
2) Cultural heritage site			
3) Legally Protected Area			
4) Wetland			
5) Mangrove			
6) Estuarine			
7) Buffer zone of legally protected area			
8) Special area for protecting biodiversity			
9) Areas with high biodiversity value (critical habitat)			
10) Densely populated area			

Screening Questions	Yes	No	Remarks
<b>B. Potential Environmental Impacts</b>			
Will the project cause...			
15) impairment of historical/cultural monuments/areas, and loss/damage to these sites?			
16) disfiguration of landscape or potential loss/damage to physical cultural resources?			
17) disturbance to precious ecology (e.g. sensitive or protected areas)?			
18) degradation of land and ecosystems (e.g. loss of wetlands and wild lands, coastal zones, watersheds and forests)?			
19) interference with other utilities and blocking access to buildings; nuisance areas due to noise and odor?			

Screening Questions	Yes	No	Remarks
20) dislocation or involuntary resettlement of people?			
21) disproportionate impacts on the poor, women and children, Indigenous Peoples or other vulnerable groups?			
22) air pollution resulting from emissions of hydrocarbons or other pollutants from process equipment, fugitive emissions, venting or flaring, accidents, inadequate equipment maintenance, and poor planning?			
23) dangers to a safe and healthy working environment due to physical, chemical, biological, and radiological hazards during subproject construction and operation?			
24) noise and dust from construction activities or operation?			
25) air pollution resulting from emissions from production process, accidents, and poor equipment maintenance?			



Screening Questions	Yes	No	Remarks
26) pollution of water bodies and aquatic ecosystem resulting from chemical spillage, process wastewater, production wastes, utility operations, sanitary sewage, and miscellaneous discharges?			
27) contamination of soil and groundwater from chemical spillage, solid wastes from water treatment sludges, cafeteria or lunchroom wastes, ashes and incineration residues, etc.?			
28) large population influx during project construction and operation that causes increased burden on social infrastructure and services (such as water supply and sanitation systems)?			
29) social conflicts if workers from other regions or countries are hired?			
30) risks to community health and safety during construction and operation caused by chemical spills, from road accidents and possible groundwater contamination?			
31) risks to community health and safety (e.g. from fire, explosion or chemical leak) due to the transport, storage, and use and/or disposal of materials such as explosives, fuel and other chemicals during construction and operation?			
32) community safety risks due to both accidental and natural hazards, especially where the structural elements or components of these are accessible to members of the affected community or where their failure could result in injury to the community throughout project construction, operation and decommissioning?			

**B. Project Description and Environmental Categorization****ENVIRONMENT CATEGORIZATION**

Date: \_\_\_\_\_

**A. Instructions**

(i) The project team completes and submits the form to the Office of Safeguards (OSPT) for approval by OSPT Director. OM F1/OP on *Safeguard Review Procedures* (paras. 4–7) provides the requirements on environment categorization.

(ii) The classification of a project is a continuing process. If there is a change in the project components or/and site that may result in category change, the Sector Division submits a new form and requests for recategorization, and approval by OSPT Director. The old form is attached for reference.

(iii) In addition, the project team may propose in the comments section that the project is highly complex and sensitive (HCS), for approval by OSPT Director. HCS projects are a subset of Category A projects that ADB deems to be highly risky or contentious or involve serious and multidimensional and generally interrelated potential social and/or environmental impacts.

**B. Project Data**

Country/Project No./Project Title :

Department/ Division :

Processing Stage :

Modality :

☐ Project Loan      ☐ Program Loan      ☐ Financial Intermediary      ☐ General Corporate Finance  
☐ Sector Loan      ☐ MFF      ☐ Emergency Assistance      ☐ Grant  
☐ Results-based lending<sup>9</sup>      ☐ Other financing modalities

**C. Environment Category [please tick one category based on the set of criteria in [OMF1](#) (paras. 6–7)]**

☐ New      ☐ Recategorization — Previous Category ☐

☐ Category A

☐ Category B

☐ Category C

☐ Category FI

**D. Basis for Categorization/ Recategorization (please. attach supporting documents):**

<sup>9</sup> For Results-Based Lending (RBL) modality, please refer to the [Staff Instruction on Business Processes for RBL for Programs](#) issued on 17 March 2021. The [supplemental checklist](#) needs to be submitted to OSPT for confirmation of eligible activities under the RBL program by OSPT Director.

