

Background Information on Food and Agriculture Organization of the UN (FAO) Environmental and Social Safeguards Policies and Procedures – 27 July 2011

<i>OPERATIONAL PRINCIPLES:<sup>1</sup> Environmental Assessment</i>	<i>FAO Policies &amp; Procedures and/or Gap Filling Commitments</i>	<i>World Bank Policies &amp; Procedures on Environmental Assessment</i>
<b>A.ENVIRONMENTAL ASSESSMENT</b>	<p>NOTE TO TASK FORCE: FAO is presently in the process of reviewing and updating according to Result Based Management (RBM) principles the Project Cycle guidelines. This process is being developed in order to ensure a clear Accountability and Quality Assurance Framework for FAO’s Field Programme under the new Strategic Framework and in the context of FAO and UN Reform. These include the application of results-based management principles within the framework of the international agenda on aid effectiveness and the support to United Nations common country programming processes.</p> <p>In that sense FAO corporate policies and UNDG guidance are mainstreamed in to project cycle policies and procedures in the following areas: Results-Based Management, Capacity Development, Environmental Sustainability, Gender Equity, Human Rights Based Approaches. EIA has been fully integrated to the project cycle procedure as part of the principle of Environmental Sustainability. This integration will help to maintain accountability and adherence to corporate policies within the wider process of project management. FAO’s new project cycle handbook recommends that EIA be implemented as early as possible in the project lifecycle. This will be done by the project formulator, in consultation with the Lead Technical Officer and other members of the Project Task Force. In many cases it may be possible to carry this out during Identification and in others, Formulation. The assessment made by the formulator is independently reviewed and endorsed during the project appraisal process.</p> <p>FAO. The Environmental Impact Assessment Guidelines for FAO Field Projects, Draft (1 July 2011)</p>	OP 4.01 Environmental Assessment, BP 4.01 Environmental Assessment, OP 4.01 Annexes A, B, C

<sup>1</sup> These “Operational Principles” are excerpted directly from Table A1 in OP 4.00, “Piloting the Use of Borrower Systems to Address Environmental and Social Safeguard Issues in Bank-Supported Projects” (Source: <http://go.worldbank.org/XFBVTIUDK0>). These Operational Principles are being used in this context to provide an overview of and a framework for analyzing the World Bank’s safeguards relevant for REDD+.

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<b>Overarching Objective:</b> To help ensure the environmental and social soundness and sustainability of investment projects and to support integration of environmental and social aspects of projects into the decision making process.		
<p>SCREENING</p> <p>1. Use a screening process for each proposed project, as early as possible, to:</p> <p>(a) determine the appropriate extent and type of environmental assessment (EA) so that appropriate studies are undertaken proportional to potential risks;</p>	<p>(EIA pg. 7) ‘The present publication covers: ...procedures to be used in formulating and screening projects’</p> <p>(EIA pg. 8) ‘Environmental and related social implications of project actions should be considered as early as possible in the FAO project cycle.’</p> <p>(EIA pg.16) ‘The environmental review takes place as early as possible, when a project concept or proposal is identified. The environmental review process allows Category C projects to be identified and excluded at this stage. Environmental screening is the systematic assessment and documentation of the potential environmental and socioeconomic impacts (negative but also positive) of a proposed Category A or B project. This should in effect determine if the project is to fall under Category A or B, hence whether to carry out further environmental analysis or an EIA, and at what level of effort’.</p> <p>(EIA pg.17) ‘Positive outcomes can be identified by using the checklists on basic policy requirements for field projects contained in Annex 3. Negative environmental factors which may affect the project outcome should be adequately described. Both direct impacts and indirect impacts will be addressed, as well as relevant trans-boundary issues, or any onward funding that may be planned. These basic requirements will aid the LTO reviewer in screening the project under consideration for environmental and social impacts of potential concern and ultimately in determining the environmental category to assign to the project. The checklist is organized by main sector or discipline pertinent to FAO’s mandate, e.g. agriculture, biodiversity, fisheries and aquaculture, forestry, livestock and animal husbandry, fertilizers,</p>	<p>OP, 8: “The Bank undertakes environmental screening of each proposed project to determine the appropriate extent and type of EA. The Bank classifies the proposed project into one of four categories, depending on the type, location, sensitivity, and scale of the project and the nature and magnitude of its potential environmental impacts.” (OP, 8) Categories: A, B, C, or FI (see definitions below).</p> <p>OP, 7: “Depending on the project, a range of instruments can be used to satisfy the Bank’s EA requirement: environmental impact assessment (EIA), regional or sectoral EA, environmental audit, hazard or risk assessment, and environmental management plan (EMP). EA applies one or more of these instruments, or elements of them, as appropriate.”</p>

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	<p>pesticides, water development, socio-economic dimensions and gender. FAO will employ the EIA procedures to ensure adherence to relevant international environmental treaties and agreements.’</p>	
<p>DIRECT/INDIRECT IMPACTS (b) assess direct, and, as relevant, indirect, cumulative, and associated impacts.</p>	<p>(EIA pg.7) ‘EIA is a tool for decision-makers to identify potential environmental impacts of proposed projects, to evaluate alternative approaches, and to design and incorporate appropriate prevention, mitigation, management and monitoring measures. Environmental impact assessment cannot be divorced from social impact of the project, hence the latter is considered as a key dimension of the EIA process. Examples of these close interactions can be found in the context of land tenure and rights, rural livelihoods, and traditional practices.’</p> <p>(EIA pg.8) ‘As the main project formulator, the Lead Technical Officer (LTO) in the applicable department/division/unit takes action to ensure that environmental and social impacts of all proposed projects/activities are investigated and more generally that they reflect best practices, lessons learned, and other available technical knowledge’.</p> <p>(EIA pg.8) ‘The EIA shall address both positive and negative potential environmental impacts of the given project, any related social implications, as well as eventual transboundary effects. EIA evaluates a project’s potential environmental and social risks and impacts in its area of influence.’</p> <p>(EIA pg.10) ‘The Lead Technical Officer (LTO), whether in headquarters, a regional or sub regional office, or a country representation, will ensure that each project is subjected to an initial environmental review (IER). This will determine the potential positive and negative environmental and social impacts that may arise from project implementation. EIA guidelines will be</p>	<p>OP, 2: “EA evaluates a project’s potential environmental risks and impacts in its area of influence....”</p> <p>OP Annex A.5: “Project area of influence: The area likely to be affected by the project, including all its ancillary aspects, such as power transmission corridors, pipelines, canals, tunnels, relocation and access roads, borrow and disposal areas, and construction camps, as well as unplanned developments induced by the project (e.g., spontaneous settlement, logging, or shifting agriculture along access roads). The area of influence may include, for example, (a) the watershed within which the project is located; (b) any affected estuary and coastal zone; (c) off-site areas required for resettlement or compensatory tracts; (d) the airshed (e.g., where airborne pollution such as smoke or dust may enter or leave the area of influence; (e) migratory routes of humans, wildlife, or fish, particularly where they relate to public health, economic activities, or environmental conservation; and (f) areas used for livelihood activities (hunting, fishing, grazing, gathering, agriculture, etc.) or religious or ceremonial purposes of a customary nature.</p> <p>OP ft. nt. 1: “This policy applies to all components of the project, regardless of the source of financing.”</p> <p>OP Annex A.6: “Regional EA pays particular attention to potential cumulative impacts of multiple activities.”</p> <p>OP Annex A.8; “Sectoral EA pays particular attention to potential cumulative impacts of multiple activities.”</p>

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	<p>applied at regional/ sectoral level if project is likely to have regional or sectoral impacts, particularly in case of cumulative impacts.'</p> <p>(EIA pg.10) 'Based on this initial environmental review, the next step is for the LTO to select an environmental category for the project, depending on the nature and severity of the identified potential environmental and social impacts.'</p> <p>(EIA pg.17) 'Negative environmental factors which may affect the project outcome should be adequately described. Both direct impacts and indirect impacts will be addressed, as well as relevant trans-boundary issues, or any onward funding that may be planned.'</p>	
<b>SECTORAL/ REGIONAL</b> 1.c. Use sectoral or regional environmental assessment when appropriate.	<p>(EIA pg.10) 'The Lead Technical Officer (LTO), whether in headquarters, a regional or sub regional office, or a country representation, will ensure that each project is subjected to an initial environmental review (IER). This will determine the potential positive and negative environmental and social impacts that may arise from project implementation. EIA guidelines will be applied at regional/ sectoral level if project is likely to have regional or sectoral impacts, particularly in case of cumulative impacts.'</p> <p>(EIA pg.10) 'Category A projects may involve significant, cumulative or even potentially irreversible negative environmental impacts or risks.'</p>	<p>OP, 7: "When the project is likely to have sectoral or regional impacts, sectoral or regional EA is required."</p> <p>OP, 9: Sectoral: "If the Bank is not satisfied that adequate capacity exists for carrying out EA, all Category A subprojects and, as appropriate, Category B subprojects—including any EA reports—are subject to prior review and approval by the Bank."</p> <p>OP Annex A.6: "Regional EA pays particular attention to potential cumulative impacts of multiple activities."</p> <p>OP Annex A.8; "Sectoral EA pays particular attention to potential cumulative impacts of multiple activities."</p>
<b>IMPACTS</b> 2. Assess potential impacts of the proposed project on physical, biological, socio-economic and physical cultural	<p>(EIA pg.8) 'Environmental and related social implications of project actions should be considered as early as possible in the FAO project cycle.'</p> <p>(EIA, p. 8) 'The EIA shall address both positive and negative potential environmental impacts of the given project, any related social implications, as well as eventual transboundary effects. EIA evaluates a project's potential</p>	<p>OP, 3: "EA takes into account the natural environment (air, water, and land); human health and safety; social aspects (involuntary resettlement, indigenous peoples, and physical cultural resources); and transboundary and global environmental aspects." "EA considers natural and social aspects in an integrated way."</p>

