Center for Implementation of Investment Projects

ENVIRONMENTAL AND SOCIAL MANAGEMENT SYSTEM

2025
Dushanbe, Republic of Tajikistan

Contents

1. Environmental and Social Policy: Introduction and Purpose

The Environmental and Social Policy (the Policy, or ESP) of the Center for Implementation of Investment Projects (CIIP) establishes a comprehensive framework for managing environmental and social (E&S) risks and impacts associated with climate change adaptation, mitigation and development projects.

This Policy ensures that projects and programmes implemented by CIIP promote positive environmental and social benefits, and mitigate or avoid adverse environmental and social risks and impacts.

The Policy ensures compliance with national legislation and is implemented in conformity with the requirements of international development finance institutions (DFIs).

Key objectives of the policy include:

- **Promoting** positive environmental and social outcomes;
- **Avoiding, minimizing or mitigating** adverse environmental and social risks and impacts;
- **Enhancing** equitable access to project benefits, particularly for vulnerable and marginalized groups;
- **Ensuring** informed and meaningful stakeholder engagement throughout the project cycle;
- **Embedding** environmental and social considerations into institutional decision-making, monitoring and learning.

In alignment with these objectives, CIIP will apply the provisions of this Policy and relevant environmental and social safeguards throughout the identification, formulation and implementation of all projects and programmes, ensuring that risks and opportunities are considered from the earliest stages of engagement.

The ESP is a core component of CIIP's institutional approach to delivering high-impact, inclusive and sustainable interventions. It underpins CIIP's commitment to responsible project implementation in the context of climate change adaptation and development initiatives in the Republic of Tajikistan.

By systematically applying environmental and social safeguards, the ESP supports CIIP in achieving multiple strategic and operational objectives. In particular, the Policy supports the achievement of the Sustainable Development Goals (SDGs), with emphasis on:

- Goal 5: Achieve gender equality and empower all women and girls;
- Goal 10: Reduce inequality within and among countries;
- Goal 13: Take urgent action to combat climate change and its impacts; and
- Goal 15: Protect, restore and promote sustainable use of terrestrial ecosystems.

Additionally, the Policy:

- Ensures compliance with national regulatory frameworks related to environmental protection and social well-being, and aligns CIIP's activities with the international obligations undertaken by the Republic of Tajikistan;

- Promotes the long-term sustainability, resilience and effectiveness of CIIP-implemented projects, by identifying, avoiding and mitigating adverse environmental and social risks;
- Fosters transparency, accountability and stakeholder participation, thereby enhancing public trust and reinforcing CIIP's role as a credible and responsive implementing entity.

1.1 Scope of application

This Policy applies to all projects, programmes and activities implemented or managed by CIIP in the Republic of Tajikistan. It is applicable regardless of the funding modality and covers the full project cycle. Specifically, the policy applies to:

- All initiatives implemented by CIIP using resources from international development finance institutions (DFIs) (including the Adaptation Fund, Green Climate Fund), as well as bilateral donors and national sources;
- All phases of the project lifecycle, including identification, design, appraisal, implementation, monitoring and closure.

The scope of this Policy extends to the entire range of environmental and social risks that may arise in the context of CIIP's operations. These include, but are not limited to:

- Biodiversity loss and degradation of ecosystems;
- Climate resilience and sustainable natural resource management;
- Land acquisition and involuntary resettlement;
- Occupational health and safety, and risks to community well-being;
- Gender-based discrimination, social exclusion and human rights violations;
- Potential impacts on indigenous peoples and cultural heritage.

1.2 Legal and Regulatory Framework

The ESP is closely aligned with the national legal and policy frameworks of the Republic of Tajikistan, as well as with the environmental and social safeguards of international (DFIs).

This alignment ensures that CIIP-supported projects are implemented in accordance with the country's regulatory obligations and contribute meaningfully to national development and climate change adaptation goals, while also meeting international standards of environmental and social performance.

1.2.1 National Legal and Regulatory Alignment

The ESP reflects and supports compliance with key legal instruments, including but not limited to:

- Law on Environmental Protection (2011, as amended) – Establishes the core principles and institutional responsibilities for environmental management and conservation;
- Law on Environmental Impact Assessment (2018) – Regulates the process for identifying and managing environmental risks through public disclosure and expert review;
- Land Code of the Republic of Tajikistan (1996, as amended) – Governs land ownership, allocation and compensation, particularly in the context of resettlement or land use restrictions;
- Labour Code (2016, as amended) – Defines employment rights, working conditions, occupational health and safety, and protections against labor exploitation;

- Law on State Guarantees of Equal Rights for Men and Women (2005) – Ensures gender equality and non-discrimination in all spheres of social and economic life;
- Law on Public Associations (2007) – Facilitates civic participation and community engagement in decision-making.

1.2.2 Alignment with National Climate and Development Strategies

The ESP also contributes to the realization of Tajikistan's strategic climate and sustainable development objectives as articulated in the following frameworks and reporting instruments:

- Nationally Determined Contribution (NDC) under the Paris Agreement – Outlines Tajikistan's national commitments to climate change mitigation and adaptation, including sector-specific targets and cross-cutting priorities;
- National Adaptation Plan (NAP) – Establishes a coordinated approach to building medium- and long-term climate resilience across priority sectors;
- National Development Strategy 2030 – Emphasizes environmentally sustainable, inclusive and climate-resilient growth;
- Third National Communication (TNC) to the UNFCCC – Provides comprehensive information on GHG emissions, vulnerability assessments and adaptation actions;
- Biennial Update Reports (BURs) – Detail progress made in implementing the NDC, including updated greenhouse gas inventories, mitigation actions, support received and needed, and institutional arrangements;
- National Biodiversity Strategy and Action Plan (NBSAP) – Sets priorities for conserving biological diversity and ensuring the sustainable use of natural resources.

CIIP ensures that all project activities fully comply with the above legal provisions, and where necessary, strengthens institutional capacity to meet compliance obligations.

2. Guiding Principles

The following principles shall guide CIIP in the application of its ESMS and the achievement of this Policy's objectives:

(a) **Integration of Environmental and Social Sustainability:** Sustainable development lies at the core of CIIP's mandate and implementation activities. The Environmental and Social Management System (ESMS) provides a structured platform for embedding environmental and social considerations into CIIP's operational and institutional practices. Beyond a risk-avoidance approach, the system promotes the generation of positive environmental and social outcomes, including co-benefits for ecosystems and the well-being of communities—particularly vulnerable groups such as women, youth and indigenous peoples. These principles are operationalized through CIIP's procedures related to project formulation, environmental and social screening, stakeholder engagement, gender mainstreaming, monitoring and evaluation, grievance redress and transparency mechanisms. CIIP will ensure that project activities do not contribute to or exacerbate climate change risks and will incorporate climate mitigation and resilience considerations into project design and implementation.

(b) **Scaled Risk-Based Approach**: CIIP applies a proportionate, risk-based approach to the implementation of environmental and social standards. This means that the depth and scope of assessment, management measures, and monitoring are commensurate with the nature, scale, and significance of the potential environmental and social risks and impacts of each project. The categorization process ensures that higher-risk projects are subject to more rigorous environmental and social due diligence, while maintaining efficiency and responsiveness in lower-risk activities.

(c) **Equality and Non-Discrimination:** CIIP is committed to upholding the principles of equality, inclusion, and non-discrimination across all activities implemented under its mandate. In applying the environmental and social standards, CIIP ensures that adverse impacts do not fall disproportionately on disadvantaged, marginalized, or vulnerable groups and individuals—including women, children, persons with disabilities, indigenous peoples, ethnic minorities, persons marginalized based on sexual orientation or gender identity and other at-risk populations. CIIP also seeks to eliminate prejudice or discrimination in the allocation of project benefits and to promote equitable access to development resources and opportunities for all affected communities.

(d) **Mitigation Hierarchy**: CIIP adheres to the internationally recognized mitigation hierarchy as a guiding framework for managing environmental and social risks and impacts. This principle is embedded in CIIP's ESMS and applied throughout the project lifecycle. In practice, the mitigation hierarchy entails the following steps:

1. **Avoidance** – Anticipating and preventing adverse environmental and social impacts wherever feasible;
2. **Minimization** – Reducing the intensity or extent of impacts that cannot be fully avoided;
3. **Mitigation** – Implementing measures to address and offset residual impacts where they remain;
4. **Compensation or Restoration** – Where avoidance, minimization or mitigation are not sufficient or feasible, CIIP will ensure the design and implementation of appropriate remedial or compensatory measures that are both equitable and effective.

(e) **Policy Coherence and Institutional Alignment**: The Policy functions as an overarching institutional policy and is implemented in coherence with other relevant policies, strategies, and operational procedures of CIIP. This includes alignment with CIIP's internal frameworks on monitoring and evaluation, grievance redress, information disclosure, gender equality, stakeholder engagement, and institutional accountability.

Furthermore, the ESP is fully consistent with the environmental and social safeguard requirements of CIIP's development partners. As new institutional policies are developed or existing ones are updated, CIIP will ensure that the ESP remains harmonized and mutually reinforcing with those frameworks to maintain a coherent and integrated ESMS.

(f) **Continuous Improvement and Alignment with Best Practices:** CIIP is committed to the ongoing enhancement of its ESMS. The ESMS will be reviewed and updated periodically to ensure it remains responsive to evolving organizational priorities, national policy developments, and global trends. Updates will be carried out in a transparent and participatory manner, incorporating feedback from internal and external stakeholders, and reflecting lessons learned from implementation experiences.

CIIP will also seek alignment with international best practices and standards by drawing on the guidance of global climate finance institutions, including recommendations from independent accountability units and by integrating relevant innovations and methodologies used by peer implementing entities.

(g) **Stakeholder Engagement and Information Disclosure**: Meaningful stakeholder engagement is fundamental to the effective implementation of CIIP's ESMS. CIIP will promote inclusive, transparent, and culturally sensitive participation of stakeholders—especially vulnerable and marginalized groups—throughout the entire project cycle. This includes consultation during project design, risk assessment, implementation, and monitoring phases.

The engagement process will be gender-responsive and rights-based, ensuring that diverse perspectives are reflected in project decisions. CIIP will also ensure timely and accessible disclosure of relevant environmental and social information, in line with its institutional transparency practices and the disclosure requirements of its financing partners.

(h) **Gender-Sensitive Approach**: CIIP recognizes gender equality as a core element of sustainable development and is committed to implementing a gender-sensitive approach across all aspects of its operations. In line with its Gender Policy and the gender requirements of the GCF and AF, CIIP will systematically assess gender-related risks and impacts during project preparation and link appropriate mitigation measures to project-specific gender action plans.

(i) **Conflict-Sensitive Approach**: CIIP recognizes the importance of integrating conflict sensitivity into all aspects of project planning and implementation. This includes not only activities in fragile or conflict-affected settings but also efforts to prevent potential tensions among communities, groups, or stakeholders affected by project interventions. CIIP will aim to ensure that its activities contribute to social cohesion, conflict mitigation, and long-term peacebuilding wherever relevant.

(j) **Knowledge Sharing and Capacity Development**: CIIP is committed to promoting institutional learning by systematically capturing and sharing lessons from the implementation of environmental and social safeguards. These experiences will inform ongoing improvements in the ESMS and contribute to capacity development initiatives, stakeholder outreach, and communication efforts. CIIP will also seek opportunities to learn from other national and international implementing entities to strengthen its environmental and social performance.