- [ ] REA Checklist
- [ ] Project and/or Site Description
- [ ] Other: \_\_\_\_\_

**E. Comments**

Project Team Comments

OSPT Comments

**F. Approval****Proposed by:**Project Safeguard Team Specialist / Officer,  
{Department/Division}

Date:

**Endorsed by:**

Project Team Leader , {Department Division}

Date:

**Reviewed by:**

Environment Specialist, OSPT/OSFG

Date:

**Approved by:**

Bruce Dunn, Director, OSPT/OSFG

Date:

☐

Highly Complex  
and Sensitive  
Project

**C. A Checklist for Preliminary Climate Risk Screening****Project Title:**

<b>Screening Question</b>		<b>Score</b>	<b>Remarks*</b>
Location and Design of subproject	Is siting and/or routing of the subproject (or its components) likely to be affected by climate conditions including extreme weather related events such as floods, droughts, storms, landslides?		
	Would the subproject design (e.g. the clearance for bridges) need to consider any hydro-meteorological parameters (e.g., sea-level, peak river flow, reliable water level, peak wind speed etc.)?		
Materials and Maintenance	Would weather, current and likely future climate conditions (e.g. prevailing humidity level, temperature contrast between hot summer days and cold winter days, exposure to wind and humidity hydro-meteorological parameters likely affect the selection of project inputs over the life of project outputs (e.g. construction material)?		
	Would weather, current and likely future climate conditions, and related extreme events likely affect the maintenance (scheduling and cost) of project output(s)?		
Performance of subproject outputs	Would weather/climate conditions, and related extreme events likely affect the performance (e.g. annual power production) of subproject output(s) (e.g. hydro-power generation facilities) throughout their design life time?		

Options for answers and corresponding score are provided below:

<b>Response</b>	<b>Score</b>
Not Likely	0
Likely	1
Very Likely	2

Responses when added that provide a score of 0 will be considered low risk subproject. If adding all responses will result to a score of 1-4 and that no score of 2 was given to any single response, the subproject will be assigned a medium risk category. A total score of 5 or more (which include providing a score of 1 in all responses) or a 2 in any single response, will be categorized as high risk project.

**Result of Initial Screening (Low, Medium, High):**\_\_\_\_\_

**Other Comments:**

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**Prepared by:** \_\_\_\_\_

**Date:** \_\_\_\_\_

\* If possible, provide details on the sensitivity of project components to climate conditions, such as how climate parameters are considered in design standards for infrastructure components, how changes in key climate parameters and sea level might affect the siting/routing of project, the selection of construction material and/or scheduling, performances and/or the maintenance cost/scheduling of project outputs.

## Annex 2: Involuntary Resettlement Checklist and Categorization Form

## INVOLUNTARY RESETTLEMENT IMPACT CATEGORIZATION

Date: \_\_\_\_\_

<b>A. Instructions</b> (i) The project team completes and submits the form to the Office of Safeguards (OSPT) for approval by OSPT Director. (ii) The classification of a project is a continuing process. If there is a change in the project components and/or site that may result in category change, the Sector Division submits a new form and requests for recategorization, and approval by OSPT Director. The old form is attached for reference. (iii) In addition, the project team may propose in the comments section that the project is highly complex and sensitive (HCS), for approval by OSPT Director. HCS projects are a subset of category A projects that ADB deems to be highly risky or contentious or involve serious and multidimensional and generally interrelated potential social and/or environmental impacts.			
<b>B. Project Data</b>  <i>Country/Project No./Project Title</i> : _____ <i>Department/ Division</i> : _____ <i>Processing Stage</i> : _____ <i>Modality</i> : _____ <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Project Loan    <input type="checkbox"/> Program Loan  <input type="checkbox"/> Sector Loan    <input type="checkbox"/> MFF  <input type="checkbox"/> Results-based lending<sup>10</sup> </div> <div> <input type="checkbox"/> Financial Intermediary    <input type="checkbox"/> General Corporate Finance  <input type="checkbox"/> Emergency Assistance    <input type="checkbox"/> Grant  <input type="checkbox"/> Other financing modalities           </div> </div>			
<b>C. Involuntary Resettlement Category</b>  <div style="text-align: center;"> <input type="checkbox"/> New                      <input type="checkbox"/> Recategorization — Previous Category <input type="checkbox"/> </div>			
<input type="checkbox"/> Category A	<input type="checkbox"/> Category B	<input type="checkbox"/> Category C	<input type="checkbox"/> Category FI
<b>D. Comments</b> <div style="display: flex;"> <div style="flex: 1; padding: 5px;">Project Team Comments:</div> <div style="flex: 1; padding: 5px;">OSPT Comments:</div> </div>			
<b>E. Approval</b>			
<b>Proposed by:</b>		<b>Reviewed by:</b>	
Project Team Leader, {Department/Division}		Social Development Specialist (Safeguards), OSPT/OSFG	
Date:		Date:	
Social Development Specialist, {Department/Division}			
Date:			
<b>Endorsed by:</b>		<b>Approved by:</b>	
		<div style="border: 1px solid black; width: 30px; height: 30px; display: inline-block;"></div>	