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<p>resources, including transboundary and global concerns, and potential impacts on human health and safety.</p>	<p>environmental and social risks and impacts in its area of influence.’</p> <p>(EIA pg.17) ‘Positive outcomes can be identified by using the checklists on basic policy requirements for field projects contained in Annex 3. Negative environmental factors which may affect the project outcome should be adequately described. Both direct impacts and indirect impacts will be addressed, as well as relevant trans-boundary issues, or any onward funding that may be planned. These basic requirements will aid the LTO reviewer in screening the project under consideration for environmental and social impacts of potential concern and ultimately in determining the environmental category to assign to the project. The checklist is organized by main sector or discipline pertinent to FAO’s mandate, e.g. agriculture, biodiversity, fisheries and aquaculture, forestry, livestock and animal husbandry, fertilizers, pesticides, water development, socio-economic dimensions and gender. FAO will employ the EIA procedures to ensure adherence to relevant international environmental treaties and agreements.’</p> <p>(EIA pg.30) "Management of climate change impacts" is one of FAO's Governing Principles (EIA Annex 1).</p> <p>(EIA pg.33) Environmental and Social Review Forms (Annex 2) indicate that physical, biological, socio-economic, and physical cultural resources are to be assessed.</p>	<p>TIMING OP, 3: “EA is initiated as early as possible in project processing....”</p> <p>BP, 7: “EA is an integral part of project preparation.”</p>
<p><b>LEGAL FRAMEWORK</b></p> <p>3. Assess the adequacy of the applicable legal and institutional framework, including applicable international environmental agreements, and confirm that</p>	<p>(EIA pg.17) ‘Scoping will include an initial identification of the environmental policies, laws, and regulations (particularly with respect to EIA) of the country in which the project will be implemented and with which the project must comply.’</p> <p>(EIA pg.22) ‘Category A projects by definition require a field visit, an</p>	<p>OP, 3: EA “also takes into account the variations in project and country conditions; the findings of country environmental studies; national environmental action plans; the country’s overall policy framework, national legislation, and institutional capabilities related to the environment and social aspects; and obligations of the country, pertaining to project activities, under relevant international environmental treaties and agreements. The Bank does</p>

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<p>they provide that the cooperating government does not finance project activities that would contravene such international obligations.</p>	<p>environmental impact assessment and an environmental management plan. The reports are normally expected to cover:</p> <ul style="list-style-type: none"> <li>▪ applicable national environmental management policies, regulations, and requirements, including those for environmental impact assessment, with which the project must comply;'</li> </ul> <p>(EIA pg.18) 'Capacity Development (CD) of country or (sub) regional stakeholders should be addressed during this scoping phase and fully reviewed for Category A projects as part of the EMP. CD is to support preventive actions and mitigation measures.'</p> <p>'As examples, capacities may need strengthening in local government and NGOs to implement preventive actions and mitigation measures. The CD assessment may call for specific training, mentoring, networking and policy seminars to be considered and planned for. The targeting process should include, depending on the context: (a) government institutions involved in project oversight and delivery, (b) local non-governmental organizations or other civil society organizations involved in project activities, and (c) project beneficiaries themselves.'</p> <p>(EIA pg.17) 'FAO will employ the EIA procedures to ensure adherence to relevant international environmental treaties and agreements.'</p>	<p>not finance project activities that would contravene such country obligations, as identified during the EA."</p>
<p>ALTERNATIVES</p> <p>4. Provide for assessment of feasible investment, technical, and siting alternatives, including the "no action" alternative, potential impacts, feasibility of mitigating these impacts, their capital and</p>	<p>(EIA pg.11) 'The EIA also assesses feasible alternatives (including a "without project scenario), and makes recommendations to prevent, minimize or mitigate adverse impacts. Analysis of alternatives includes assessment of recurrent costs, suitability, training and monitoring requirements. Supportive tools commonly include interactive matrices, map overlays, checklists, and participatory appraisal.'</p>	<p>OP, 8.a: "EA for a Category A project examines the project's potential negative and positive environmental impacts, compares them with those of feasible alternatives (including the "without project" situation), and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental performance."</p> <p>OP Annex B.2.f: "Systematically compares feasible alternatives to the proposed project site, technology, design, and operation--including the "without project" situation--in terms of their potential environmental impacts; the feasibility of</p>



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<p>recurrent costs, their suitability under local conditions, and their institutional, training and monitoring requirements associated with them.</p>		<p>mitigating these impacts; their capital and recurrent costs; their suitability under local conditions; and their institutional, training, and monitoring requirements. For each of the alternatives, quantifies the environmental impacts to the extent possible, and attaches economic values where feasible. States the basis for selecting the particular project design proposed and justifies recommended emission levels and approaches to pollution prevention and abatement.”</p>
<p>PPAH 5. Where applicable to the type of project being supported, normally apply the Pollution Prevention and Abatement Handbook (PPAH). Justify deviations when alternatives to measures set forth in the PPAH are selected.</p>	<p>FAO commits to apply the Pollution Prevention and Abatement Handbook (PPAH) if needed. FAO will justify any deviations to applied PPAH measures.</p>	<p>OP, 6: “The Pollution Prevention and Abatement Handbook describes pollution prevention and abatement measures and emission levels that are normally acceptable to the Bank. However, taking into account borrower country legislation and local conditions, the EA may recommend alternative emission levels and approaches to pollution prevention and abatement for the project. The EA report must provide full and detailed justification for the levels and approaches chosen for the particular project or site.”</p>
<p>PREVENTION/MITIGATION 6. Prevent and, where not possible to prevent, at least minimize, or compensate for adverse project impacts and enhance positive impacts through environmental management and planning that includes the proposed mitigation measures, monitoring, institutional</p>	<p>(EIA pg.8) ‘EIA is a tool for decision-makers to identify potential environmental impacts of proposed projects, to evaluate alternative approaches, and to design and incorporate appropriate prevention, mitigation, management and monitoring measures.’</p> <p>(EIA pg.18) ‘Capacity Development (CD) of country or (sub) regional stakeholders should be addressed during this scoping phase and fully reviewed for Category A projects as part of the EMP. CD is to support preventive actions and mitigation measures.’</p> <p>‘As examples, capacities may need strengthening in local government and NGOs to implement preventive actions and mitigation measures. The CD assessment may call for specific training, mentoring, networking and policy</p>	<p>OP, 2: “The Bank favors preventive measures over mitigatory or compensatory measures, whenever feasible.”</p> <p>OP, 5: The Bank advises the borrower on the Bank’s EA requirements. The Bank reviews the findings and recommendations of the EA to determine whether they provide an adequate basis for processing the project for Bank financing.”</p> <p>OP, 13: “When the borrower has inadequate legal or technical capacity to carry out key EA-related functions (such as review of EA, environmental monitoring, inspections, or management of mitigatory measures) for a proposed project, the project includes components to strengthen that capacity.</p> <p>OP, 2: “EA ... includes the process of mitigating and managing adverse</p>