(k) **Harmonized Application of Environmental and Social Standards**: To minimize duplicative processes and promote efficiency in projects involving multiple partners, CIIP will pursue the harmonization of environmental and social safeguard requirements with those of co-financing institutions. In such cases, CIIP will adopt a common approach that meets or exceeds the highest applicable standard, ensuring strong environmental and social protection while facilitating coordinated implementation.

(l) **Compliance with Applicable Laws**: CIIP will not support activities that are non-compliant with applicable national legislation or the international obligations of the Republic of Tajikistan under treaties and agreements relevant to project activities. Where there is a discrepancy between national and international standards, the higher standard shall prevail.

(m) **Labour and Working Conditions**: CIIP is committed to promoting decent work and fair treatment in all projects it implements. This includes adherence to non-discrimination, equal opportunity, freedom of association, and safe and healthy working conditions. All activities will be guided by the core labour standards of the International Labour Organization (ILO) and national labour legislation.

(n) **Indigenous Peoples**: CIIP will avoid adverse impacts on indigenous peoples in all its activities. Where such impacts cannot be fully avoided, they will be minimized, mitigated, or compensated through culturally appropriate and equitable measures. CIIP will also promote positive outcomes for indigenous communities, respecting their rights to land, territories, natural resources and cultural heritage. All engagement with indigenous peoples will be based on full and effective participation and—in circumstances where required—guided by the principle of free, prior, and informed consent (FPIC), in accordance with the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP).

(o) **Human Rights**: CIIP upholds the universal principles of human rights as recognized by the United Nations. All CIIP-implemented activities will be designed and carried out in a manner that promotes, respects and safeguards human rights. CIIP will apply robust due diligence to ensure that no supported activity causes, contributes to, or exacerbates human rights violations.

(p) **Biodiversity and Ecosystems**: CIIP will ensure that all projects are implemented in a way that protects biodiversity, maintains ecosystem services, and promotes the sustainable use of living natural resources. Activities that could result in significant harm to critical habitats or species will be avoided. Where impacts are unavoidable, appropriate mitigation and conservation measures will be developed and implemented.

3. Environmental and Social Management System – Categorization/Screening

3.1 Risk Categorization

During the initial phase of project drafting, CIIP is required to conduct environmental and social screening of all proposed activities, including programmes, projects and subprojects. Based on the outcomes of the screening, each activity shall be assigned an appropriate environmental and social risk category.

This risk categorization must be consistent with CIIP's ESMS procedures and aligned with the environmental and social safeguard standards of international DFIs. The purpose of this screening is to ensure that potential environmental and social risks and impacts are identified as early as possible in the project cycle, and that the appropriate level of environmental and social due diligence is applied throughout the design and implementation of the activity.

This process is a critical step in ensuring that CIIP-implemented projects are aligned with environmental and social safeguard requirements and that any potential risks are identified and managed early in the project cycle.

The purpose of the screening process is to:

- Identify whether the proposed project is likely to cause any adverse environmental or social impacts;
- Ensure early identification of environmental pollution or degradation, including climate-related risks such as greenhouse gas emissions;
- Categorize the level of environmental and social risk as **Low**, **Moderate**, or **High**;
- Where risks are identified, determine appropriate mitigation, management or monitoring measures.

The process of risk identification or screening for risks should follow the 8 principles of the Environmental and Social Safeguards (Annex I).

The screening process consists of two sequential phases:

1. **Initial Screening Questionnaire** – Determines whether a project is exempt from further review or includes any activities that fall under CIIP's exclusion list. (Refer to Annex II, Table 1);
2. **Full Screening Questionnaire** – Required for all non-exempt, eligible projects. This form assesses the project's environmental and social risk in detail and guides the assignment of a formal risk category (Annex II, Table 2).

The **CIIP Environmental and Social Safeguards Officer** is responsible for reviewing the completed forms, validating responses, and formally assigning the project's risk category. *Table 1* shows the criteria by which the categories are identified.

Table 1: Risk Categories Used by CIIP

Category	Description
Category A – High Risk	Projects with the potential to cause significant, adverse environmental and/or social impacts that are irreversible, cumulative, or widespread. These impacts may affect sensitive receptors or extend beyond the project site. Full Environmental and Social Impact Assessment

	(ESIA) and Environmental and Social Management Plan (ESMP) are required.
Category B – Moderate Risk	Projects with potential adverse impacts that are limited in scale, site-specific, reversible, and for which mitigation measures can be readily designed. An ESMP is required, and targeted assessments may be conducted.
Category C – Low Risk	Projects with minimal or no adverse environmental or social impacts. No further assessment beyond the screening is required. Risk mitigation may be embedded within standard operating procedures.

3.2 Exemption from Screening Requirements

Certain types of CIIP-supported interventions may be exempt from full ESMS screening due to their non-operational nature and minimal environmental and social risk. Projects will be considered exempt only if the entire scope of the intervention falls within the following categories:

- Preparation and dissemination of knowledge products (e.g., research papers, guidance manuals);
- Organization of capacity-building activities, such as trainings, workshops, or seminars;
- Strengthening institutional or stakeholder capacities to participate in national or international policy processes;
- Partnership coordination and the facilitation of networks and platforms; and
- Activities that are strictly global, regional, or national in nature—such as policy dialogue, knowledge management or intergovernmental coordination—that do not involve any direct field-level interventions.

Exemptions apply only when these functions constitute the entire project scope. If a project includes both exempt and operational components (e.g., capacity building plus infrastructure or field deployment), then the entire project must be screened using the full ESMS process.

The CIIP Environmental and Social Safeguards Officer will determine exemption status during the Initial Screening phase (see Table 1, Annex II). Projects that do not qualify as exempt must proceed with the Full Screening Questionnaire as outlined in Table 2 of Annex II.

4. Environmental and Social Safeguards (ESS)

The Environmental and Social Safeguards (Safeguards, or ESS) of CIIP form the operational core of its Environmental and Social Policy. These Safeguards are designed to prevent, minimize, or mitigate harm to people and the environment, while enhancing the positive impact of CIIP-supported projects. All CIIP activities must comply with these Safeguards throughout the project lifecycle, from design and appraisal to implementation, monitoring and closure.

The Safeguards are organized into two categories: **Environmental Safeguards** and **Social Safeguards**, each supported by compliance monitoring and documentation requirements embedded in the Environmental and Social Management Plan (ESMP) of each project.

Safeguard Category	Safeguard Area	Key Measures and Objectives
Environmental Safeguards	**Biodiversity Protection**	● Avoid ecological degradation and habitat loss; ● Prevent project siting in sensitive/protected areas; ● Implement restoration and conservation measure.
	Climate Change Considerations	● Integrate climate risk and vulnerability assessments; ● Promote climate-resilient technologies and designs; ● Reduce long-term vulnerability of ecosystems and communities.
	Pollution Control	● Prevent air, water and soil pollution; ● Ensure responsible waste management, including hazardous waste; ● Promote cleaner production and resource efficiency.
Social Safeguards	**Social Inclusion**	● Ensure access and participation of vulnerable groups; ● Prevent exclusion or negative social impacts; ● Promote equity in benefit-sharing.
	Gender Equality	● Conduct gender analysis during design; ● Integrate gender-responsive activities and indicators; ● Prevent gender-based violence and discrimination.
	Labor Rights and Conditions	● Ensure fair wages, safe working conditions, and legal compliance; ● Prohibit forced and child labor; ● Respect workers' rights and freedom of association.
	Cultural Sensitivity and Respect	● Avoid damage to cultural heritage or disruption of traditions; ● Engage with communities on cultural risks; ● Preserve local customs and intangible heritage.

Detailed description of ESS can be found at Annex I. Annex VII provides a mapping of CIIP safeguards against the 15 Environmental and Social Policy principles of the Adaptation Fund.

4.1 Further Due Diligence Requirements for Category A and B Projects

The environmental and social risk category assigned to a project determines the level of due diligence and safeguard planning required. Category C (Low Risk) projects generally require no further assessment beyond screening, unless specific risks are identified during project checks or under national legislation.

For projects classified as Category A (High Risk) or Category B (Moderate Risk), CIIP requires the development and implementation of further environmental and social due diligence measures to ensure that potential adverse impacts are adequately addressed and mitigated.

4.2 Environmental and Social Action Plan (ESAP)
Project proponents are responsible for preparing an Environmental and Social Action Plan (ESAP) to address risks identified during the screening process. The ESAP must:

- Outline required mitigation, management, or monitoring actions;
- Be proportionate to the project's risk level and impacts;
- Be aligned with national legal requirements and CIIP's safeguard standards.

CIIP provides a standard **ESAP template** (see **Annex III**). The ESAP is reviewed and approved by CIIP's Safeguards Officer. Once finalized, the ESAP becomes a binding component of the project's legal or financing agreement and is subject to monitoring and enforcement.

4.3 Due Diligence Requirements for Category A (High Risk) Projects
Category A projects are those with the potential to cause significant, irreversible or wide-scale adverse environmental and/or social impacts. These projects must conduct the following due diligence activities:

- A full **Environmental and Social Impact Assessment (ESIA)** in accordance with national legislation and CIIP guidance (see **Annex IV** for ESIA structure);
- Development of a detailed **Environmental and Social Management Plan (ESMP)** to guide implementation and monitoring (see **Annex V** for template);
- If access restrictions are expected, preparation of a **Process Framework** to ensure community participation in project planning (see **Annex VI** for guidance).

The project may not proceed to implementation until all required assessments and plans are reviewed and approved by CIIP.

4.4 Due Diligence Requirements for Category B (Moderate Risk) Projects
Projects in Category B typically involve site-specific, limited, and reversible impacts. However, depending on the screening findings, CIIP may still require specific due diligence steps, including:

- Preparation of an **ESAP** with proportionate mitigation measures;
- Preparation of a simplified **ESMP**, adapted to the project scope and scale (Annex V).

In instances where national legislation triggers a full ESIA (regardless of CIIP risk classification), the project proponent must comply with national requirements and submit the ESIA for CIIP review.

5. Environmental and Social Management Plan

Based on the results of the environmental and social assessment and informed by stakeholder engagement, CIIP will develop and implement a structured programme of actions to address identified environmental and social risks and impacts and to support performance improvement in line with applicable ESS.

Depending on the scale and nature of the intervention, this programme may include documented procedures, specific management and monitoring plans, operational practices, and capital investments. These measures will be consolidated into an ESMP which forms an integral component of CIIP's ESMS.

The ESMP will define clear responsibilities, timelines, monitoring indicators and resource requirements necessary to ensure the effective implementation of mitigation measures and the achievement of positive environmental and social outcomes throughout the project lifecycle.

The ESMP will reflect the mitigation hierarchy and good international practice and ensure that all relevant stages of the project are structured to meet applicable laws and regulatory requirements, and the ESSs.

Tools such as ESIAs, Environmental and Social Screening Checklists and Stakeholder Risk Mapping will be used to identify risks early.

5.1 Risk Mitigation Measures

For each identified risk, CIIP will develop context-specific mitigation measures tailored to project circumstances and aligned with DFI best practices. Mitigation approaches may include:

- Technical changes in project design or site selection;
- Enhancement of environmental protections (e.g., pollution controls, reforestation);
- Social safeguard actions (e.g., livelihood restoration plans, gender action plans);
- Capacity-building of local stakeholders to support implementation.

All mitigation measures will be documented in ESMPs, which must be budgeted, monitored, and disclosed.

5.2 Monitoring

CIIP will establish a robust monitoring system to:

- Track the implementation of mitigation measures in line with GIP;
- Identify emerging risks or unintended consequences;
- Assess the overall effectiveness of the risk management system.