<sup>10</sup> For Results-Based Lending (RBL) modality, please refer to the [Staff Instruction on Business Processes for RBL for Programs](#) issued on 17 March 2021. The [supplemental checklist](#) needs to be submitted to OSPT for confirmation of eligible activities under the RBL program by OSPT Director.

				Highly Complex and Sensitive Project
Director, {Division}		Bruce Dunn, Director, OSPT/OSFG		
Date:		Date:		

**Involuntary Resettlement Impact Categorization Checklist**

Probable Involuntary Resettlement Effects	Yes	No	Not Known	Remarks
<b>Involuntary Acquisition of Land</b>				
1. Will there be land acquisition?				
2. Is the site for land acquisition known?				
3. Is the ownership status and current usage of land to be acquired known?				
4. Will easement be utilized within an existing Right of Way (ROW)?				
5. Will there be loss of shelter and residential land due to land acquisition?				
6. Will there be loss of agricultural and other productive assets due to land acquisition?				
7. Will there be losses of crops, trees, and fixed assets due to land acquisition?				
8. Will there be loss of businesses or enterprises due to land acquisition?				
9. Will there be loss of income sources and means of livelihoods due to land acquisition?				
<b>Involuntary restrictions on land use or on access to legally designated parks and protected areas</b>				
10. Will people lose access to natural resources, communal facilities, and services?				
11. If land use is changed, will it have an adverse impact on social and economic activities?				
12. Will access to land and resources owned communally or by the state be restricted?				
<b>Information on Displaced Persons:</b>				
<i>Any estimate of the likely number of persons that will be displaced by the Project?</i> [ ] No      [ ] Yes If yes, approximately how many? _____				
<i>Are any of them poor, female-heads of households, or vulnerable to poverty risks?</i> [ ] No      [ ] Yes				
<i>Are any displaced persons from indigenous or ethnic minority groups?</i> [ ] No      [ ] Yes				

Note: The project team may attach additional information on the project, as necessary.



## Annex 3: Indigenous Peoples Impact Categorization and Screening Checklist

## INDIGENOUS PEOPLES IMPACT CATEGORIZATION

Date: \_\_\_\_\_

<b>A. Instructions</b>			
<p>(i) The project team completes and submits the form to the Office of Safeguards (OSPT) for approval by OSPT Director.</p> <p>(ii) The classification of a project is a continuing process. If there is a change in the project components and/or site that may result in category change, the Sector Division submits a new form and requests for recategorization, and approval by OSPT Director. The old form is attached for reference.</p> <p>(iii) The project team indicates if the project requires broad community support (BCS) of Indigenous Peoples communities. BCS is required when project activities involve: (a) commercial development of the cultural resources and knowledge of indigenous peoples; (b) physical displacement from traditional or customary lands; and (c) commercial development of natural resources within customary lands under use that would impact the livelihoods or the cultural, ceremonial, or spiritual use that define the identity and community of indigenous peoples.</p> <p>(iv) In addition, the project team may propose in the comments section that the project is highly complex and sensitive (HCS), for approval by OSPT Director. HCS projects are a subset of category A projects that ADB deems to be highly risky or contentious or involve serious and multidimensional and generally interrelated potential social and/or environmental impacts.</p>			
<b>B. Project Data</b>			
Country/Project No./Project Title : _____			
Department/ Division : _____			
Processing Stage : _____			
Modality : _____			
<input type="checkbox"/> Project Loan <input type="checkbox"/> Program Loan <input type="checkbox"/> Financial Intermediary <input type="checkbox"/> General Corporate Finance <input type="checkbox"/> Sector Loan <input type="checkbox"/> MFF <input type="checkbox"/> Emergency Assistance <input type="checkbox"/> Grant <input type="checkbox"/> Results-based lending <sup>11</sup> <input type="checkbox"/> Other financing modalities:			
<b>C. Indigenous Peoples Category</b>			
<input type="checkbox"/> New <input type="checkbox"/> Recategorization — Previous Category <input type="checkbox"/>			
<input type="checkbox"/> Category A	<input type="checkbox"/> Category B	<input type="checkbox"/> Category C	<input type="checkbox"/> Category FI
<b>D. Project requires the broad community support of affected Indigenous Peoples communities.</b>			
		<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>E. Comments</b>			
Project Team Comments:		OSPT Comments:	
<b>F. Approval</b>			
<b>Proposed by:</b>		<b>Reviewed by:</b>	
Project Team Leader, {Department/Division}		Social Development Specialist (Safeguards), OSPT/OSFG	
Date:		Date:	
Social Development Specialist, {Department/Division}			
Date:			
<b>Endorsed by:</b>		<b>Approved by:</b>	<input type="radio"/> Highly Complex and Sensitive Project
Director, {Division}		Bruce Dunn, Director, OSPT/OSFG	
Date:		Date:	