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<p>capacity development and training measures, an implementation schedule, and cost estimates.</p>	<p>seminars to be considered and planned for. The targeting process should include, depending on the context: (a) government institutions involved in project oversight and delivery, (b) local non-governmental organizations or other civil society organizations involved in project activities, and (c) project beneficiaries themselves.’</p> <p>(EIA pg.48) ‘The environmental management plan (EMP) includes the mitigation, monitoring, and institutional measures to be taken during project implementation in order to prevent, minimize, or eliminate adverse environmental and social impacts. The EMP is part of, and costed in project design, and will include: Mitigation, Monitoring and CD activities as well as Implementation Schedule and Cost Estimates’.</p>	<p>environmental impacts throughout project implementation.”</p> <p>OP, 19: ““During project implementation, the borrower reports on (a) compliance with measures agreed with the Bank on the basis of the findings and results of the EA, including implementation of any EMP, as set out in the project documents; (b) the status of mitigatory measures; and (c) the findings of monitoring programs. The Bank bases supervision of the project's environmental aspects on the findings and recommendations of the EA, including measures set out in the legal agreements, any EMP, and other project documents.”</p> <p>OP Annex C: The “EMP identifies monitoring objectives and specifies types of monitoring, with linkages to the impacts assessed in the EA report and the mitigation measures described in the EMP.”</p>
<p>PARTICIPATION</p> <p>7. Involve stakeholders, including project-affected groups and local nongovernmental organizations, as early as possible, in the preparation process and ensure that their views and concerns are made known to decision makers and taken into account. Continue consultations throughout project implementation as necessary to address EA-related issues that affect them.</p>	<p>(EIA pg.21) As early as possible in the project formulation process, LTOs will make every effort to engage project stakeholders and beneficiaries including indigenous people and vulnerable groups in analysis and decision-making with respect to potential project environmental and social impacts. For all Category A and B projects, the LTO - or more formally the lead technical unit (LTU) – will consult project-affected groups and relevant local NGOs, take account of their comments in the environmental analysis and EIA reports, and more generally in project design and implementation. Stakeholders’ participation including indigenous people and vulnerable groups will be ensured in designing, implementing, and monitoring avoidance and mitigation measures and compensation/benefits.</p> <p>For Category A projects, the LTU should consult these groups at least twice: (i) shortly after the environmental screening and before the terms of reference for the EIA are finalized; and (ii) once a draft EIA report is prepared. In addition, the LTU should consult with such groups throughout project implementation as necessary to address EIA-related issues that affect them.’</p>	<p>OP, 14: “For all Category A and B projects ... during the EA process, the borrower consults project-affected groups and local non-governmental organizations (NGOs) about the project’s environmental aspects and take their views into account. The borrower initiates such consultations as early as possible. For Category A projects, the borrower consults these groups at least twice: (a) shortly after environmental screening and before the terms of reference for the EA are finalized; and (b) once a draft EA report is prepared. In addition, the borrower consults with such groups throughout project implementation as necessary to address EA-related issues that affect them.”</p>



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<p>INDEP. EXPERTS</p> <p>8. Use independent expertise in the preparation of EA where appropriate. Use independent advisory panels during preparation and implementation of projects that are highly risky or contentious or that involve serious and multi-dimensional environmental and/or social concerns.</p>	<p>(EIA pg.11) ‘The LTO will rely on internal expertise (i.e. technical support from other FAO units) or external independent advice for this purpose.’</p> <p>(EIA pg.11) ‘At a minimum, Category A projects require a site visit by an independent qualified environmental and a social assessment expert or a team of such experts, as independent advisory panels - required only for highly risky projects - during EIA preparation and implementation.’</p>	<p>OP, 4: “For Category A projects, the borrower retains independent EA experts not affiliated with the project to carry out the EA. For Category A projects that are highly risky or contentious or that involve serious and multidimensional environmental concerns, the borrower should normally also engage an advisory panel of independent, internationally recognized environmental specialists to advise on all aspects of the project relevant to the EA.”</p> <p>OP, ft. nt. 7: “However, the borrower ensures that when individuals or entities are engaged to carry out EA activities, any conflict of interest is avoided. For example, when an independent EA is required, it is not carried out by the consultants hired to prepare the engineering design.”</p>
<p>INTEGRATION OF EA</p> <p>9. Provide measures to link the environmental assessment process and findings with studies of economic, financial, institutional, social and technical analyses of a proposed project.</p>	<p>(EIA pg.12) ‘In the context of the EIA, an environmental management plan (EMP) must be produced, describing the proposed mitigation measures and preventive actions to be taken during the various phases of the project life and to ensure that risks are effectively mitigated and/or reduced to acceptable levels. The EMP will also specify the environmental or social monitoring arrangements during project implementation (which may result in further adaptive management measures being applied) and any capacity development necessary to support these measures. Participatory plans will be also elaborated in order to ensure an inclusive approach of all affected groups’.</p> <p>(EIA pg.48) ‘The environmental management plan (EMP) includes the mitigation, monitoring, and institutional measures to be taken during project implementation in order to prevent, minimize, or eliminate adverse environmental and social impacts. The EMP is part of, and costed in project design’.</p> <p>(EIA pg.48) ‘Integration of EMP with Project: For the EMP to be executed</p>	<p>OP, 2: [EA] is integrated closely with the economic, financial, institutional, social, and technical analyses of a proposed project.”</p> <p>OP, ft. nt. 7: “EA is closely integrated with the project’s economic, financial, institutional, social, and technical analyses to ensure that (a) environmental considerations are given adequate weight in project selection, siting, and design decisions, and (b) EA does not delay project processing.”</p>

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	<p>effectively, it must be integrated into the project's overall planning, design, budget, and implementation'.</p>	
<p>SUBPROJECTS</p> <p>10. Provide for application of the material elements in this Table to subprojects under investment and financial intermediary activities.</p>	<p>FAO's work does not involve subprojects. However, FAO commits to ensure the application of the operational principles to subprojects under investment and financial intermediary activities if needed.</p>	<p>OP, 9: "For sector investment loans (SILs), during the preparation of each proposed subproject, the project coordinating entity or implementing institution carries out appropriate EA according to country requirements and the requirements of this policy."</p> <p>OP, 10: "For a financial intermediary (FI) operation, the Bank requires that each FI screen proposed subprojects and ensure that sub-borrowers carry out appropriate EA for each subproject. Before approving a subproject, the FI verifies (through its own staff, outside experts, or existing environmental institutions) that the subproject meets the environmental requirements of appropriate national and local authorities and is consistent with this OP and other applicable environmental policies of the Bank."</p> <p>OP, 11: "In appraising a proposed FI operation, the Bank reviews the adequacy of country environmental requirements relevant to the project and the proposed EA arrangements for subprojects, including the mechanisms and responsibilities for environmental screening and review of EA results. For FI operations expected to have Category A subprojects, prior to the Bank's appraisal each identified participating FI provides to the Bank a written assessment of the institutional mechanisms (including, as necessary, identification of measures to strengthen capacity) for its subproject EA work. If the Bank is not satisfied that adequate capacity exists for carrying out EA, all Category A subprojects and, as appropriate, Category B subprojects--including EA reports--are subject to prior review and approval by the Bank."</p> <p>OP, ft. nt 17: "The requirements for FI operations are derived from the EA process and are consistent with the provisions of para. 6 of this OP. The EA process takes into account the type of finance being considered, the nature and scale of anticipated subprojects, and the environmental requirements of the</p>

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		jurisdiction in which subprojects will be located.”
<p>DISCLOSURE</p> <p>11. Disclose draft EA in a timely manner, before appraisal formally begins, in an accessible place and in a form and language understandable to key stakeholders.</p>	<p>(EIA pg.21) ‘During the formulation process, the LTO will arrange for timely provision of information on potential environmental and social impacts as well as of draft EA/EIA (including EMP and IPP) to stakeholders and beneficiaries - with particular attention to indigenous peoples and vulnerable groups - in a language and format to be accessible and understandable. This consultation will be governed by the “Free, prior and informed consent principle”. Once the pertinent documentation has been completed (i.e. the environmental analysis for Category B projects, the environmental impact assessment for Category A projects), the LTO will ensure that it is made available to the public, both within the country where the project is located (e.g. on a project recipient website) and within FAO (e.g. on the headquarters, regional, or sub regional Web site).’</p> <p>(EIA pg.12) ‘Moreover in the context of the EIA an Indigenous Peoples Plan will be formulated and monitored by qualified professionals in consultation with stakeholders and the communities. The draft IPP as well as the mentioned EMP will be disclosed in timely manner, before appraisal formally begins.’</p>	<p>OP, 15: “For meaningful consultations between the borrower and project-affected groups and local NGOs on all Category A and B projects proposed for IBRD or IDA financing, the borrower provides relevant material in a timely manner prior to consultation and in a form and language that are understandable and accessible to the groups being consulted.”</p> <p>OP, 16: “For a Category A project, the borrower provides for the initial consultation a summary of the proposed project's objectives, description, and potential impacts; for consultation after the draft EA report is prepared, the borrower provides a summary of the EA's conclusions. In addition, for a Category A project, the borrower makes the draft EA report available at a public place accessible to project-affected groups and local NGOs.”</p> <p>OP, 17: “Any separate Category B report for a project proposed for IDA financing is made available to project-affected groups and local NGOs.”</p> <p>OP, 17: “Public availability in the borrowing country and official receipt by the Bank of Category A reports for projects proposed for IBRD or IDA financing, and of any Category B EA report for projects proposed for IDA funding, are prerequisites to Bank appraisal of these projects.”</p>
<p>Definition of Key Terms</p>	<p>(EIA pg.11) Category A: ‘Category A projects may involve significant, cumulative or even potentially irreversible negative environmental impacts or risks. Typically, such projects may include planned interventions that may change existing land and/or water uses, open up new lands, disturb natural habitat needed for maintaining biodiversity, involve significant expansion of industry, introduce water impoundment schemes, promote the use of agrochemicals, or require the acquisition of land and/or resettlement of local populations.</p>	<p>OP, 8a: “Category A: A proposed project is classified as Category A if it is likely to have significant adverse environmental impacts that are sensitive, diverse, or unprecedented. These impacts may affect an area broader than the sites or facilities subject to physical works.” “A potential impact is considered “sensitive” if it may be irreversible (e.g., lead to loss of a major natural habitat) or raise issues covered by OP 4.10, Indigenous Peoples; OP 4.04, Natural Habitats; OP 4.11, Physical Cultural Resources; or OP 4.12, Involuntary Resettlement.”</p> <p>OP 8b.: “Category B: A proposed project is classified as Category B if its</p>