This monitoring is intended to: (i) determine whether the project is being implemented in accordance with the ESRs, (ii) inform the implementation of any actions, including corrective and preventative actions necessary to mitigate risks and impacts, and (iii) learn lessons, allocate resources and identify opportunities for continuous improvement.

Periodic environmental and social audits will be conducted by qualified internal or external experts. Results will be integrated into semi-annual and annual project reports submitted to oversight bodies, donors, and relevant government institutions. A grievance redress mechanism will support early warning of potential risk failures or community dissatisfaction and will feed into corrective actions.

Monitoring requirements will be proportional to the nature of the project and its environmental and social risks and impacts. Monitoring will address:

- Any significant environmental and social risks and impacts identified during the environmental and social assessment process and during project implementation;
- Relevant parts of the ESRs, as identified during the project assessment process and subsequent monitoring;
- Actions specified in the ESMP and/or ESAP;
- Relevant performance indicators and targets;
- Grievances received from workers and external stakeholders, and how they were resolved;
- Any regulatory monitoring and reporting requirements;
- Any monitoring and reporting required by other parties (for example, off-takers, financiers and certification bodies).

CIIP will ensure that adequate resources, qualified personnel, and institutional arrangements are in place to conduct environmental and social monitoring as part of its ESMS. Monitoring will be carried out throughout the project lifecycle to assess the effectiveness of mitigation measures, track compliance with ESS and identify any unforeseen risks or impacts.

Based on monitoring results, CIIP will take timely corrective actions as needed to address deviations or improve performance. Where appropriate, CIIP may engage independent experts, civil society organizations, or local communities to complement or validate its monitoring efforts and promote transparency and accountability.

In cases where specific environmental and social risks, impacts, or mitigation measures fall under the jurisdiction of relevant national authorities or other third parties, CIIP will collaborate closely with those actors to support the effective implementation and oversight of mitigation measures.

5.3 Reporting

CIIP will prepare and submit regular reports on the environmental and social performance of each project or programme it implements, in accordance with the requirements of its ESMS and ESMP. These reports will provide updates on compliance with applicable Environmental and Social Requirements (ESRs), progress in the implementation of mitigation and monitoring measures, and any significant environmental or social risks or impacts encountered during implementation.

Reporting will also include information on:

- Key performance indicators and targets;
- Grievances received from workers or external stakeholders and the measures taken to address them;
- Internal and/or third-party verification or quality assurance processes used to prepare the report.

Where monitoring results indicate the need for corrective or preventive actions, CIIP will revise the ESMP accordingly and reflect these changes in updated implementation schedules or operational plans. All corrective and preventive measures will be implemented in a timely manner and followed up to ensure continued environmental and social performance improvement.

Where applicable, if CIIP already discloses or intends to disclose environmental and social performance reports in accordance with good international practice (GIP), and such reports address the content requirements outlined above, CIIP may use these reports to fulfil its donor and stakeholder reporting obligations.

CIIP shall promptly notify the relevant funding entities and competent national authorities of any environmental or social incident or accident related to a CIIP-implemented project that has caused, or is likely to cause, significant adverse impacts on the environment, affected communities, or project personnel. CIIP will carry out an appropriate investigation into the incident, identify root causes, and implement corrective and preventive measures as needed. All such incidents and responses shall be documented and reported in accordance with CIIP's ESMS procedures and applicable donor requirements.

CIIP will promptly inform its funding partners (e.g., GCF, AF) and relevant national authorities of any material changes to the scope, design, implementation, or operation of a project that may significantly alter its environmental or social risk profile. Where such changes occur, CIIP will undertake additional environmental and social assessments and stakeholder engagement, as necessary, to ensure continued compliance with applicable ESRs. Resulting updates to the ESMP or other safeguard instruments will be submitted for review and approval as required.

For projects with potentially significant adverse environmental or social risks and impacts, CIIP may be required—either by its internal risk assessment procedures or at the request of a donor agency—to engage qualified independent experts to conduct periodic external reviews or to monitor specific environmental or social issues. The scope, frequency, and reporting obligations of such independent reviews will be determined on a case-by-case basis in coordination with relevant stakeholders and in line with CIIP's ESMS.

6. Information Disclosure, Stakeholder Engagement and Grievance Redress Process

6.1 Information Disclosure

The Governance and Compliance Framework of CIIP affirms that CIIP will operate in a transparent and accountable manner guided by the principles of efficiency and effectiveness. The CIIP Information Disclosure Statement operationalizes this commitment by ensuring transparency, public access to information and stakeholder participation in all its activities. The Information commitment requires that relevant information, including with respect to environmental and social issues, is made available to the affected and potentially affected communities and external stakeholders.

In line with international best practices and CIIP's commitment to transparency and inclusive stakeholder engagement, CIIP shall ensure the timely and accessible disclosure of environmental and social documentation related to project and programme proposals that may have environmental or social impacts. The purpose of this disclosure is to inform stakeholders, promote accountability, and enable meaningful public participation prior to decision-making.

Accordingly, CIIP will disclose and publicly announce the following documentation, based on the environmental and social risk categorization of the project or programme:

- **Category A Projects**: The **Environmental and Social Impact Assessment (ESIA)** and the corresponding **Environmental and Social Management Plan (ESMP)** shall be disclosed at least **120 days prior** to the relevant decision-making point.
- **Category I-1 Programmes**: The **Environmental and Social Management System (ESMS)** for the programme shall be disclosed at least **120 days in advance** of the decision to approve the programme.
- **Category B Projects**: The **ESIA** and **ESMP** shall be disclosed at least **30 days prior** to the relevant decision-making point.
- **Category I-2 Programmes**: The **ESMS** shall be disclosed at least **30 days in advance** of the decision to approve the programme.

These disclosure timelines apply prior to the final decision to approve funding or commence implementation.

CIIP will ensure that all disclosed documents are made publicly available in a timely, culturally appropriate and accessible manner, including through its official website and other communication platforms, especially in areas directly affected by the proposed activities. All environmental and social documentation subject to disclosure shall be provided in both the local language (Tajik) and English, to ensure inclusive access to information for all stakeholders.

6.2 Stakeholder Engagement

CIIP recognizes that meaningful stakeholder engagement is essential to the environmental and social sustainability, inclusiveness, and effectiveness of its projects and programmes. Engagement with stakeholders—particularly with affected people and vulnerable groups—enhances the relevance, ownership, and transparency of interventions, supports early identification and management of risks, and strengthens long-term development outcomes.

In accordance with the ESP, the results of the environmental and social screening must be made available to the public through consultations that are timely, inclusive, free of coercion and appropriate to the cultural and linguistic context of the directly affected communities. These consultations serve to inform stakeholders, solicit feedback, and strengthen project design and implementation based on local knowledge and concerns.

CIIP is committed to ensuring the effective engagement of all stakeholders, particularly those who are directly or potentially affected by its activities. This includes vulnerable populations, groups, and individuals, such as women, children, persons with disabilities, indigenous peoples, local communities, and individuals who may experience marginalization based on ethnicity, language, sexual orientation, gender identity or other characteristics.

6.3 Identification of Stakeholders

For each project or programme, CIIP will develop a Stakeholder Engagement Plan (SEP) that outlines the approach to:

- Information disclosure;
- Meaningful consultation;
- Informed participation, in a manner that is culturally appropriate, gender-responsive and adapted to the local context.

CIIP will establish standardized procedures for the identification and mapping of stakeholders in all projects and programs. Key stakeholder groups may include local communities (including customary landowners and resource users), government agencies and municipal authorities, civil society organizations, including NGOs, women's groups and youth associations, economically disadvantaged populations and other vulnerable groups (e.g., persons with disabilities, minorities and the elderly) and private sector actors and project partners.

Stakeholder mapping will analyze roles, interests, influence and potential risks to or from each stakeholder group and will guide engagement strategies accordingly.

6.4 Consultation Mechanisms

CIIP will design and implement inclusive, transparent, and iterative consultation mechanisms at all stages of the project lifecycle (identification, design, implementation, monitoring, and closure).

Consultations will be culturally appropriate, gender-sensitive, and adapted to local contexts, conducted in local languages and with appropriate timing and formats, designed to actively address power imbalances and promote the participation of marginalized or underrepresented groups.

Project information will be disclosed in advance of consultations, using accessible formats (e.g., brochures, community meetings, social media), enabling stakeholders to engage meaningfully and make informed contributions.

CIIP commits to documenting stakeholder feedback and demonstrating how such input has shaped project outcomes.

6.5 Grievance Redress Mechanism (GRM)

CIIP is committed to ensuring that communities affected, or likely to be affected**,** by its activities have access to effective, transparent and responsive grievance redress mechanisms (GRMs)**.** To uphold this commitment, a formal project-level GRM shall be established for all CIIP-supported projects, in alignment with CIIP’s organizational-level GRM and the principles outlined in its ESMS.

The objective of each activity-level GRM is to resolve complaints in a manner that is fair, timely, transparent, and satisfactory to the complainants and other relevant parties, taking into account the specific nature and context of the grievance. Where a grievance mechanism already exists within the structures of implementing partners or project entities, CIIP will assess its adequacy and ensure it meets the minimum functional requirements of CIIP's ESMS, including accessibility, confidentiality, non-retaliation, and proper documentation.

The GRM will:

- Be accessible, including to rural populations, illiterate persons and those with mobility or communication limitations;
- Provide clear, confidential and non-retaliatory pathways for submitting concerns or complaints;
- Ensure grievances are logged, acknowledged, investigated, and resolved in a timely and transparent manner;
- Allow for escalation of unresolved issues to higher authorities or independent mediators;
- Provide regular reporting on grievance trends, resolution rates and systemic issues.

CIIP will promote awareness of its GRM as an integral part of its stakeholder engagement process. Information about the GRM will be shared with stakeholders at the earliest stage of engagement and reinforced throughout the entire project lifecycle, ensuring that all stakeholders are aware of their right to raise concerns or complaints at any time.

CIIP will ensure that this information is communicated in an understandable format and in all relevant local languages, using culturally appropriate and accessible communication channels. Special attention will be given to reaching vulnerable and marginalized groups, so that all affected individuals can access the mechanism freely, safely and without fear of retaliation.

Where applicable, and in line with the policies of its funding partners, CIIP will inform stakeholders of the availability of external GRMs, such as those of international funding institutions, for concerns that are not adequately resolved through the project-level GRM.

7. Capacity Building and Awareness Raising

The effective implementation of CIIP's ESP depends on continuous capacity development and stakeholder awareness at all levels. Strengthening knowledge and skills—from CIIP staff and project implementers to executing partners and community beneficiaries—is essential to ensuring compliance with environmental and social safeguards, promoting shared ownership of outcomes, and supporting inclusive, informed decision-making processes.

To this end, CIIP will design and implement a structured capacity-building program in line with its Capacity Building and Training Plan, aimed at enhancing environmental and social risk management capabilities across its operations. The program will cover the following key areas:

- Training for CIIP Staff and Project Implementers:

    - Deliver regular training sessions on the ESP, safeguard requirements, risk screening and the application of ESMPs;
    - Equip teams to conduct ESIAs, apply screening tools, monitor safeguard performance and prepare compliance reports.

- Capacity Development for Executing Entities and Contractors:
    - Ensure that all implementing partners understand and adhere to CIIP's environmental and social safeguard standards;
    - Incorporate environmental and social compliance into pre-contract training sessions and contractual performance obligations.