<sup>11</sup> For Results-Based Lending (RBL) modality, please refer to the [Staff Instruction on Business Processes for RBL for Programs](#) issued on 17 March 2021. The [supplemental checklist](#) needs to be submitted to OSPT for confirmation of eligible activities under the RBL program by OSPT Director.

## Indigenous Peoples Impact Screening Checklist

KEY CONCERNS (Please provide elaborations on the Remarks column)	YES	NO	NOT KNOWN	Remarks
<b>A. Indigenous Peoples Identification</b>				
1. Are there socio-cultural groups present in or use the project area who may be considered as "tribes" (hill tribes, scheduled tribes, tribal peoples), "minorities" (ethnic or national minorities), or "indigenous communities" in the project area?				
2. Are there national or local laws or policies as well as anthropological researches/studies that consider these groups present in or using the project area as belonging to "ethnic minorities", scheduled tribes, tribal peoples, national minorities, or cultural communities?				
3. Do such groups self-identify as being part of a distinct social and cultural group?				
4. Do such groups maintain collective attachments to distinct habitats or ancestral territories and/or to the natural resources in these habitats and territories?				
5. Do such groups maintain cultural, economic, social, and political institutions distinct from the dominant society and culture?				
6. Do such groups speak a distinct language or dialect?				
7. Has such groups been historically, socially, and economically marginalized, disempowered, excluded, and/or discriminated against?				
8. Are such groups represented as "Indigenous Peoples" or as "ethnic minorities" or "scheduled tribes" or "tribal populations" in any formal decision-making bodies at the national or local levels?				
<b>B. Identification of Potential Impacts</b>				
9. Will the project directly or indirectly benefit or target Indigenous Peoples?				
10. Will the project directly or indirectly affect Indigenous Peoples' traditional socio-cultural and belief practices? (e.g. child-rearing, health, education, arts, and governance)				

<b>KEY CONCERNS</b> (Please provide elaborations on the Remarks column)	<b>YES</b>	<b>NO</b>	<b>NOT KNOWN</b>	<b>Remarks</b>
11. Will the project affect the livelihood systems of Indigenous Peoples? (e.g., food production system, natural resource management, crafts and trade, employment status)				
12. Will the project be in an area (land or territory) occupied, owned, or used by Indigenous Peoples, and/or claimed as ancestral domain?				
<b>C. Identification of Special Requirements</b> <i>Will the project activities include:</i>				
13. Commercial development of the cultural resources and knowledge of Indigenous Peoples?				
14. Physical displacement from traditional or customary lands?				
15. Commercial development of natural resources (such as minerals, hydrocarbons, forests, water, hunting or fishing grounds) within customary lands under use that would impact the livelihoods or the cultural, ceremonial, spiritual uses that define the identity and community of Indigenous Peoples?				
16. Establishing legal recognition of rights to lands and territories that are traditionally owned or customarily used, occupied, or claimed by Indigenous Peoples?				
17. Acquisition of lands that are traditionally owned or customarily used, occupied, or claimed by Indigenous Peoples?				