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<b>OPERATIONAL PRINCIPLES:<sup>1</sup></b> <b>Environmental Assessment</b>	<b>FAO</b> <b>Policies &amp; Procedures and/or Gap Filling Commitments</b>	<b>World Bank Policies &amp; Procedures on Environmental Assessment</b>
	<p>(EIA pg.13) Category B: ‘Category B projects should not entail significant (or potentially irreversible) negative environmental (and associated social) impacts, but may still have adverse effects which can be mitigated with suitable preventive actions. Category B projects do not require a full EIA but will require further deepening of environmental or social considerations, depending on the expected magnitude of risks. In many cases, the analysis would aim at gathering additional information in sufficient detail so as to be able to discuss concretely how risks could be addressed and minimized (and possibly eliminated) in the project design. Attention must be paid also to appropriate monitoring requirements during project implementation. The scope of analytical work may vary from a detailed study of a specific project component to routine checks to ensure that the project design conforms to FAO’s governing principles (see Annex 1).</p> <p>(EIA pg.14) Category C: ‘Category C projects should have minimal or no potential negative environmental (or social) impacts, either individually or cumulatively. They should not be controversial in terms of the interests of key stakeholders. As such, they do not require further analysis or impact assessment. Ranking under Category C is to be certified by the LTO who can proceed to final design and implementation phases.’</p> <p>(EIA pg.48) EMP: ‘The environmental management plan (EMP) includes the mitigation, monitoring, and institutional measures to be taken during project implementation in order to prevent, minimize, or eliminate adverse environmental and social impacts. The EMP is part of, and costed in project design, and will include the following.’</p> <p>See FAO’s indicative list of projects that would normally be assigned to Category A, Category B, and Category C (Box 2, 3 and 4) and outline content on an Environmental Management Plan pg. 48.</p>	<p>potential adverse environmental impacts on human populations or environmentally important areas—including wetlands, forests, grasslands, and other natural habitats—are less adverse than those of Category A projects. These impacts are site-specific; few if any of them are irreversible; and in most cases mitigatory measures can be designed more readily than for Category A projects. The scope of EA for a Category B project may vary from project to project, but it is narrower than that of Category A EA. Like Category A EA, it examines the project’s potential negative and positive environmental impacts and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental performance. The findings and results of Category B EA are described in the project documentation (Project Appraisal Document and Project Information Document).”</p> <p>OP 8.c: “Category C: A proposed project is classified as Category C if it is likely to have minimal or no adverse environmental impacts. Beyond screening, no further EA action is required for a Category C project.”</p> <p>OP Annex A, 3: “Environmental Management Plan. An instrument that details (a) measures to be taken during the implementation and operation of a project to eliminate or offset adverse environmental impacts, or to reduce them to acceptable levels; and (b) the actions needed to implement these measures. The EMP is an integral part of Category A EAs (irrespective of other instruments used).”</p> <p>[OP 4.01 Annex B outlines content of an Environmental Assessment Report for Category A projects and Annex C outlines the required content of an Environmental Management Plan.)</p>

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<i>OPERATIONAL PRINCIPLES:<sup>1</sup></i> <i>Natural Habitats</i>	<i>FAO</i> <i>Policies &amp; Procedures and/or Gap Filling Commitments</i>	<i>World Bank Policies &amp; Procedures on Natural Habitats</i>
<b>B. NATURAL HABITATS</b>	FAO. The Environmental Impact Assessment Guidelines for FAO Field Projects, Draft (1 July 2011)	OP/BP 4.04 Natural Habitats, OP 4.04 Annex A Definitions
<i>Overall Objective:</i> To promote environmentally sustainable development by supporting the protection, conservation, maintenance, and rehabilitation of natural habitats and their functions.		
<p>PRECAUTIONARY APPROACH</p> <p>1. Use a precautionary approach to natural resources management to ensure opportunities for environmentally sustainable development. Determine if project benefits substantially outweigh potential environmental costs.</p>	<p>FAO classifies projects that ‘may have significant adverse environmental or social impacts’ as Category A.</p> <p>(EIA pg.26) ‘In making determinations with respect to projects in or around the areas mentioned above, FAO will employ a precautionary approach in order to ensure adequate protection of these areas.’</p>	<p>OP, 1: “The Bank supports, and expects borrowers to apply, a precautionary approach to natural resource management to ensure opportunities for environmentally sustainable development.”</p> <p>OP, 5: “The Bank does not support projects involving the significant conversion of natural habitats unless there are no feasible alternatives for the project and its siting, and comprehensive analysis demonstrates that overall benefits from the project substantially outweigh the environmental costs.”</p> <p>BP ,2: Bank classifies projects that have the “potential for significant conversion or degradation of critical or other natural habitats” as Category A.</p>
<p>AVOID SIGNIFICANT CONVERSION</p> <p>2. Avoid significant conversion or degradation of critical natural habitats in land use plans/ strategies, including those habitats that are (a) legally protected, (b) officially proposed for protection, (c) identified by authoritative sources for their high conservation value, or (d) recognized as protected by traditional local communities.</p>	<p>(EIA pg.10-11) ‘It should be highlighted that FAO does not support projects that involve significant conversion or degradation of critical natural habitats, including those habitats that are: legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, or so recognized (i.e. private properties), as well as projects that may cause an involuntary resettlement of populations.’</p> <p>(EIA pg.26) ‘FAO will not finance or execute projects related to infrastructure and other types of physical investment involving land use, water space, in or around designated protected areas. This includes lands and land uses important to indigenous and other ethnic groups, as well as Marine Protected Areas and areas that are relevant to the reproduction of aquatic species in any category of conservation. FAO does not support projects involving the significant conversion of critical natural habitats including forests, or that will contravene applicable</p>	<p>OP 4: “The Bank does not support projects that, in the Bank’s opinion, involve the significant conversion or degradation of critical natural habitats.”</p>



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<i>OPERATIONAL PRINCIPLES:<sup>1</sup> Natural Habitats</i>	<i>FAO Policies &amp; Procedures and/or Gap Filling Commitments</i>	<i>World Bank Policies &amp; Procedures on Natural Habitats</i>
	<p>international environmental agreements. Wherever feasible, preference must be given to projects dealing with lands already converted.’</p> <p>See checklist for Environmental Screening for Category A &amp; B projects (34-35) and the Basic Policy requirements for Field Projects (38-44).</p>	
<p>VIABLE ALTERNATIVES</p> <p>3. Where projects adversely affect non-critical natural habitats, proceed only if viable alternatives are not available, and if appropriate conservation and mitigation measures, including those required to maintain ecological services they provide, are in place. Include also mitigation measures that minimize habitat loss and establish and maintain an ecologically similar protected area.</p>	<p>(EIA pg.26) ‘Protected areas, natural habitats, critical ecosystems.</p> <p>‘As mentioned above, FAO does not support projects involving the significant conversion of critical natural habitats including forests, or that will contravene applicable international environmental agreements. Wherever feasible, preference must be given to projects dealing with lands already converted. Where projects can adversely affect non-critical habitats, FAO will support them only if viable alternatives are not available, and if appropriate conservation and mitigation measures, including those required to maintain ecological services provided by these habitats, are in place. The project will have to include mitigation measures that minimize habitat loss and establish and/or maintain an ecologically similar protected area.</p> <p>Projects should be screened as early as possible for potential impacts on health of important ecosystems including forests and quality and on the rights and welfare of the people who depend on them. As appropriate, the prospects for new markets and marketing arrangements should be evaluated.</p> <p>Furthermore it should be ensured that forest restoration projects maintain or enhance biodiversity and ecosystem functionality and that all plantation projects are environmentally appropriate, socially beneficial and economically viable.’</p>	<p>OP 5: “The Bank does not support projects involving the significant conversion of natural habitats unless there are no feasible alternatives for the project and its siting, and comprehensive analysis demonstrates that overall benefits from the project substantially outweigh the environmental costs.”</p> <p>OP 5: “If the environmental assessment indicates that a project would significantly convert or degrade natural habitats, the project includes mitigation measures acceptable to the Bank. Such mitigation measures include, as appropriate, minimizing habitat loss (e.g., strategic habitat retention and post-development restoration) and establishing and maintaining an ecologically similar protected area. The Bank accepts other forms of mitigation measures only when they are technically justified.”</p> <p>BP , 4: “The costs of conservation of any compensatory natural habitats are included in the project’s financing. Mechanisms to ensure adequate recurrent cost financing are incorporated into the project design.”</p>
<p>PREFERENCE</p>	<p>(EIA pg.26) ‘FAO does not support projects involving the significant conversion of critical natural habitats including forests, or that will contravene applicable</p>	<p>OP, 5: “Wherever feasible, Bank-financed projects are sited on lands already converted (excluding any lands that in the Bank’s opinion were converted in</p>