- Community-Level Capacity Building:
    - Train local stakeholders, including community representatives and civil society organizations (CSOs), to participate effectively in consultations, GRMs, environmental and social monitoring and benefit-sharing arrangements.

All capacity-building activities will be gender-sensitive and adapted to the specific roles, responsibilities, and knowledge needs of the different stakeholder groups involved.

In parallel, CIIP will carry out targeted awareness-raising activities throughout the project lifecycle to strengthen transparency, accountability, and community engagement. These efforts are designed to inform and empower stakeholders, particularly those in remote, underserved, or vulnerable communities, and complement the capacity-building program by promoting ongoing engagement and local ownership.

Specifically, CIIP will:

- Inform stakeholders about the potential environmental and social impacts of project activities and clearly communicate the associated mitigation measures;
- Publicize the GRM and ensure that all stakeholders—especially those in marginalized or hard-to-reach communities—know how to access it and feel confident doing so;
- Promote community involvement in safeguarding project outcomes by encouraging participation in environmental and social monitoring;
- Use inclusive and accessible communication tools such as public meetings, community radio, printed materials, and visual aids to reach diverse audiences, including persons with limited literacy or internet access.

All awareness and communication activities will be context-specific, conducted in relevant local languages, and designed to ensure that stakeholders are adequately informed and meaningfully engaged in environmental and social matters.

8. Monitoring, Evaluation and Reporting

CIIP's ESP is implemented in close alignment with its institutional Monitoring and Evaluation (M&E) Policy, which provides the overarching framework for performance tracking, learning, and accountability. Within this framework, CIIP ensures that environmental and social safeguards are systematically monitored, evaluated, and reported throughout the project lifecycle.

The monitoring of environmental and social safeguards will be fully integrated into CIIP's M&E Framework, in accordance with the systems and procedures outlined in CIIP's M&E Policy. Environmental and social indicators will be embedded within project-level logical frameworks, results matrices, and monitoring tools, ensuring that safeguard performance is tracked alongside technical outputs and financial results. To maintain consistency and ensure alignment across monitoring efforts, dedicated M&E personnel will work closely with CIIP's environmental and social specialists, enabling a coordinated and comprehensive approach to tracking compliance, performance, and impact.

All CIIP-supported projects will be subject to systematic environmental and social monitoring to ensure compliance with the ESMP and other applicable safeguard instruments. Monitoring will be conducted throughout the project lifecycle to track both the effectiveness of mitigation measures and adherence to CIIP's ESRs.

The monitoring framework will include a mix of quantitative indicators—such as the number of beneficiaries reached through mitigation actions, levels of environmental pollutants, and grievance resolution rates—and qualitative indicators, including stakeholder satisfaction with engagement processes and perceptions of social inclusion and equity.

CIIP will promote the use of participatory monitoring approaches, encouraging the active involvement of local communities, civil society organizations, and other relevant stakeholders in assessing the implementation and effectiveness of safeguard measures. This inclusive approach will help build trust, strengthen transparency, and support continuous learning and improvement.

CIIP's M&E framework includes dedicated components for assessing the effectiveness of environmental and social risk management across its portfolio. These evaluations are designed to determine whether safeguard measures have been implemented as planned and whether they have effectively addressed the environmental and social risks identified during project preparation.

Evaluations will focus on three core dimensions: the degree of implementation of mitigation measures, the extent to which environmental and social risks and impacts were avoided, minimized, or mitigated throughout the project lifecycle, and the identification of lessons learned to inform and strengthen the planning and execution of safeguards in future initiatives.

This evaluative process will contribute to adaptive management, enhance institutional learning, and support the continuous improvement of CIIP's ESMS.

Environmental and social performance will be systematically integrated into all project progress reports submitted to CIIP management, government counterparts, and development partners. In addition to internal reporting, CIIP is committed to public transparency through regular and accessible disclosure practices, consistent with its institutional information disclosure commitments. This includes publishing summary reports on environmental and social outcomes, sharing findings with local stakeholders in accessible, culturally appropriate formats and incorporating environmental and social reporting into CIIP's annual institutional reports.

By aligning the ESP with CIIP's M&E Policy, the institution ensures that environmental and social safeguards are not treated as standalone or parallel processes, but are fully embedded within CIIP's core performance management systems. This integrated approach promotes transparency, enhances accountability and reinforces CIIP's commitment to sustainable and inclusive development.

Findings from environmental and social monitoring will inform adaptive management and be used to update safeguard procedures, improve project implementation and strengthen institutional learning.

9. Compliance and Enforcement

Ensuring consistent compliance with CIIP's ESP is fundamental to maintaining institutional credibility, achieving sustainable project outcomes, and fulfilling obligations under both national legislation and the requirements of international DFIs**.** All CIIP-supported projects and activities must comply with the environmental and social safeguards set forth in this Policy, the ESMS Framework and the applicable requirements of relevant development partners.

Where projects are financed by specific donors CIIP will ensure full adherence to the donor's Environmental and Social Safeguards (ESS), gender policies, stakeholder engagement standards and grievance redress mechanisms. Compliance is also required with Tajikistan's national laws and regulations, particularly those governing environmental protection, labor rights, land acquisition, and community engagement, as well as with international treaties and conventions ratified by the Republic of Tajikistan. Additionally, all activities must align with CIIP's internal policies on gender equality, stakeholder engagement, monitoring and evaluation and procurement.

To uphold the integrity and effectiveness of this Policy, CIIP will apply a set of enforcement mechanisms embedded within its ESMS. Environmental and social compliance will be continuously monitored and integrated into CIIP's institutional monitoring, evaluation, and audit processes. Dedicated safeguard reviews**,** environmental and social audits**,** and verification missions will be conducted periodically to assess implementation performance. Where non-compliance is identified, CIIP will take prompt action to initiate corrective measures, which may include the suspension of disbursements or activities, mandatory revision of ESMPs, additional stakeholder consultations, or engagement of grievance redress procedures. In cases of serious or persistent violations, matters may be referred to external regulators or funding partners, and enforcement actions may include contract termination, disciplinary measures, or debarment of non-compliant implementing partners or contractors from future CIIP-supported activities.

All compliance findings, decisions, and corrective actions will be documented and transparently communicated to relevant oversight bodies and stakeholders, in accordance with CIIP's commitments to openness, accountability and good governance.

10.Annex I: Environmental and Social Safeguards

Safeguard 1: Assessment and Management of Environmental and Social Risks and Impacts

o **Performance Standard**

This safeguard emphasizes the importance of identifying, assessing, and managing environmental and social (E&S) risks throughout the lifecycle of CIIP-supported projects.

Its objectives are to: (i) Identify and evaluate E&S risks and impacts; (ii) Apply a mitigation hierarchy to avoid, minimize, mitigate, and compensate for impacts; (iii) Respond appropriately to grievances and stakeholder concerns; (iv) Ensure continuous stakeholder engagement and disclosure of relevant E&S information.

CIIP must maintain an institutional structure capable of implementing its ESMS effectively and conduct E&S due diligence for all proposed projects.

o National Provisions

The Law of the Republic of Tajikistan on "Environmental Expertise" (2003) provides the primary legal basis for environmental impact assessments (EIA). It mandates that any proposed economic or other activities likely to affect the environment undergo an environmental review (state environmental expertise) prior to approval.

The Committee for Environmental Protection under the Government of Tajikistan are responsible for oversight. Project categories are determined based on potential environmental impact, and more detailed assessments are required for higher-risk projects. This includes Preliminary EIA (PEIA) and Full EIA reports for projects likely to cause significant impact.

Safeguard 2: Labour and Working Conditions

o Performance Standard

This safeguard recognizes that economic growth should be accompanied by protection of the fundamental rights of workers.

The primary objectives of this PS are to: (i) promote the fair treatment, non-discrimination, and equal opportunity of workers; (ii) establish and improve the worker-management relationship; (iii) promote compliance with national employment and labour laws; (iv) protect workers (including vulnerable categories of workers); (v) promote safe and healthy working conditions and the health of workers; and, (vi) avoid the use of forced labour.

This PS covers directly engaged workers, workers engaged through third parties, and the entity’s primary suppliers. These requirements can be classified as falling into the following categories:

- Working Conditions and Management of Worker Relationship:
  - Human resources Policies;
  - Working Conditions and Terms of Employment;
  - Workers’ Organizations o Non-Discrimination and Equal Opportunity;
  - Retrenchment o Grievance Mechanism.

- Protecting the Work Force:
  - o Child Labour;
  - o Forced Labour.
- Occupational Health and Safety;
- Workers Engaged by Third Parties;
- Supply Chain.

o National Provisions

The Labour Code of the Republic of Tajikistan regulates employment, prohibiting forced labour and discrimination based on nationality, gender, or religion. The Code sets conditions for working hours, minimum wage, occupational health, and safety. The Ministry of Labour, Migration and Employment supervises enforcement. Occupational safety standards are further regulated by sector-specific laws and the Law "On Labour Protection."

Safeguard 3: Resource Efficiency and Pollution Prevention

o Performance Standard

This safeguard recognizes that increases in economic activity can generate increases in air, water and land pollution as well as consumption of finite resources that may threaten people and the environment. The primary objectives of this safeguard are to:

(i) avoid or minimize adverse impacts on human health and the environment by avoiding or minimizing pollution from project activities;
(ii) promote more sustainable use of resources, including energy and water; and,
(iii) reduce project-related GHG emissions.

This safeguard aims to:

(i) Avoid or minimize adverse pollution impacts;
(ii) Promote sustainable use of resources, including water and energy;
(iii) Reduce greenhouse gas (GHG) emissions.

o National Provisions

The Law "On Environmental Protection" outlines the legal foundation for pollution control. The Law "On Air Protection," the Water Code, and the Law "On Waste" regulate emission standards, pollutant discharge, waste treatment, and environmental fees. GHG regulation is guided by Tajikistan's National Strategy for Climate Change Adaptation and commitments under the UNFCCC.

Safeguard 4: Community Health, Safety, and Security

This safeguard recognizes the potential of project activities to increase community exposure to risks and impacts and addresses the relevant entity’s responsibility to avoid or minimize the risks and impacts to community health that may result from project-related activities.

o Performance Standard

The safeguard seeks to:

- Prevent or minimize risks to community health and safety during project design and implementation;
- Manage security arrangements consistent with human rights.

The requirements of this PS can be broken down into the following categories:

- Infrastructure and Equipment Design and Safety;
- Hazardous Materials Management and Safety;
- Ecosystem Services;
- Community Exposure to Disease;
- Emergency Preparedness and Response.

o National Provisions

Tajikistan has established a comprehensive legal framework to safeguard community health, safety, and security. This framework encompasses various laws and regulations that address environmental protection, public health, occupational safety, emergency preparedness, and the management of hazardous substances. Below is an overview of the key legislative instruments relevant to this safeguard:

1. Law on Environmental Protection (2011, No. 485)

This foundational law outlines the principles and mechanisms for environmental protection, emphasizing the prevention of activities that may harm human health and the environment. It mandates environmental impact assessments, establishes environmental quality standards, and provides for public participation in environmental decision-making. The law also delineates the responsibilities of governmental bodies in monitoring and enforcing environmental regulations.

2. Law on Protection of the Atmospheric Air (2012, No. 915)

This law regulates activities related to air pollution, aiming to preserve and restore air quality. It sets emission standards for pollutants, outlines measures for controlling emissions from various sources, and establishes monitoring requirements to ensure compliance.