**D. Anticipated project impacts on Indigenous Peoples**

<b>Project component/ activity/ output</b>	<b>Anticipated positive effect</b>	<b>Anticipated negative effect</b>
<b>1. LIST ALL PROJECT COMPONENT / ACTIVITY / OUTPUTS HERE</b>	<b>INDICATE EFFECTS TO IP, OR PUT "N/A" AS NECESSARY</b>	
<b>2.</b>		

<b>3.</b>		
<b>4.</b>		
<b>5.</b>		

Note: The project team may attach additional information on the project, as necessary.

## Annex 4: ADB Environmental and Social Monitoring Report Template

### A. Generic ADB template for monitoring reports

#### {Environmental and/or Social} Monitoring Report

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# {Annual/Semestral/Quarterly} Report {Month Year}

{Short Country Name}: {Project Title-Subproject}

#### Legend

- black text without brackets = mandatory standard wording
- {black text within brackets} = {optional standard wording}
- red text = instructions for writer
- blue text = hyperlinked text

Prepared by {complete and accurate name of implementing agency or external monitoring agency} for the {complete name of the borrower} and the Asian Development Bank.

**CURRENCY EQUIVALENTS**

(as of {Day Month Year})

{The date of the currency equivalents must be within 2 months from the date on the cover.}

Currency unit – {currency name in lowercase (Symbol)}

{Symbol}1.00 = \${ }

\$1.00 = {Symbol\_\_\_\_\_}

**ABBREVIATIONS**

{AAA} – {spell out (capitalize only proper names)}

{BBB} – {spell out}

{CCC} – {spell out}

**{WEIGHTS AND MEASURES}**

{symbol 1 (full name 1)} – {Definition 1}

{symbol 2 (full name 2)} – {Definition 2}

{symbol 3 (full name 3)} – {Definition 3}

**{GLOSSARY}**

{Term 1} – {Definition 1}

{Term 2} – {Definition 2}

{Term 3} – {Definition 3}

**NOTE{S}**

- (i) The fiscal year (FY) of the Government of {name of borrower} {and its agencies} ends on {day month}. FY before a calendar year denotes the year in which the fiscal year ends,

e.g., FY2011 ends on {day month} 2011. {Note: If FYs are not referred to within the text, delete the entire note and change NOTES to NOTE.}

- (ii) In this report, "\$" refers to United States dollars {if a second \$ currency is referred to in the text, e.g., NZ\$ or S\$, add: unless otherwise stated}. {In the text, use "\$" for United States dollars and the appropriate modifier, e.g., NZ\$ or S\$, for other currencies that use the "\$" symbol.}

This {environmental and/or social} monitoring report is a document of the borrower. The views expressed herein do not necessarily represent those of ADB's Board of Directors, Management, or staff, and may be preliminary in nature.

In preparing any country program or strategy, financing any project, or by making any designation of or reference to a particular territory or geographic area in this document, the Asian Development Bank does not intend to make any judgments as to the legal or other status of any territory or area.

{Read and delete:

(i) **Guidelines:** Following requirements of the ADB Safeguard Policy Statement (2009) and the Operations Manual section on safeguard policy (OM F1), borrowers/clients are required to establish and maintain procedures to monitor the status of implementation of safeguard plans and ensure progress is made toward the desired outcomes. Borrowers/clients are required to submit the following monitoring reports for ADB review:

Project Category	Frequency of Reports
Environment category A	<ul style="list-style-type: none"> <li>• Semi-annual monitoring reports during project construction</li> <li>• Annual monitoring reports during project operation</li> </ul>
Environment category B	<ul style="list-style-type: none"> <li>• Periodic monitoring reports as deemed appropriate</li> </ul>
Involuntary resettlement category A and B	<ul style="list-style-type: none"> <li>• Semiannual monitoring reports</li> </ul>
Indigenous peoples category A and B	<ul style="list-style-type: none"> <li>• Semiannual monitoring reports</li> </ul>
Highly complex and sensitive deemed by ADB	<ul style="list-style-type: none"> <li>• Quarterly monitoring reports</li> </ul>

The level of detail and comprehensiveness of a monitoring report is commensurate with the complexity and significance of social and environmental impacts. A safeguard monitoring report may include the following elements:

- (a) Background/context of the monitoring report (adequate information on the project, including physical progress of project activities, scope of monitoring report, reporting period, and the monitoring requirements including frequency of submission as agreed upon);
- (b) Changes in project scope and adjusted safeguard measures, if applicable;
- (c) Qualitative and quantitative monitoring data;
- (d) Monitoring parameters/indicators and methods based on the monitoring plan/program previously agreed upon with ADB;
- (e) Monitoring results compared against previously established benchmarks and compliance status (e.g., national environmental emission and ambient standards and/or standards set out in the WB's EHS guidelines; timeliness and adequacy of environmental mitigation measures; IR compensation rates and timeliness of payments, adequacy and timeliness of IR rehabilitation measures including serviced housing sites, house reconstruction, livelihood support measures, and training; budget for implementing EMP, RP, or IPP, timeliness and adequacy of capacity building, etc.);
- (f) Monitoring results compared against the objectives of safeguards or desired outcomes documented (e.g. IR impacts avoided or minimized; livelihood restored or enhanced; IP's identity, human right, livelihood systems and cultural uniqueness fully respected; IP not suffer adverse impacts, environmental impacts avoided or minimized, etc.);
- (g) If noncompliance or any major gaps identified, include a corrective action plan;
- (h) Records on disclosure of monitoring information to affected communities;
- (i) Identification of key issues, or complaints from affected people, or recommendations for improvement;
- (j) Monitoring adjustment measures recommended based on monitoring experience/trends and stakeholders response;
- (k) Information about actual institutional arrangement for implementing the monitoring program/plan provided or adjusted, as may be required.



**B. Additional template: social safeguards monitoring**

**SUGGESTED SCOPE FOR A SOCIAL SAFEGUARD MONITORING REPORT**

**A. Introduction**

Brief subproject description

**B. Physical Progress of Subproject Components with Resettlement and Indigenous Peoples Impacts**

List of subproject components with resettlement and indigenous peoples impacts and progress updates (including engineering progress, and ground clearing, land acquisition and structure demolition progress)

**C. Scope of Resettlement Impacts and and/or Impacts on Indigenous Peoples**

- Actual scope of land acquisition and resettlement (including the methodology to determine the actual scope of land acquisition and resettlement, and comparison with the scope of impacts in resettlement plan(s))
- Actual impacts on Indigenous Peoples (including the methodology to determine the actual scope of impacts on Indigenous Peoples, and comparison with the scope of impacts in Indigenous Peoples plan(s))

**D. Institutional Arrangements**

- Key organizations involved in resettlement plan and/or IPP implementation
- Progress of activities implemented by other organizations
- Specific implementation arrangements for Indigenous Peoples

**E. Compensation Rates, Payment and Assistance Delivery**

- Compensation rates for land, resettlement subsidies, standing crops, and trees
- Compensation for buildings and allowances for relocation
- Allocation and utilization of resettlement compensation
- Payment delivery to affected village groups and individuals
- Assistance delivery to affected Indigenous Peoples

**F. Status of Land Acquisition, Resettlement, and Reconstruction**

- Housing relocation and reconstruction
- Provision of replacement agricultural and/or commercial land
- Restoration of affected public infrastructure and facilities
- Restoration of land used for construction-related activities
- Implementation progress of income restoration activities Support to vulnerable groups
- Implementation progress of specific measures for affected Indigenous Peoples

**G. Status of Provisions for Indigenous Peoples**

- Culturally appropriate beneficial measures for each affected IP groups
- Mitigative measures for each affected IP groups
- Capacity Building measures for IP communities in the subproject area

- Broad community support, where required

#### **H. Consultation and Disclosure Activities and Grievance Procedures**

- Consultations on compensation standards and fees, relocation options, etc.
- Specific consultations conducted with Indigenous Peoples on the subproject, its impacts and assistance to Indigenous Peoples
- Any good faith negotiation to resolve major disagreements with Indigenous Peoples
- Grievances received and actions taken to address them

#### **I. Grievance Redress Mechanism**

- Date established and description of organizational arrangements
- Grievances reported and resolution processes (e.g., nature of grievance, recorded dates and organizations involved, actions taken to resolve grievances, and media or community reactions (if any))

#### **J. Compliance with Applicable Social Safeguard Requirements**

#### **K. Concerns and Work Plan**

Concerns encountered, solutions provided and good practices established Work plan (staffing, training, and work schedules)

#### **Name and Signature**

Name:

Date:

Position:

Phone:

Signature:

E-mail