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4. Whenever feasible, give preference to siting projects on lands already converted.	international environmental agreements. Wherever feasible, preference must be given to projects dealing with lands already converted.’	anticipation of the project).”
<b>STAKEHOLDER ENGAGEMENT</b> 5. Consult key stakeholders, including local nongovernmental organizations and local communities, and involve such people in design, implementation, monitoring, and evaluation of projects, including mitigation planning.	<p>(EIA pg.21) ‘As early as possible in the project formulation process, LTOs will make every effort to engage project stakeholders and beneficiaries including indigenous people and vulnerable groups in analysis and decision-making with respect to potential project environmental and social impacts. For all Category A and B projects, the LTO - or more formally the lead technical unit (LTU) - will consult project-affected groups and relevant local NGOs, take account of their comments in the environmental analysis and EIA reports, and more generally in project design and implementation. Stakeholders’ participation including indigenous people and vulnerable groups will be ensured in designing, implementing, and monitoring avoidance and mitigation measures and compensation/benefits.’</p> <p>‘For Category A projects, the LTU should consult these groups at least twice: (i) shortly after the environmental screening and before the terms of reference for the EIA are finalized; and (ii) once a draft EIA report is prepared. In addition, the LTU should consult with such groups throughout project implementation as necessary to address EIA-related issues that affect them.’</p> <p>See checklist for Environmental Screening for Category A &amp; B projects (34-35) and the Basic Policy requirements for Field Projects (38-44).</p>	<p>OP, 6 [INSERTED]: “In deciding whether to support a project with potential adverse impacts on a natural habitat, the Bank takes into account the borrower's ability to implement the appropriate conservation and mitigation measures. If there are potential institutional capacity problems, the project includes components that develop the capacity of national and local institutions for effective environmental planning and management. The mitigation measures specified for the project may be used to enhance the practical field capacity of national and local institutions.”</p> <p>OP, 9 [INSERTED]: “The Bank encourages borrowers to incorporate into their development and environmental strategies analyses of any major natural habitat issues, including identification of important natural habitat sites, the ecological functions they perform, the degree of threat to the sites, and priorities for conservation, and associated recurrent-funding and capacity-building needs.”</p> <p>OP, 10: “The Bank expects the borrowers to take into account the views, roles, and rights of groups, including local nongovernmental organizations and local communities, affected by Bank-financed projects involving natural habitats, and to involve such people in planning, designing, implementing, monitoring, and evaluating such projects.”</p>
<b>USE OF EXPERTS</b> 6. Provide for the use of appropriate expertise for the design and implementation of mitigation and monitoring plans.	<p>(EIA pg.11) The LTO will rely on internal expertise (i.e. technical support from other FAO units) or external independent advice for this purpose.’ ‘At a minimum, Category A projects require a site visit by an independent qualified environmental and a social assessment expert or a team of such experts, as independent advisory panels - required only for highly risky projects - during EIA preparation and implementation.’</p>	<p>OP, 7: “In projects with natural habitat components, project preparation, appraisal, and supervision arrangements include appropriate environmental expertise to ensure adequate design and implementation of mitigation measures.”</p> <p>BP, 1: “Early in the preparation of a project proposal for Bank financing, the task team leader (TL) consults with the Regional environmental sector unit (RESU) and, as necessary, with the Environment Department (ENV) and the Legal Vice Presidency (LEG) to identify natural habitat issues likely to arise in the project.”</p>

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<p>DISCLOSURE</p> <p>7. Disclose draft mitigation plan in a timely manner, before appraisal formally begins, in an accessible place and in a form and language understandable to key stakeholders.</p>	<p>(EIA pg.21) During the formulation process, the LTO will arrange for timely provision of information on potential environmental and social impacts as well as of draft EA/EIA (including EMP and IPP) to stakeholders and beneficiaries - with particular attention to indigenous peoples and vulnerable groups - in a language and format to be accessible and understandable. This consultation will be governed by the “Free, prior and informed consent principle”. Once the pertinent documentation has been completed (i.e. the environmental analysis for Category B projects, the environmental impact assessment for Category A projects), the LTO will ensure that it is made available to the public, both within the country where the project is located (e.g. on a project recipient website) and within FAO (e.g. on the headquarters, regional, or sub regional Web site). LTO will ensure the stakeholders involvement and the public disclosure of relevant documentation during all the phases of the project and EIA Cycle.</p> <p>(EIA pg.12) Moreover in the context of the EIA an Indigenous Peoples Plan will be formulated and monitored by qualified professionals in consultation with stakeholders and the communities. The draft IPP as well as the mentioned EMP will be disclosed in timely manner, before appraisal formally begins.</p> <p>Plus see FAO, Gender and ICTs, <a href="ftp://ftp.fao.org/sd/SDW/SDWW/COAIM-paper-final.doc">ftp://ftp.fao.org/sd/SDW/SDWW/COAIM-paper-final.doc</a></p>	<p>OP 4.01 Environmental Assessment, 15: “For meaningful consultations between the borrower and project-affected groups and local NGOs on all Category A and B projects proposed for IBRD or IDA financing, the borrower provides relevant material in a timely manner prior to consultation and in a form and language that are understandable and accessible to the groups being consulted.”</p> <p>OP 4.01, 16: “For a Category A project, the borrower provides for the initial consultation a summary of the proposed project's objectives, description, and potential impacts; for consultation after the draft EA report is prepared, the borrower provides a summary of the EA's conclusions. In addition, for a Category A project, the borrower makes the draft EA report available at a public place accessible to project-affected groups and local NGOs.”</p> <p>OP 4.01, 17: “Any separate Category B report for a project proposed for IDA financing is made available to project-affected groups and local NGOs. Public availability in the borrowing country and official receipt by the Bank of Category A reports for projects proposed for IBRD or IDA financing, and of any Category B EA report for projects proposed for IDA funding, are prerequisites to Bank appraisal of these projects.”</p> <p>Plus see WB Access to Information policy (referenced in FCPF Guidance on Disclosure of Information.)</p>
<p>Definitions of Key Terms</p>	<p>Natural habitats are ‘The place or type of site where species and communities normally live or grow, usually characterized by a relatively uniform portion of the physical features or by consistent plant forms. Deserts, lakes and forests are all habitats (FAO, 1997b).</p> <p>(EIA pg.26) EIA: Annex 1: Governing Principles</p> <p>Critical natural habitats include those natural habitats that are either legally</p>	<p>OP Annex A, 1.a: “Natural habitats are land and water areas where (i) the ecosystems’ bio-logical communities are formed largely by native plant and animal species, and (ii) human activity has not essentially modified the area's primary ecological functions. All natural habitats have important biological, social, economic, and existence value. Important natural habitats may occur in tropical humid, dry, and cloud forests; temperate and boreal forests; Mediterranean-type shrub lands; natural arid and semi-arid lands; mangrove swamps, coastal marshes, and other wetlands; estuaries; sea grass beds; coral reefs; freshwater</p>