3. Water Code of the Republic of Tajikistan (2020, No. 1688)

The Water Code governs the use and protection of water resources, ensuring their sustainable management. It includes provisions for preventing water pollution, protecting public health, and ensuring the safety of water supply systems. The code also addresses the responsibilities of water users and authorities in maintaining water quality.

4. Law on Production and Consumption Waste (2002, No. 44)

This law addresses the management of waste to prevent its negative impact on human health and the environment. It covers the generation, collection, transportation, treatment, and disposal of waste, including hazardous waste. The law also establishes requirements for waste management facilities and outlines the responsibilities of waste producers and handlers.

5. Law on Radiation Safety (2003, No. 1002)

This law ensures the protection of the population and the environment from the harmful effects of ionizing radiation. It sets safety standards for the use of radioactive materials, outlines the responsibilities of entities handling such materials, and establishes monitoring and control mechanisms.

6. Law on Fire Safety (1994, revised 1996)

This law establishes the legal basis for fire safety measures, including the prevention of fires, protection of individuals and property, and response to fire incidents. It outlines the responsibilities of governmental bodies, organizations, and individuals in ensuring fire safety and sets requirements for fire safety equipment and procedures.

7. Law on Sanitary and Epidemiological Safety of the Population (2003, No. 1005)

This law aims to protect public health by ensuring sanitary and epidemiological well-being. It establishes sanitary standards, regulates activities that may pose health risks, and outlines measures for preventing and controlling infectious diseases. The law also defines the roles of health authorities in monitoring and enforcing sanitary regulations.

8. Law on Civil Defence (1995, No. 23)

This law provides the framework for protecting the population and territories from emergencies, including natural disasters and industrial accidents. It outlines the organization of civil defence measures, responsibilities of governmental bodies, and procedures for emergency preparedness and response.

9. Law on Industrial Safety of Hazardous Production Facilities (2004, No. 35)

This law regulates the safety of hazardous production facilities to prevent accidents and protect workers and the public. It sets requirements for the design, operation, and maintenance of such facilities, mandates risk assessments, and establishes oversight mechanisms.

10. Law on Labour Protection (1993, No. 221)

This law ensures the safety and health of workers by setting occupational safety standards, regulating working conditions, and outlining the responsibilities of employers and employees. It also establishes mechanisms for monitoring and enforcing labour protection regulations.

Safeguard 5: Land Acquisition and Involuntary Resettlement

- **Performance Standard**

This safeguard recognizes the potential adverse impacts that can be caused by project-related land acquisition and restrictions on land use. Involuntary resettlement under this PS refers to both physical and economic displacement as a result of project-related land acquisition and/or restrictions on land use.

The primary objectives of this PS are to: (i) avoid (or minimize) displacement by exploring alternative project designs; (ii) avoid forced eviction; (iii) anticipate and avoid (or minimize) adverse social and economic impacts from land acquisition or restrictions on land use by (a) providing compensation for loss of assets at replacement cost and (b) ensuring that resettlement activities are implemented with appropriate disclosure and consultation; (iv) improve, or restore the livelihoods and standards of living of displaced persons; and, (v) improve living conditions among physically displaced persons through the provision of adequate housing with security of tenure.

The various requirements of this safeguard can be broken down into the following classifications:

- General:
  - Project Design;
  - Compensation and Benefits for Displaced Persons;
  - Community Engagement o Grievance Mechanism;
  - Resettlement and Livelihood Restoration Planning and Implementation.
- Displacement:
  - Physical Displacement;
  - Economic Displacement.
- Private Sector Responsibilities Under Government-Management Resettlement

o National Provisions

The following national provisions relating to land acquisition and involuntary resettlement must be considered and followed.

1. The Constitution of the Republic of Tajikistan establishes exclusive state property on land whereas the state ensures its effective use in the best interests of the people. The amendments to the Land Code, that took place in August 2012 allow alienating land use rights and land use rights became subject to buying/selling, gift, exchange, pledge and other transactions. Amendments to the Mortgage Law, allow the individual land user to pledge his/her user rights to the land plot to another individual, bank or institution at the current market price. The implementing mechanisms for these amendments are being developed, although this right provides greater scope and flexibility to the land user. Cost of realty, constructions and assets should be compensated to physical persons.

2. The Land Code of the Republic of Tajikistan is the most systematized code of rules regulating the complex of legal relations arising during the process of exercising the land use rights. Matters related to suspension of land use rights, in case of their acquisition, and compensation of losses to land users and losses connected to withdrawal of land from the turnover are considered in two chapters and nine articles of the Land Code. These articles contain basic provisions on land acquisition for public and state purposes. The Code allows the state to seize the land from land users for the needs of projects implemented in the interests of state and at the state scale, and describes methods, system and order of protection of rights and interests of persons whose land is subject for withdrawal for the purposes of the project, and provides for the complex of compensatory measures to cover the land users' losses.

3. The Civil Code of the Republic of Tajikistan is regulating the legal status of participants of civil circulation, grounds for arising of rights and order of their implementation, contractual obligations, property and no property relations.

4. The Law of the Republic of Tajikistan "On Land Valuation" establishes legal grounds for normative land valuation (2001).

5. The Law of the Republic of Tajikistan "On Local Bodies of the State Authority" establishes normative grounds for allocation and reallocation of land (2004).

6. The Law of the Republic of Tajikistan "On Land Management" regulates relations connected to legal grounds of activities in the sphere of land management(2008).

7. The State Land Cadaster is a system of information and documentation on natural, economic and legal status of lands, their categories, qualitative characteristics and economic value.

8. Regulation on the order of compensation for losses of land users and damage of the agricultural production process, approved by the Resolution of the Government of the Republic of Tajikistan # 641, establishes an order of compensation of losses of land users(2011).

9. The Civil Procedural Code of the Republic of Tajikistan establishes an order, rules and terms of judicial protection in case of legal proceedings on matters related to involuntary resettlement.

10. The Economical Procedural Code of the Republic of Tajikistan also establishes an order, rules and terms of judicial protection in case of legal proceedings on matters related to involuntary resettlement.

Safeguard 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources

o Performance Standard

This PS recognises that protection and conservation of biodiversity, maintenance of ecosystem services and management of natural resources are fundamental to sustainable development. The primary objectives of this PS are to: (i) protect and conserve biodiversity; (ii) maintain the benefits from ecosystem services; and, (iii) promote the sustainable management of living natural resources through the adoption of practices that integrate conservation needs and development priorities.

The various requirements of this safeguard can be classified as follows:

- Protection and Conservation of Biodiversity:
  - Modified Habitat;
  - Natural Habitat;
  - Critical Habitat;
  - Legally Protected and Internationally Recognized Areas;
  - Invasive Alien Species.
- Management of Ecosystem Services;
- Sustainable Management of Living Natural Resources;
- Supply Chain.

o National Provisions

Compliance with the following national provisions is required:

1. Law on Environmental Protection (No. 760, 2011)

This foundational law outlines the principles and mechanisms for environmental protection, emphasizing the prevention of activities that may harm human health and the environment. It mandates environmental impact assessments, establishes environmental quality standards, and provides for public participation in environmental decision-making. The law also delineates the responsibilities of governmental bodies in monitoring and enforcing environmental regulations.

2. Law on Nature Protection

This law determines the principles of nature conservation developed with an aim to preserve natural resources and environment, support sustainable use and production of natural resources, prevention of harmful anthropogenic impacts on the environment, improvement of environment characteristics, strengthening the rule of law in related areas.

3. Law on Specially Protected Natural Areas

This law governs the establishment, management, and protection of specially protected natural areas, including national parks, nature reserves, and other conservation zones. It defines the categories of protected areas, outlines the procedures for their designation, and sets forth regulations to prevent activities that could harm their ecological integrity.

4. National Biodiversity Strategy and Action Plan (NBSAP)

Tajikistan's NBSAP provides a strategic framework for the conservation and sustainable use of biodiversity. It identifies priority actions, sets targets, and outlines measures to integrate biodiversity considerations into national development planning. The NBSAP also emphasizes the importance of public awareness, capacity building, and international cooperation in achieving biodiversity goals.

Safeguard 7: Indigenous Peoples

- **Performance Standard**

This PS recognizes that Indigenous Peoples are often the most vulnerable and marginalized groups of the population. Often their economic, social, and legal status present obstacles that serve to limit their capacity to defend their rights to and interests in lands, and natural and cultural resources.

The primary objectives of this PS are to: (i) ensure that development promotes full respect for the human rights, dignity, aspirations, culture and livelihoods of Indigenous Peoples; (ii) anticipate and avoid project-based impacts on communities of Indigenous Peoples or to minimize and/or compensate for such impacts; (iii) promote sustainable development benefits and opportunities for Indigenous Peoples in a culturally appropriate manner; (iv) establish and maintain ongoing relationships of informed consultation and participation with Indigenous Peoples affected by projects; (v) ensure the Free, Prior, and Informed Consent (FPIC) of the Affected Communities of Indigenous Peoples in relevant circumstances; and, (vi) respect and preserve the culture, knowledge, and practices of Indigenous Peoples.

The various requirements of this PS can be classified as follows:

- General:
  - Avoidance of Adverse Impacts;

- Participation and Consent.
- Circumstances Requiring Free, Prior, and Informed Consent (FPIC):
  - Impacts on Lands and Natural Resources Subject to Traditional Ownership or Under Customary Use;
  - Relocation of Indigenous Peoples from Lands and Natural Resources Subject to Traditional Ownership or Under Customary Use;
  - Critical Cultural Heritage.
- Mitigation and Development Benefits;
- Private Sector Responsibilities Where Government is Responsible for Managing Indigenous Peoples Issues.

o National Provisions

Tajikistan does not officially recognize any groups as Indigenous Peoples in the sense defined by international standards such as the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP). However, the country is home to various ethnic and cultural minorities, including the Pamiri and Yaghnobi peoples, who maintain distinct languages, traditions, and cultural practices. While these groups are not legally classified as Indigenous, certain national laws and international commitments provide a framework for protecting their rights and interests.

1. Constitutional Provisions

- **Article 17**: Guarantees equality of all citizens before the law and prohibits discrimination based on nationality, race, sex, language, religion, political beliefs, education, social status, or property.
- **Article 44**: Ensures the right to preserve and develop one's native language, culture, and traditions.

2. Labour Code of the Republic of Tajikistan

- **Article 7**: Prohibits discrimination in employment relationships based on nationality, race, sex, language, religion, political beliefs, social origin, education, or property status.
- **Article 8**: Prohibits forced labor, ensuring that all employment is based on free will and consent.

3. Law on Culture (1997)

This law aims to preserve and promote the cultural heritage of all peoples residing in Tajikistan. It supports the development of cultural institutions and the protection of historical and cultural monuments, which can be instrumental in safeguarding the cultural practices of minority groups.

4. International Commitments

Tajikistan is a party to several international treaties that, while not specific to Indigenous Peoples, commit the country to uphold the rights of minorities and prevent discrimination:

- **International Covenant on Civil and Political Rights (ICCPR)**
- **International Covenant on Economic, Social and Cultural Rights (ICESCR)**
- **International Convention on the Elimination of All Forms of Racial Discrimination (ICERD)**

- **Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW)**

These treaties obligate Tajikistan to protect the rights of all individuals, including ethnic and cultural minorities, and to ensure their participation in cultural, social, and economic life without discrimination.

5. National Strategy on Human Rights (2021–2025)
This strategy outlines Tajikistan's commitment to improving human rights protections, including measures to prevent discrimination and promote the rights of minorities. While it does not specifically address Indigenous Peoples, its implementation can contribute to the broader goal of safeguarding the rights of all cultural and ethnic groups in the country.

Safeguard 8: Cultural Heritage

o Performance Standard

This safeguard recognizes the importance of cultural heritage and aims to ensure that entities protect cultural heritage in the course of their project activities36. The primary objectives of this PS are to: (i) protect cultural heritage from the adverse impacts of project activities and support its preservation; and, (ii) promote the equitable sharing of benefits from the use of cultural heritage.

The requirements of this PS can be classified as follows:

- Protection of Cultural Heritage in Project Design and Execution:
  - Chance Find Procedures;
  - Consultation o Community Access o Removal of Replicable Cultural Heritage o Removal of Non-Replicable Cultural Heritage;
  - Critical Cultural Heritage;
- Project's Use of Cultural Heritage.

o National Provisions

In Tajikistan, the protection and management of cultural heritage are governed by a comprehensive legal and institutional framework. This framework encompasses both tangible and intangible cultural assets, ensuring their preservation, restoration, and promotion. Below is an overview of the key national provisions relevant to this safeguard:

1. Law on Protection and Use of Objects of Historical and Cultural Heritage (2006, No. 178)
This foundational law regulates the protection, use, preservation, and promotion of historical and cultural heritage objects. It defines such objects as items of material and spiritual culture with historical, scientific, or cultural value.

2. Law on Culture (1997, updated 2024, No. 2033)
The Law on Culture outlines the legal, organizational, and economic foundations of state policy in the cultural sector.

3. State Program for the Protection of Historical and Cultural Heritage (2021–2025)
Approved by Governmental Decree No. 253, this program aims to enhance the protection and use of historical and cultural heritage.

4. Law on Export and Import of Cultural Property (2001)
This law regulates the movement of cultural property across national borders.

5. Law on Folk Artistic Crafts (2003)
This legislation focuses on the preservation and development of traditional crafts.

6. Law on Museums and Museum Funds (2004)
This law governs the establishment and operation of museums. I

7. Law on Cinematography (2004)
This legislation addresses the development of the film industry, including:

- **Support** for national film production.
- **Preservation** of cinematic works as cultural heritage.
- **Regulation** of film distribution and exhibition.

The law acknowledges cinema's role in cultural expression and heritage.

8. Law on Copyright and Related Rights (1998)
This law protects the rights of creators and ensures the legal use of cultural works. It covers:

- **Author's rights** over literary and artistic works.
- **Protection** of folklore and traditional knowledge.
- **Enforcement** mechanisms against infringement.

The law contributes to the safeguarding of intangible cultural heritage.

9. International Commitments
Tajikistan is a signatory to several international conventions related to cultural heritage, including:

- **UNESCO World Heritage Convention**: Protecting sites of outstanding universal value.
- **UNESCO Convention for the Safeguarding of the Intangible Cultural Heritage**: Preserving traditions, rituals, and cultural expressions.

These commitments align national policies with global standards.

10. Institutional Framework
The **Ministry of Culture of the Republic of Tajikistan** is the central authority responsible for cultural heritage. Its functions include:

- **Developing** cultural policies and programs.
- **Overseeing** restoration and conservation projects.
- **Collaborating** with international organizations.
- **Managing** cultural institutions and events.

The Ministry plays a pivotal role in implementing cultural heritage initiatives.

11.Annex II. ESMS Screening Questionnaires

Table 1: Initial ESMS Screening

Exempted Activities		
Does the project fall into the following categories? *The exemption criteria apply when they comprise the entire scope of the project, not just one component.*	**Yes**	**No**
• Preparation and dissemination of knowledge products and communication materials?		
• Organization of an event, workshop, training?		
• Strengthening capacities of partners to participate in international or national negotiations and conferences?		
• Partnership coordination and management of networks?		
• Global/regional/national project with no field-level activities (e.g. activities such as knowledge management, inter-governmental processes)?		
Excluded Activities		
Could the project activities:	**Yes**	**No**
1. Production or activities involving harmful or exploitative forms of forced labor/harmful child labor?		
2. Production or trade in any product or activity deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international bans, such as pharmaceuticals, pesticides/herbicides, ozone depleting substances, PCBs, hazardous chemicals, wildlife or products regulated under CITES (Convention on International Trade in Endangered Species), and and transboundary trade in waste or waste products?		
3. Production or trade in wood or other forestry products other than from sustainably managed forests?		
4. Production or trade in weapons and munitions, including paramilitary materials?		
5. Production or trade in alcoholic beverages (excluding beer and wine)?		
6. Production or trade in tobacco?		
7. Gambling, casinos and equivalent enterprise?		
8. Production or trade in radioactive materials? This does not apply to the purchase of medical equipment, quality control (measurement) equipment and any equipment where the radioactive source is considered to be trivial and/or adequately shielded. 9. Production or trade in unbonded asbestos fibers. This does not apply to purchase and use of bonded asbestos cement sheeting where the asbestos content is less than 20%?.		
9. Production or trade in radioactive materials? This does not apply to the purchase of medical equipment, quality control (measurement) equipment and		

any equipment where the radioactive source is considered to be trivial and/or adequately shielded.		
10. Production or trade in unbonded asbestos fibers. This does not apply to purchase and use of bonded asbestos cement sheeting where the asbestos content is less than 20%?		

Instructions: If the answer to any of the questions above is "Yes", a full ESMS screening using Table 2 is required unless the project is exempt or excluded.

Final ESMS Screening Questionnaire

In adhering to international best practice, the full screening process will establish a 'significance' level for each identified risk/impact. Criteria for assessing the significance of impacts will stem from the following key elements:

- Status of compliance with relevant Tajikistan regulation, as well as international best practice standards and guidelines;
- The magnitude (including nature, scale and duration) of the change to the natural or socioeconomic environment, expressed, wherever practicable, in quantitative terms. The magnitude of all impacts is viewed from the perspective of those affected by considering the likely perceived importance, as understood through stakeholder engagement;
- The nature and sensitivity of the impact receptor (physical, biological, or human). Where the receptor is physical, the assessment considers the quality, sensitivity to change and importance of the receptor. For a human receptor, the sensitivity of the household, community or wider societal group is considered along with their ability to adapt to and manage the effects of the impact; and
- The likelihood (probability) that the identified impact will occur. This is estimated based upon experience or evidence that such an outcome has previously occurred.

It is generally accepted that significance is a function of the magnitude of the impact and the likelihood of the impact occurring. Significance will be defined according to the levels outlined in the tables below. When probability and consequence of impacts are combined, as shown in the figure below, it is possible to determine a significance value (low, moderate, or high) for each type of risk. The overall risk rating for a project is determined by the highest level of individual risk. For example, if one row in Table 2 results in a "high" designation, then the entire project is categorized as Category A (high risk).

Rating of Probability/likelihood of Risk

Score	Rating
5	Expected
4	Highly Likely
3	Moderately likely
2	Not likely
1	Slight

Rating the Consequence/ 'Impact' of Risk

Score	Rating	Definition

5	Critical	Significant adverse impacts on human populations and/or environment. Adverse impacts high in magnitude and/or spatial extent (e.g. large geographic area, large number of people, transboundary impacts, cumulative impacts) and duration (e.g. long-term, permanent and/or irreversible); areas impacted include areas of high value and sensitivity (e.g. valuable ecosystems, critical habitats); adverse impacts to rights, lands, and resources of minorities; involve significant displacement or resettlement; generates significant quantities of greenhouse gas emissions; impacts may give rise to significant social conflict.
4	Severe	Adverse impacts on people and/or environment of medium to large magnitude, spatial extent and duration more limited than critical (e.g. predictable, mostly temporary, reversible). The potential risk impacts of projects that may affect the human rights, lands, natural resources, territories, and traditional livelihoods of minorities are to be considered at a minimum potentially severe.
3	Moderate	Impacts of low magnitude, limited in scale (site-specific) and duration (temporary), can be avoided, managed and/or mitigated with relatively uncomplicated accepted measures.
2	Minor	Very limited impacts in terms of magnitude (e.g. small affected area, very low number of people affected) and duration (short), may be easily avoided, managed, mitigated.
1	Negligible	Negligible or no adverse impacts on communities, individuals, and/or environment.

Determining the 'Significance' of Risk Matrix

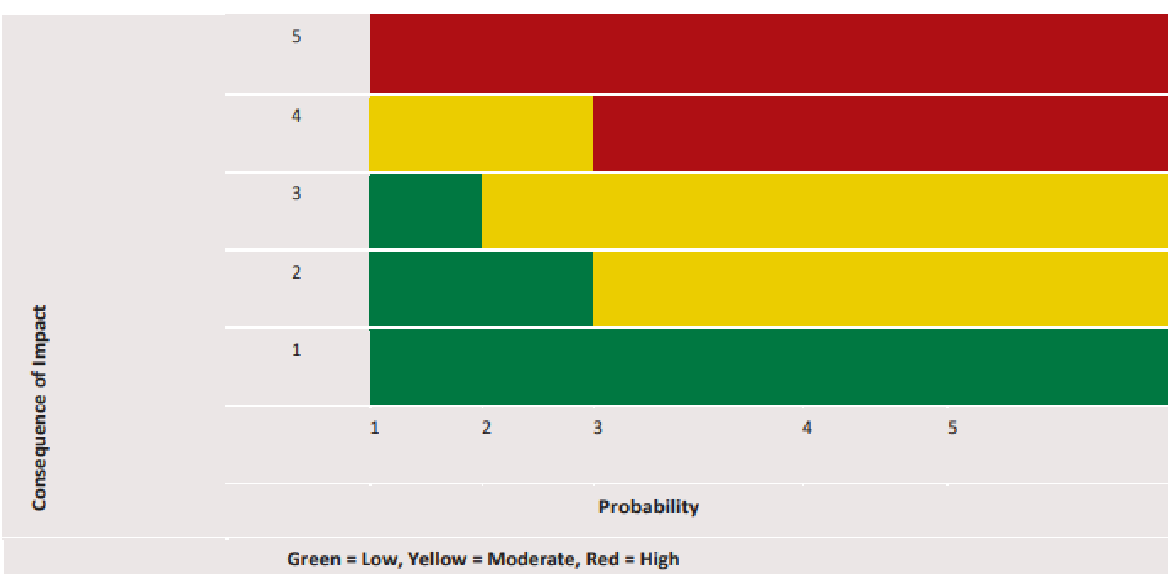

Table 1: E&S Monitoring Checklist (Full Screening Questionnaire)

Please use as much space as you need, the field height should not be a limit.
Attach any relevant documents to this questionnaire and indicate a cross reference. Clearly indicate "N/A" if the question does not apply to the Project.