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	<p>protected or officially proposed for protection, or unprotected but of known high conservation value, or that are essential for the conservation of rare, vulnerable or endangered species. Such sites may include areas recognized by traditional local communities; areas designated for conservation of biodiversity.</p> <p>Significant conversion is the severe diminution of the integrity of a critical or natural habitat caused by significant long term change in land or water use.</p> <p>Degradation is the modification of a critical or other natural habitat that reduces the habitat's ability to maintain viable populations of its native species, resulting from natural processes, land or water uses or other human activities, and habitation patterns such as land contamination, soil erosion and the destruction of the vegetation cover.</p>	<p>lakes and rivers; alpine and sub alpine environments, including herb fields, grasslands, and paramos; and tropical and temperate grasslands.”</p> <p>OP, Annex A 1.b: “Critical natural habitats are: (i) existing protected areas and areas officially proposed by governments as protected areas (e.g., reserves that meet the criteria of the World Conservation Union [IUCN] classifications), areas initially recognized as protected by traditional local communities (e.g., sacred groves), and sites that maintain conditions vital for the viability of these protected areas (as determined by the environmental assessment process); or (ii) sites identified on supplementary lists prepared by the Bank or an authoritative source determined by the Regional environment sector unit (RESU). Such sites may include areas recognized by traditional local communities (e.g., sacred groves); areas with known high suitability for bio-diversity conservation; and sites that are critical for rare, vulnerable, migratory, or endangered species. Listings are based on systematic evaluations of such factors as species richness; the degree of endemism, rarity, and vulnerability of component species; representativeness; and integrity of ecosystem processes.”</p> <p>OP Annex A, 1.c: “Significant conversion is the elimination or severe diminution of the integrity of a critical or other natural habitat caused by a major, long-term change in land or water use. Significant conversion may include, for example, land clearing; replacement of natural vegetation (e.g., by crops or tree plantations); permanent flooding (e.g., by a reservoir); drainage, dredging, filling, or channelization of wetlands; or surface mining. In both terrestrial and aquatic ecosystems, conversion of natural habitats can occur as the result of severe pollution. Conversion can result directly from the action of a project or through an indirect mechanism (e.g., through induced settlement along a road).”</p> <p>OP Annex A, 1.d: Degradation is modification of a critical or other natural habitat that substantially reduces the habitat’s ability to maintain viable populations of its native species.”</p>

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<b>OPERATIONAL PRINCIPLES:<sup>1</sup></b> <b>Forests</b>	<b>FAO</b> <b>Policies &amp; Procedures and/or Gap Filling Commitments</b>	<b>World Bank Policies &amp; Procedures on Forests</b>
<b>C. FORESTS</b>	<ul style="list-style-type: none"> <li>- FAO. The Environmental Impact Assessment Guidelines for FAO Field Projects, Draft (1 July 2011)</li> <li>- FAO. Responsible management of planted forests Voluntary guidelines. (2006)</li> <li>- FAO. Guidelines for the management of tropical forests                             <ol style="list-style-type: none"> <li>1. The production of wood (1998) (GFMTF)</li> </ol> </li> <li>- FAO. Guidelines for reporting on forest degradation. 2010.</li> </ul>	OP/BP 4.36 Forests, OP 4.36 Annex A Definitions
<b>Overarching Objective:</b> To realize the potential of forests to reduce poverty in a sustainable manner, integrate forests effectively into sustainable economic development, and protect the vital local and global environmental services and values of forests.		
<b>SCREEN FOR IMPACTS</b>  1. Screen as early as possible for potential impacts on forest health and quality and on the rights and welfare of the people who depend on them. As appropriate, evaluate the prospects for new markets and marketing arrangements.	(EIA pg.16-17) ‘Environmental screening is the systematic assessment and documentation of the potential environmental and socioeconomic impacts (negative but also positive) of a proposed Category A or B project. This should in effect determine if the project is to fall under Category A or B, hence whether to carry out further environmental analysis or an EIA, and at what level of effort.’ ‘Positive outcomes can be identified by using the checklists on basic policy requirements for field projects contained in Annex 3. Negative environmental factors which may affect the project outcome should be adequately described. Both direct impacts and indirect impacts will be addressed, as well as relevant trans-boundary issues, or any onward funding that may be planned. These basic requirements will aid the LTO reviewer in screening the project under consideration for environmental and social impacts of potential concern and ultimately in determining the environmental category to assign to the project.’  (Guidelines for the management of tropical forests, Section 2.4.2, Involvement of local communities) - ‘Principles and Approaches  Involvement of local communities in sustainable tropical forest management can be secured, depending upon locally prevailing conditions, as follows:	OP, 13: “In accordance with OP/BP 4.01, Environmental Assessment, the environmental assessment (EA) for an investment project addresses the potential impact of the project on forests and/or the rights and welfare of local communities.”  OP, 15: “As appropriate, the design of projects that use forest resources or provide environmental services includes an evaluation of the prospects for the development of new markets and marketing arrangements for non-timber forest products and related forest goods and services, taking into account the full range of goods and environmental services from well-managed forests.”

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<p><i>OPERATIONAL PRINCIPLES:<sup>1</sup></i> <i>Forests</i></p>	<p><i>FAO</i> <i>Policies &amp; Procedures and/or Gap Filling Commitments</i></p>	<p><i>World Bank Policies &amp; Procedures on Forests</i></p>
	<p>-By adapting the conventional technical tools and methods of land use planning, watershed management, market assessment, agroforestry and wood production management, to the participatory approaches of rural development, such as Participatory Rural Appraisal, farming systems analysis, and Participatory Assessment Monitoring and Evaluation.</p> <p>-By incorporating nutrition, population and gender analysis into the development of balanced management programmes.</p> <p>-By using participatory tools adapted to local conditions, throughout the analysis, design, management and evaluation phases of local community development programmes, to increase mutual learning opportunities for local people and their technical partners.</p> <p>-By encouraging local community participation in forest products marketing. One example is the development of local market information systems managed mainly by local communities.'</p> <p>(UNREDD Social and Environmental Principles and Criteria Version 1, Criterion 14) 'Set goals and plan for maintenance and enhancement of ecosystem services and biodiversity in new and existing forest. The programme sets goals for delivery of ecosystem-based multiple benefits, and land use planning explicitly takes account of these. The implementation of REDD+ is informed by analysis of the potential for multiple benefits and trade-offs between different benefits (e.g. through spatial analysis) Management plans and activities aim to ensure that forests deliver multiple benefits that are valued locally.'</p>	
<p>CRITICAL FOREST AREAS</p> <p>2. Do not finance projects that would involve significant</p>	<p>(EIA pg.38) The projects must 'be compatible with principles and obligations of international agricultural conventions'.</p> <p>(EIA pg.10, Section 2.2) 'It should be highlighted that FAO does not support</p>	<p>OP, 5: "The Bank does not finance projects that, in its opinion, would involve significant conversion or degradation of critical forest areas or related critical natural habitats."</p>

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<p><i>OPERATIONAL PRINCIPLES:<sup>1</sup></i></p> <p><i>Forests</i></p>	<p><i>FAO</i></p> <p><i>Policies &amp; Procedures and/or Gap Filling Commitments</i></p>	<p><i>World Bank Policies &amp; Procedures on Forests</i></p>
<p>conversion or degradation of critical forest areas or related critical natural habitats, or that would contravene applicable international environmental agreements.</p>	<p>projects that involve significant conversion or degradation of critical natural habitats, including those habitats that are: legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, or so recognized (i.e. private properties), as well as projects that may cause an involuntary resettlement of populations.’</p> <p>(EIA pg.40) “be compatible with existing national and international laws, commitments, treaties and agreements”.</p>	<p>OP, 6: “The Bank does not finance projects that contravene applicable international environmental agreements.”</p>
<p>PLANTATIONS</p> <p>3. Do not finance natural forest harvesting or plantation development that would involve any conversion or degradation of critical forest areas or related critical natural habitats.</p>	<p>(EIA, pg.26) Annex 1: Governing Principles: ‘FAO will neither finance nor execute projects related to infrastructure or other types of physical investment involving land use, water space in or around designated protected areas, critical natural habitats or ecosystems. This includes lands and land uses important to indigenous and other ethnic groups, as well as marine protected areas and areas that are relevant to the reproduction of aquatic species in any category of conservation. In making determinations with respect to projects in or around the areas mentioned above, FAO will employ a precautionary approach in order to ensure adequate protection of these areas. As mentioned above, FAO does not support projects involving the significant conversion of critical natural habitats including forests, or that will contravene applicable international environmental agreements. Wherever feasible, preference must be given to projects dealing with lands already converted. Where projects can adversely affect non-critical habitats, FAO will support them only if viable alternatives are not available, and if appropriate conservation and mitigation measures, including those required to maintain ecological services provided by these habitats, are in place. The project will have to include mitigation measures that minimize habitat loss and establish and/or maintain an ecologically similar protected area.’</p> <p>(EIA pg.10, Section 2.2) ‘It should be highlighted that FAO does not support</p>	<p>OP, 7: “The Bank does not finance plantations that involve any conversion or degradation of critical natural habitats, including adjacent or downstream critical natural habitats.”</p> <p>OP, 8: “The Bank may finance commercial harvesting operations only when the Bank has determined, on the basis of the applicable environmental assessment or other relevant information, that the areas affected by the harvesting are not critical forests or related critical natural habitats.”</p> <p>OP, 7: “When the Bank finances plantations, it gives preference to siting such projects on unforested sites or lands already converted (excluding any lands that have been converted in anticipation of the project). In view of the potential for plantation projects to introduce invasive species and threaten biodiversity, such projects must be designed to prevent and mitigate these potential threats to natural habitats.”</p>



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<p><i>OPERATIONAL PRINCIPLES:<sup>1</sup></i> <i>Forests</i></p>	<p><i>FAO</i> <i>Policies &amp; Procedures and/or Gap Filling Commitments</i></p>	<p><i>World Bank Policies &amp; Procedures on Forests</i></p>
	<p>projects that involve significant conversion or degradation of critical natural habitats, including those habitats that are: legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, or so recognized (i.e. private properties), as well as projects that may cause an involuntary resettlement of populations.’</p> <p>(EIA pg 40) Checklist on the Basic Policy requirements for Field Projects 3.4 Forestry</p> <p>(Responsible management of planted forests Voluntary guidelines)</p> <p>In Principle 10. “Avoiding the conversion of naturally regenerating forests or other ecosystems of significant conservation value into planted forests.”</p> <p>In implementation considerations 4.5.6. “Planted forests should never replace primary forests, ecologically significant secondary forests or other important ecosystems with significant conservation values”</p>	
<p>AVOID ADVERSE IMPACTS ON NON-CRITICAL NATURAL FORESTS</p> <p>4. Support projects that adversely impact non-critical natural forests or related natural habitats only if viable alternatives to the project are not available and only if appropriate conservation and mitigation measures are in place.</p>	<p>(EIA, pg.26) Annex 1: Governing Principles: ‘FAO will neither finance nor execute projects related to infrastructure or other types of physical investment involving land use, water space in or around designated protected areas, critical natural habitats or ecosystems. This includes lands and land uses important to indigenous and other ethnic groups, as well as marine protected areas and areas that are relevant to the reproduction of aquatic species in any category of conservation. In making determinations with respect to projects in or around the areas mentioned above, FAO will employ a precautionary approach in order to ensure adequate protection of these areas. As mentioned above, FAO does not support projects involving the significant conversion of critical natural habitats including forests, or that will contravene applicable international environmental agreements.</p>	<p>OP, 5: “If a project involves the significant conversion or degradation of natural forests or related natural habitats that the Bank determines are not critical, and the Bank determines that there are no feasible alternatives to the project and its siting, and comprehensive analysis demonstrates that overall benefits from the project substantially outweigh the environmental costs, the Bank may finance the project provided that it incorporates appropriate mitigation measures.”</p>

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	<p>Wherever feasible, preference must be given to projects dealing with lands already converted. Where projects can adversely affect non-critical habitats, FAO will support them only if viable alternatives are not available, and if appropriate conservation and mitigation measures, including those required to maintain ecological services provided by these habitats, are in place. The project will have to include mitigation measures that minimize habitat loss and establish and/or maintain an ecologically similar protected area.'</p>	
<p>FOREST CERTIFICATION</p> <p>5. Support commercial, industrial-scale forest harvesting only when the operation is certified, under an independent forest certification system, as meeting, or having a time-bound action plan to meet, internationally recognized standards of responsible forest management and use.</p>	<p>Although FAO does not adhere to specific forest certification scheme, it encourages and calls for the use of criteria and indicators to measure progress towards SFM.</p> <p>(FAO Responsible management of planted forests Voluntary guidelines) 1.2 Scope : 'Forest certification schemes may build upon or complement the guidelines by establishing procedures for and monitoring of technical standards and best practices in planted forest management. It is acknowledged that where planted forests are certified by recognized, credible certification schemes, the intent of these guidelines is likely to have been satisfied. Similarly, where national or subnational guides, codes of practice or other forest practice systems applying to planted forests exist and have been reviewed against nationally and internationally based standards, they are likely to have satisfied the intent of the voluntary guidelines.'</p> <p>(Guidelines for the Management of Tropical Forests, Introduction) 'Sustainable forest management signifies that due attention be given to the productive, protective, social and environmental aspects in an integrated manner. Recent international efforts have concentrated on efforts to facilitate monitoring of effects of forest management through the specification of criteria, by which sustainability is defined; and the identification of corresponding, quantitative, qualitative and descriptive indicators, to be</p>	<p>OP, 8: "The Bank may finance commercial harvesting operations only when the Bank has determined, on the basis of the applicable environmental assessment or other relevant information, that the areas affected by the harvesting are not critical forests or related critical natural habitats."</p> <p>OP, 9: "To be eligible for Bank financing, industrial-scale commercial harvesting must also (a) be certified under an independent forest certification system acceptable to the Bank as meeting standards of responsible forest management and use; or (b) where a pre-assessment under such an independent forest certification system determines that the operation does not yet meet the requirements of subparagraph 9(a), adhere to a time-bound phased action plan acceptable to the Bank for achieving certification to such standards."</p>

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	<p>used as tools for monitoring and evaluation both of the effects of forest management and of possible remedial action taken to improve management strategies and methodologies to better meet specified aims.'</p> <p>Gap filling: FAO as Delivery Partner commits to use Country's preferred recognized certification system accordingly to FAO's policy to support Sustainable Forest Management</p>	
<p>RESTORATION</p> <p>6. Ensure that forest restoration projects maintain or enhance biodiversity and ecosystem functionality and that all plantation projects are environmentally appropriate, socially beneficial and economically viable.</p>	<p>(EIA pg.27) Annex 1: Governing Principles: Management of biological diversity for food and agriculture. 'In undertaking EIA, special attention needs to be paid to agricultural, fisheries and forestry practices that could have an impact on biodiversity for food and agriculture as well as the ecosystem functions this biodiversity provides – both on- and off-site.</p> <p>(GFMTE, Section 2.3: Environmental Considerations) Conservation of Biological Diversity:</p> <ul style="list-style-type: none"> <li>- Where necessary, plan and undertake local surveys in consultation with specialist ecologists, including NGO specialists, to better define the extent of specific sites and the conservation status of plants or animals that might occur.</li> <li>- Where appropriate, consult with representatives of local communities to determine the nature of traditional interests that may exist in sites having endangered or rare plants or animals.</li> <li>- Reach agreement through consultation between the forest owner, forest planners and managers, local people living in and around the forest, ecologists and interested conservation groups to identify <b>sites that should be reserved from wood production and protected to conserve biodiversity values.</b></li> <li>- Where it is technically appropriate and practicable to do so, combine forest land having biodiversity, watershed, wildlife and non-wood forest products</li> </ul>	<p>OP, 2: "Where forest restoration and plantation development are necessary to meet these objectives, the Bank assists borrowers with forest restoration activities that maintain or enhance biodiversity and ecosystem functionality. The Bank also assists borrowers with the establishment and sustainable management of environmentally appropriate, socially beneficial, and economically viable forest plantations to help meet growing demands for forest goods and services."</p>

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	<p>conservation values, including streamside buffers. ‘</p> <p>(Responsible management of planted forests: voluntary guidelines.) The guidelines address these three issues thoroughly through Economic principles, Social and cultural principles and Environmental principles.</p> <p><b>3.2 Economic principles</b> Principle 4: Recognition of the value of goods and services Principle 5: Enabling environment for investment Principle 6: Recognition of the role of the market</p> <p><b>3.3 Social and cultural principles</b> Principle 7: Recognition of social and cultural values Principle 8: Maintenance of social and cultural services</p> <p><b>3.4 Environmental principles</b> Principle 9: Maintenance and conservation of environmental services Principle 10: Conservation of biological diversity Principle 11: Maintenance of forest health and productivity</p>	
<p>PREFERENCE</p> <p>7. Give preference to small-scale community-level management approaches where they best reduce poverty in a sustainable manner.</p>	<p>(GFMTF Section 2.4.1: Social Considerations) ‘Sustainable tropical forest management is concerned not only with technical management but also with the integration of agriculture with forests for food production, the production of wood for community use and for the supply of non-wood forest products. <b>It should lead to social and economic development of local communities, including the provision of basic needs and to income generation and employment.</b> A balanced programme of forest management can contribute to these objectives by supporting opportunities to share information, experience and the responsibilities of management with local communities.’</p> <p>(GFMTF, Section 2.4.2: Involvement of local communities) ‘Involvement of local communities in sustainable tropical forest management</p>	<p>OP, 14: “Preference is given to small-scale, community-level management approaches where they best harness the potential of forests to reduce poverty in a sustainable manner.”</p> <p>BP, 4: “... the [Task Team] ensures that the borrower also assesses the feasibility of giving preference to small-scale, community level harvesting approaches to harness the potential of forests to reduce poverty in a sustainable manner.”</p>