Details on the Project	
Project Name:	
Project Category:	**A, B or C**
Sector:[1]	☐ Crop cultivation ☐ Livestock production ☐ Crop protection ☐ Agricultural Machinery ☐ Seed ☐ Retail operations & distribution ☐ Agricultural research & development
Current reporting period:	**Previous reporting period:**
When was the last site visit? Site(s) visited: Date:	By whom:
When is the next site visit planned? Site: Date:	

General
Permits
If any permits are required for the project, list here:
Permit: Granted ☐ Applied for ☐ Please attach copies the permit if already granted.
List others as applicable

S 1 - Assessment and Management of Environmental and Social Risks and Impacts		
E&S Action and Monitoring / Management System		
Is Environmental and Social Management System (ESMS) documented for the project?	Yes ☐ No ☐	
If an ESMS exists, have there been any changes in the Management System or the Management Plans?	Yes ☐ No ☐	If yes, please describe:
Have there been any updates to the Environmental and Social	Yes ☐ No ☐	If yes, please provide a copy of the updated policies,

[1] Sector may vary per project

Policies adopted by any of the organizations involved in the project?		including date when it was issued and reasons for the same.
Please summarize any staff training concerning this project (including number of staff trained) during the reporting period. Please provide a copy of the training plans and training records.		
Have there been any changes in the Environmental and Social Action Plan (ESAP)?	Yes ☐ No ☐	If yes, please provide ESAP change log and copy of new ESAP.
Have there been any accidents or environmental or social incidents (during this reporting period) that have caused damage, brought about injuries or fatalities, affected project labour or local communities, affected cultural property, or created liabilities for the project? Please provide incident logs.	Yes ☐ No ☐	If yes, please describe, including details of actions to repair and prevent reoccurrence:
Is the project materially compliant with all applicable environmental and social laws and regulations?	Yes ☐ No ☐	If no, please provide details of any material non-compliances:
How many inspections did the project receive from the local environmental authorities during the reporting period?	Number:	Please provide details of these visits:
How many inspections did the	How many inspections did the	How many inspections did the
How many inspections did the	How many inspections did the	How many inspections did the
Have these visits resulted in any penalties, fines and/or corrective action plans?	Yes ☐ No ☐	If yes, please describe:
Have any activities of the project been reduced, temporarily suspended or closed down due to environmental, health and safety or labour reasons?	Yes ☐ No ☐	If yes, please describe:
Please describe any EHS or labour initiatives undertaken during the reporting period:		
Stakeholder Engagement		
Please provide the name and contact details for your external relations or community engagement manager:		
Have there been any changes to the Stakeholder Engagement Plan (SEP)?	Yes ☐ No ☐	If yes, please provide SEP change log and copy of new SEP. Please also provide updated stakeholder list, if applicable.

How many complaints or grievances did the project receive from members of the public or civil society organizations during the reporting period? Please split by stakeholder group. summarize any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.		
Please summaries meetings held with members of the public or public organizations during the reporting period. Please provide meeting minutes:		
Please summarize any information provided to members of the public and other stakeholders during the report period relating to environmental, social or safety issues. Please provide copies of disclosure notices and other correspondence with stakeholders.		
Please summarize any on-going social or community development initiatives undertaken during the reporting period. Please provide details on spending during the reporting period and a copy of the updated Community Development Plan or similar documentation.		

S 2 - Labor and Working Conditions		
Human Resources Management		
Number of permanent employees for this project at the current reporting period:	Number of temporary employees for this project at the current reporting period:	If applicable, number of contractor staff working for the project at the current reporting period:
Have there been any changes to policies or terms and conditions concerning non-discrimination and equal opportunity within the organizations involved in the project during the reporting period?	Yes ☐ No ☐	If yes, please give details:
Have there been any changes to policies or terms and conditions concerning under age (18) employment within the organizations involved in the project during the reporting period?	Yes ☐ No ☐	If yes, please give details:
Have there been any changes to policies or terms and conditions concerning wages (wage level, normal, overtime etc.) or working hours within the organizations involved in the project during the reporting period?	Yes ☐ No ☐	If yes, please give details:
Have there been any changes to policies or terms and conditions concerning union recognition or negotiation within the organizations involved in the project during the reporting period?	Yes ☐ No ☐	If yes, please give details:
Have there been any changes to the health and safety policies within the organizations involved in the project during the reporting period?	Yes ☐ No ☐	If yes, please give details:
In case the project involves construction of facilities:		

How many complaints or grievances did the project receive from workers during the reporting period? Summaries any issues raised in the complaints or grievances and explain how they were resolved. Please also provide copies of the grievance log and received grievances.		
Were there any collective redundancies during the reporting period?	Yes ☐ No ☐	If yes, please describe including number of workers involved, reasons, consultation undertaken and how they were selected:
Are there any planned redundancies or additions to the workforce in the next year?	Yes ☐ No ☐	If yes, please provide redundancy plan, including number of workers involved and consultation process:
Have there been any disputes related to labor and working conditions in the reporting period?	Yes ☐ No ☐	If yes, please summarize below and provide copies of lodged disputes.
Have there been any other significant labor issues or grievances raised during the reporting period (including court cases or complaints from trade unions or non-governmental organizations)?	Yes ☐ No ☐	If yes, please describe:
Health and Safety Data		
In addition to the data filled in below, please provide H&S incidence log, including follow up investigations and corrective action implementation for the current reporting period.		
Fatalities[2]:	Number:	Total Lost Time Accidents (including vehicular)[3]: Number:
Total number of lost workdays resulting from incidents:	Number:	Total man-hours worked this reporting period: Number:
Incidence4 during this reporting period:	Number:	Incidence during the previous reporting period: Number:
Please summarise any health and safety training that has been provided for project personnel during the report period. Please provide the training records.		
Please summarise any emergency prevention and response training that has been provided for company personnel during the report period. Please provide the training records.		

S 3 - Resource Efficiency and Pollution Prevention		
Have there been any spill cases or pollution of water, soil or air (eg. through pesticides or fertilizer application)?	Yes ☐ No ☐	If yes, please give details including emergency response. Please provide incidence log.
Has there been any event of fire, sediment loads, storm	Yes ☐ No ☐	If yes, please give details and describe emergency response, if applicable:

[2] If you have not already done so, please provide a separate report detailing the circumstances of each fatality.
[3] Incapacity to work for at least one full workday beyond the day on which the accident or illness occurred.

water, a flood or an earthquake?		
Has there been any improvement in process efficiency, waste minimization or other schemes (energy savings, ISO certification)?	Yes ☐ No ☐	If yes, please elaborate:
If applicable, has a Greenhouse Gas Assessment been conducted during the reporting period?	Yes ☐ No ☐	If yes, please summarise the results:
Does the project have committed to the monitoring of environmental indicators (eg for soil health, erosion control)?	Yes ☐ No ☐	If yes, please attach relevant monitoring sheets

S 4 - Community Health, Safety, and Security		
Does the project have an influence on traffic at night (e.g. construction trucks)?	Yes ☐ No ☐	If yes, please give details:
Have there been any traffic incidents involving project vehicles?	Yes ☐ No ☐	If yes, please summarize and provide traffic incident log,
Have there been any reports on negative impacts of pesticides or fertiliser use on community health and safety?	Yes ☐ No ☐	If yes, please summarise,
Please summarize any training or awareness raising activities that have been undertaken by the project employees during the reporting period, both internally and externally, including training of Village-Based Associates.		

S 5 - Land Acquisition and Involuntary Resettlement		
If Applicable, please summarize any progress made during the reporting period in the implementation of the Resettlement Action Plan (RAP) or Livelihood Restoration Framework (LRF). Please provide copy of updated RAF/LRF.		
Have all the affected persons been fully compensated for their physical displacement and, if applicable, any economic losses resulting from the project?	Yes ☐ No ☐	If no, specify how many compensation payments are still outstanding (in terms of number and percentage of recipients and payment amounts) and state when these payment will be made:
Please provide a status update of the implementation of livelihood restoration activities as stipulated within the RAP.		
Has there been any new land acquired during the reporting period for this project?	Yes ☐ No ☐	If yes, explain the extent of the land acquisition and any due diligence conducted.

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

S 6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources		
Has there been any vegetation clearing during this reporting period?	Yes ☐ No ☐	**If yes, please give details:**
If there has been vegetation clearing during this reporting period, has any clearing occurred during the breeding season of the affected fauna type?	Yes ☐ No ☐	If yes, please give details:
Has site clearing been minimised in accordance with the Construction Site Management Plan?	Yes ☐ No ☐	If no, please explain and give reasons:
Is soil erosion or landslides visible within the project area?	Yes ☐ No ☐	If yes, please describe measures for mitigation:

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

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

12.Annex III. Environmental and Social Action Plan (ESAP) Template

CIIP shall ensure that all recommendations and required actions identified during the environmental and social screening process are compiled and consolidated into an Environmental and Social Action Plan (ESAP). The ESAP will serve as a roadmap for any subsequent environmental and social assessments or management planning, particularly for projects classified as Category A or Category B.

In developing the ESAP, CIIP should adhere to the following principles:

- **Clarity and Specificity**: Clearly articulate each action with concise and specific descriptions, ensuring that the objectives and implementation requirements are well understood.
- **Risk-Based Scheduling**: Assign realistic timeframes for each action based on the level of environmental and social risk or impact associated with the identified gap.
- **Interim Milestones**: For complex or long-term actions, define interim goals and timelines to allow for regular progress monitoring and adaptive management.
- **Measurable Outputs**: Incorporate verifiable elements—such as the submission of documentation, completion of audits, or issuance of approvals—that can be used to demonstrate progress and confirm completion.

The ESAP shall form an integral part of the project's Environmental and Social Management System (ESMS) and will be monitored throughout project implementation to ensure timely and effective delivery of environmental and social commitments.

No.	Gap Number	Action	Priority	Responsibility	Timeframe for completion	Monitoring/ completion indicator
1	X	Action to close gap identified during screening	Low Medium High	Responsible staff, function	Deadline for implementation Interim goals for complex actions	Expected deliverable, result, that demonstrates the action has been completed

13. Annex IV. Recommended format for a Full Environmental and Social Impact Assessment (ESIA)

The Environmental and Social Impact Assessment (ESIA) is a management tool used for better programme/project planning and design and can be considered an overall process within which an actual ESIA study itself is carried out. As such, the term ESIA can be used in several ways, as follows:

- a process which enables environmental, health and social issues to be taken into account during all stages of programme/project design and implementation;
- a formal procedure for providing environmental, economic, health and social information for decision-makers who authorize the programme/project; and
- a study that identifies, predicts and evaluates the potential environmental, climate, health (including pandemic) and social impacts and risks of programmes/projects in a systematic and objective way, recommends appropriate actions and mitigating measures, and maximizes environmental opportunities.

Outline of the ESIA report

Executive summary. Concise discussion of significant findings and recommended actions.
Introduction. Provide the rationale for the Environmental and Social Impact Assessment (ESIA) based on the screening exercise. Concise discussion of significant findings and recommended actions. Mention the approach and methodology taken.

Policy, legal and administrative framework. Discussion of the policy, legal and administrative framework within which the ESIA is prepared. The legal and policy requirements of the country related to environmental, social (includes GBV and SEA, labour, grievance redress mechanism, cultural heritage, health and safety) and climate change issues, and the operational standards of any cofinanciers should be explained, and emphasis should be given to the relevance of the project to these frameworks. The obligations of the country in terms of relevant environmental, health, pandemic, social, climate change, and labour international treaties and conventions should be summarized.

Project description. Concise description of the project and its geographical, climate, ecological, social and temporal context, with particular emphasis on specific project components which are the subject of the ESIA – e.g. likely to cause positive or negative impacts – in line with the screening exercise. Take into account lessons learned from previous relevant ESIAs. Describe possible future project phases.

Baseline data. Determination of the dimensions of the study area (zone of influence) and description of the relevant physical observed changes and prediction of climate change, biological and socio-economic conditions (including level of community environmental awareness), including any changes anticipated before the programme/project commences and over the lifetime of the project. Current and proposed development activities within the project area (but not directly connected to the project) should also be taken into account. Where data are lacking or unreliable, specific reference must be made on this point. The baseline should describe the environmental, social, health, cultural and climate context in a quantitative style to allow measurement of project results.

Institutional, Legislative and Regulatory framework. This section should provide a concise description of the legal and regulatory framework on Environmental Impact Legislation, procedures to obtain environmental permits/certificates, and E&S management techniques.

Anticipated socio-economic impacts/risks and mitigation measures. Assessment of positive and negative social, health and economic impacts likely to result from the proposed project or project component. Specific attention should be given to maximizing opportunities, avoiding involuntary resettlement, preventing GBV and SEA, social inclusion and non-discrimination, people with disabilities, enhancing gender equality and women's empowerment, and reducing vulnerability to risks/effects of climate change and variability and other project impacts. In any case, emphasis should also be on involving key stakeholders, especially vulnerable groups and marginalized poor communities, in project design and implementation and addressing public health concerns (e.g. HIV/AIDS, pandemics).

Anticipated environmental impacts/risks and mitigation measures (includes climate change). Identification and assessment of the positive and negative impacts likely to result from the proposed project and associated project components and vice versa (preventive actions and/or mitigation measures, and any residual negative impacts that cannot be mitigated should be identified. Opportunities for building resilience to climatic shocks and enhancing environmental issues, including promotion of global environmental benefits, should be explored. The analysis and elaboration of risks associated with climate change in the project area should be undertaken to ensure that appropriate adaptation and mitigation measures are included among the interventions, and in the project risk analysis for long-term sustainability of results. The short- and long-term positive and negative health impacts of the project on workers and affected local communities should also be identified, assessed, and appropriate mitigation measures provided. The extent and quality of available data, key data gaps, and uncertainties associated with predictions should be identified/estimated. Topics that do not require further attention should be specified.

Assessment of cumulative impacts. The potential positive and negative environmental and social impacts of the programme or project, together with those of other ongoing or planned activities or activities in the same area that may reasonably be foreseen, should be identified. Effects of those other activities on the project's vulnerability to climate change, and susceptibility to pollution and other direct and indirect health impacts, should be considered. The ESIA should explain the extent to which the project's executing entity and other relevant government authorities and non-governmental organizations (NGOs) can maximize opportunities and avoid, minimize, mitigate or compensate for cumulative impacts, and, for significant impacts beyond the control of the implementing agency, the ESIA should identify the actions necessary to be taken by others.

Analysis of alternatives. Conduct a systematic comparison of the proposed investment, as well as design, site, technology and operational alternatives in terms of their potential environmental, resilience and social impacts and capital and recurrent costs and suitability under local conditions. For each of the alternatives considered, the environmental, climate adaptation, health and social costs and benefits should be quantified to the extent possible, and economic values should be attached where feasible, with attention being given to cost-effectiveness. The basis for the selection of the preferred alternative for the project design must be stated. Where possible, expand the programme's approach to address issues associated with climate change adaptation, mitigation and disaster risk management.

Recommendations for changes to programme/project design. Identification of feasible and cost-effective measures that may reduce climate vulnerability, reduce potentially significant adverse environmental, health and social impacts to acceptable levels, and estimate the residual environmental impacts; capital and recurrent costs of mitigation; and institutional, training and monitoring guidance required. Consider providing details on proposed work programmes and schedules. Such details help ensure that the proposed changes in project design can be executed in phases with previously planned activities throughout implementation. Compensatory measures should be considered if mitigation measures are not feasible or cost-effective.

Institutional aspects. Assessment of the existence, role, capacity and capability of formal and informal institutions for climate change, natural resource management, including environmental officers (at the agency and ministry level), and informal and community-level organizations. Agencies responsible for the management of health and social impacts should be included in this assessment; examples are public health departments, museum or antiquities commissions, and ministries of social welfare, women's affairs, cultural affairs, and agencies dealing with land issues. Explore opportunities for policy dialogue/reform and green growth. Based on these findings, recommendations should be made concerning the strengthening, establishment and/or expansion of such units, and the training tailored to the identified target groups, to the point that ESIA recommendations can be implemented.

Grievance procedure. This section describes the complaints procedure (both informal and formal channels), indicating the time frame and country-appropriate processes for resolving complaints about the project's environmental and social performance.

Environmental, Social and Management Plan (ESMP) (includes implementation arrangements). Identification of the preventive actions and/or mitigation measures recommended to eliminate, reduce or mitigate climate risks and the potential adverse environmental and social impacts/risks of the programme/project – as well as the responsible parties for implementing such actions/measures, the timing of activities in relation to stages of the programme/project, estimated costs involved, poverty-environment indicators, etc. Consider the use of climate proofing of investments.

Monitoring plan (includes performance indicators). Specification of the type of monitoring (e.g. early warning systems, participatory, social measures including GBV and SEA mitigation, environmental quality, implementation of environmental measures), who would do it, how much it would cost, and what other inputs (e.g. personnel, training, GIS, field and/or laboratory equipment, supervision arrangements) are necessary.

General conclusions and recommendations

Appendices

(i) Composition of the ESIA study team – individual(s) and organizations. Specify professional registration and certification status (in those countries where this is required for environmental and social assessment practitioners).

(ii) References – written materials used in study preparation. This list is especially important given the large amount of unpublished documentation often used.

(iii) Record of consultations – the record of consultations for obtaining the informed views of the affected people and local NGOs should be included. The record should document the public consultation process and its influence on project design and/or implementation. The record should specify any means other than consultations that were used to obtain the views of affected groups and local NGOs. (List community individuals and organizations consulted.)

(iv) Specialist studies – include all specialist studies that were undertaken to inform the ESIA, such as ecological flows, hydrological studies, soil surveys, health impact assessment, gender assessment and climate risk analysis.

(v) Terms of reference – include the approved terms for the ESIA and specialist studies.

(vi) Authority approval – include correspondence from the environmental authorities regarding the approval of scoping reports, terms of reference, ESIA reports.

14.Annex V: ESMP Template

Project Summary

1. Organization.
2. Area where project will be undertaken.
3. Date of preparation of this document.

Tempate 1: Environmental and Social Management Plan		
ESMS Standards	Triggered	**Main issues, how they will be addressed and whether a stand-alone plan is required** (e.g. Indigenous Peoples Pan, Process Framework etc.)
Compliance with the law	☐yes ☐no ☐TBD	
Labour and Working Conditions	☐yes ☐no ☐TBD	
Resource Efficiency and Pollution Prevention	☐yes ☐no ☐TBD	
Community Health, Safety and Security	☐yes ☐no ☐TBD	
Land Acquisition and Involuntary Resettlement	☐yes ☐no ☐TBD	
Biodiversity Conservation and Sustainable UseNatural Resources	☐yes ☐no ☐TBD	
Indigenous Peoples	☐yes ☐no ☐TBD	
Cultural Heritage	☐yes ☐no ☐TBD	
Key Social and Environmental Impacts and related Mitigation Measures		

Social & Environmental Impacts	**Mitigation measures**	**Feasibility, effectiveness and sustainability**	**Costs**	**Implementation Responsibility**	**Schedule**
Template 2: Environmental and Social Management Plan (ESMP) Monitoring					

ESMS Standards	**Describe the progress of implementing the required tools** (Indigenous Peoples Plan, Process Framework etc.):			
Social & Environmental Impacts	**Mitigation measures**	**Color coding**	**Describe status of completion, suggest solutions where problems are encountered**	**Early judgement: Does this measure seem effective?**
New ESMS risks that have emerged				
Other ESMS provisions	Describe status of completion and evidence			Outstanding action and timing
Disclosure				
Grievance Mechanism				
Stakeholder Engagement				
ESMP monitoring - main findings:				**Status ESMP** ☐on schedule ☐slightly delayed ☐major delays/issues

Capacity Development

Where support for strengthening social and environmental management capability is identified, ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.

15. Annex VI: Indicative Template/Outline for a Process Framework (Access Restrictions)

Where projects may restrict communities' access to natural resources (on land or water) a Process Framework needs to be prepared. In order to assess, mitigate and manage impacts of access restriction a Process Framework needs to be developed. This should include:

- **Short Project Description**
  - Which components/activities of the project will cause access restriction and on what resources?
  - Are the restrictions seasonal?

- **Description of the communities, including**
  - customary approach to natural resources management (e.g. current livelihood system), also reflecting the seasonality,
  - the degree of the communities' dependency on the natural resources.

- **A land / marine tenure assessment, including a description of**
  - the formal / legal tenure system (national legislation),
  - the informal tenure system (customary).

- **Assessment of the (customary) boundaries /areas used by the community**

- This might also include the confirmation of the boundaries of the limited/no-take zones with the communities (e.g. through a mapping exercise), or the reconfirmation in case of already existing zones/marine protected areas. This process also needs to be documented (agreements, maps).

- **Description of the anticipated positive and negative impacts**
- **Land / Sea Use Agreements or other Conservation Agreements**
- **Description and documentation of the participatory process**
  - In order to ensure that the access restriction is voluntary, the stakeholder engagement process and the outcomes have to be well documented. If indigenous peoples are involved, this process needs to apply the principle of free, prior and informed consent (FPIC).

- **Criteria for eligibility of beneficiaries and affected people**
  - This also needs to be undertaken via a participatory approach (involve communities in identifying the adverse impacts, assessing the significance of the impacts, establishing the eligibility criteria for mitigation and compensation).

- **Mitigation Measures**
  - Measures need to be aimed to restore or improve livelihoods. - Consider long-term and short-term measures, depending on the kind of access restriction and potential impacts. - Are measures only required during a certain season? - Are the measures attractive enough to discourage illegal activities?

- **Monitoring**
  - The requirement to develop a Process Framework does not apply to restrictions of access to natural resources under community-based natural resource management projects, i.e., where the community using the resources collectively decides to restrict access to these resources, provided that an assessment satisfactory to the Fund establishes that the community

decision-making process is adequate and reflects voluntary, informed consensus, and that appropriate measures have been agreed and put in place to mitigate adverse impacts, if any, on the vulnerable members of the community.

16. Annex VII: Mapping of CIIP Safeguards to the Adaptation Fund Environmental and Social Policy Principles

Adaptation Fund ESP Principle	Corresponding CIIP Safeguard / Policy Section
1. Compliance with the law	Safeguard 1: Assessment and Management of E&S Risks; Section 9: Compliance
2. Access and equity	Social Safeguards: Social Inclusion; Section 2: Guiding Principles
3. Marginalized and vulnerable groups	Social Safeguards: Social Inclusion; Section 2: Equality and Non-Discrimination
4. Human rights	Safeguard 1: Assessment and Management; Section 2: Human Rights and ESMS
5. Gender equality and women's empowerment	Social Safeguards: Gender Equality; Section 2: Gender-Sensitive Approach
6. Core labour rights	Safeguard 2: Labour and Working Conditions; Section 2: Labour Rights
7. Indigenous peoples	Safeguard 7: Indigenous Peoples; Section 2: Indigenous Peoples
8. Involuntary resettlement	Safeguard 5: Land Acquisition and Involuntary Resettlement
9. Protection of natural habitats	Environmental Safeguards: Biodiversity Protection; Safeguard 6
10. Climate change	Environmental Safeguards: Climate Change Considerations; Section 2
11. Pollution prevention and resource efficiency	Environmental Safeguards: Pollution Control; Safeguard 3
12. Public health	Safeguard 4: Community Health, Safety and Security
13. Physical and cultural heritage	Social Safeguards: Cultural Sensitivity and Respect; Safeguard 8
14. Lands and soil conservation	Environmental Safeguards: Biodiversity Protection; Safeguard 6
15. Conservation of biological diversity	Environmental Safeguards: Biodiversity Protection; Safeguard 6