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	<p>can be secured, depending upon locally prevailing conditions, as follows:</p> <ul style="list-style-type: none"><li>-By adapting the conventional technical tools and methods of land use planning, watershed management, market assessment, agroforestry and wood production management, to the participatory approaches of rural development, such as Participatory Rural Appraisal, farming systems analysis, and Participatory Assessment Monitoring and Evaluation.</li><li>-By incorporating nutrition, population and gender analysis into the development of balanced management programmes.</li><li>-By using participatory tools adapted to local conditions, throughout the analysis, design, management and evaluation phases of local community development programmes, to increase mutual learning opportunities for local people and their technical partners.</li></ul> <p>(The responsible management of planted forests: Voluntary guidelines) Social and cultural principles:</p> <ul style="list-style-type: none"><li>• recognizing the local community values, customary rights, traditional knowledge, religious values and tenure of indigenous peoples and ethnic minorities in areas targeted for planted forest investments;</li><li>• increasing the opportunities and capacity of indigenous peoples, ethnic minorities, local communities (including women and marginal groups) and smallholder investors to benefit from rights in the planning, management and use of planted forests;</li><li>• recognizing the various, multiple-use contributions of smallholder investors (including outgrowers) in planted forests and trees and their unique needs for support in terms of tenurial rights, training, extension, research, access to markets and benefit-sharing;’</li></ul>	
LOCAL COMMUNITIES	(GFMTF, Section 2.4.1: Social Considerations) Sustainable tropical forest	OP, 12: “The Bank may finance harvesting operations conducted by small-scale

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<p>8. Support commercial harvesting by small-scale landholders, local communities or entities under joint forest management where monitoring with the meaningful participation of local communities demonstrates that these operations achieve a standard of forest management consistent with internationally recognized standards of responsible forest use or that they are adhering to an approved time-bound plan to meet these standards.</p>	<p>management is concerned not only with technical management but also with the integration of agriculture with forests for food production, the production of wood for community use and for the supply of non-wood forest products. <b>It should lead to social and economic development of local communities, including the provision of basic needs and to income generation and employment.</b> A balanced programme of forest management can contribute to these objectives by supporting opportunities to share information, experience and the responsibilities of management with local communities. A definition of community forestry that recognises a degree of local control and participation amongst rural communities is shown in Figure 23.</p> <p><b>Gap filling:</b> inclusion of definition of small-scale in EIA under Annex 1: Governing Principles under <b>Management of forests and trees</b>.</p>	<p>landholders, by local communities under community forest management, or by such entities under joint forest management arrangements, if these operations: (a) have achieved a standard of forest management developed with the meaningful participation of locally affected communities, consistent with the principles and criteria of responsible forest management outlined in paragraph 10; or (b) adhere to a time-bound phased action plan to achieve such a standard. The action plan must be developed with the meaningful participation of locally-affected communities and be acceptable to the Bank. The borrower monitors all such operations with the meaningful participation of locally-affected communities.”</p> <p>Definition of small-scale landholder, OP, ft. nt. 13: "Small-scale" is determined by the national context of a given country and is generally relative to the average size of household forest landholdings. In some situations, small-scale landholders may control less than a hectare of forests; in others they may control 50 hectares or more.</p> <p>Action plan: BP, 5: “If the project involves harvesting operations to be financed by the Bank under OP 4.36, paras. 9(b) or 12(b), the TT ensures that the project incorporates the time-bound action plan, as well as the associated performance benchmarks and the timeframe required to achieve appropriate forest management standards pursuant to OP 4.36, paras. 9-12. The TT includes the time-bound action plan (and the associated performance benchmarks) in the Project Appraisal Document, which is made available to the public in accordance with the World Bank's disclosure policy.”</p>
<p><b>FOREST CERTIFICATION</b></p> <p>9. Use forest certification systems that require: (a) compliance with relevant laws; (b) recognition of, and respect for, legal or customary land tenure and use rights as well as the</p>	<p>(EIA pg.28-29) <b>Management of forests and trees.</b> The application of recognized, credible forest certification schemes or the use of the Voluntary Guidelines on Planted Forests (and an equivalent document for indigenous forests) should be considered functionally equivalent to an EIA. If such policy frameworks are considered and implemented within a project, the scope and intent of an EIA are very likely to have been satisfied. Consequently project could refer to the observance of principles 9, 10 and 11</p>	<p>OP, 10: “To be acceptable to the Bank, a forest certification system must require:</p> <ul style="list-style-type: none"> <li>a) compliance with relevant laws</li> <li>b) recognition of and respect for any legally documented or customary land tenure and use rights as well as rights of indigenous peoples and workers</li> <li>c) measures to maintain or enhance sound and effective community relations</li> </ul>



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<p>rights of Indigenous Peoples and workers; (c) measures to enhance sound community relations; (d) conservation of biological diversity and ecological functions; (e) measures to maintain or enhance environmentally sound multiple benefits from the forest; (f) prevention or minimization of environmental impacts; (g) effective forest management planning; (h) active monitoring and assessment of relevant forest management areas; and (i) independent, cost effective, third-party assessment of forest management performance against measurable performance standards defined at the national level and compatible with internationally accepted principles and criteria of sustainable forest management through decision making procedures that are fair, transparent, independent, designed to avoid conflict of interest and involve the meaningful participation of key stakeholders, including the private sector, Indigenous Peoples, and local communities.</p>	<p>of the Voluntary Guidelines on Planted Forests (which would suffice also for indigenous forests) or the observance of the principles of a recognized certification scheme:</p> <p>Principle 9: Maintenance and Conservation of Environmental Services. Planted forest development will result in changes to the provision of ecosystem services such as air, water, soils and landscapes, thus planning, management, utilization and monitoring mechanisms must be adopted to encourage positive impacts.</p> <p>Principle 10: Conservation of Biological Diversity. Planners and managers must incorporate maintenance and conservation of biological diversity as fundamental in their planning, management, utilization and monitoring of planted forest development.</p> <p>Principle 11: Maintenance of Forest Health and Productivity. In order to reduce the environmental risk, incidence and impact of abiotic and biotic damaging agents and to maintain and improve planted forest health and productivity, policy makers, planners, managers, scientists and academics must work together to derive appropriate and consistent policies, laws, plans, management practices, monitoring systems, response options, education, training and research.</p> <p>Principle 12: A Landscape Approach. As planted forests interact and impact upon the local land-uses and environment, landscape approaches must be adopted to ensure that upstream and downstream impacts are planned, managed and monitored within acceptable environmental standards. FAO will not finance large-scale clearing of land, unless it relates to an emergency operation approved by donor agencies and recipient governments.</p>	<p>d) conservation of biological diversity and ecological functions</p> <p>e) measures to maintain or enhance environmentally sound multiple benefits accruing from the forest</p> <p>f) prevention or minimization of the adverse environmental impacts from forest use</p> <p>g) effective forest management planning</p> <p>h) active monitoring and assessment of relevant forest management areas</p> <p>i) the maintenance of critical forest areas and other critical natural habitats affected by the operation.</p> <p>OP, 11: “In addition ..., a forest certification system must be independent, cost-effective, and based on objective and measurable performance standards that are defined at the national level and are compatible with internationally accepted principles and criteria of sustainable forest management. The system must require independent, third-party assessment of forest management performance. In addition, the system's standards must be developed with the meaningful participation of local people and communities; indigenous peoples; non-governmental organizations representing consumer, producer, and conservation interests; and other members of civil society, including the private sector. The decision-making procedures of the certification system must be fair, transparent, independent, and designed to avoid conflicts of interest.”</p>

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<p>DISCLOSURE</p> <p>10. Disclose any time-bound action plans in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.</p>	<p>(EIA pg.21) ‘During the formulation process, the LTO will arrange for timely provision of information on potential environmental and social impacts as well as of draft EA/EIA (including EMP and IPP) to stakeholders and beneficiaries - with particular attention to indigenous peoples and vulnerable groups - in a language and format to be accessible and understandable. This consultation will be governed by the “Free, prior and informed consent principle”’.</p>	<p>Not in OP/BP 4.36 Forests. Covered by disclosure requirements of environmental assessment (OP 4.01)</p>
<p>Definition of Key Terms</p>	<p>(Guidelines for reporting on forest degradation)</p> <p>Degradation: In general terms degradation is a change process within the forest, which negatively affects the characteristics of the forest. The combination of various forest characteristics (forest quality) can be expressed as the structure or function, which determines the capacity to supply forest products and services. Forests may be degraded in terms of loss of any of the goods and services that they provide (wood, food, habitat, water, carbon storage and other protective socio-economic and cultural values).</p> <p>Degradation is typically caused by disturbances, which vary in terms of the extent, severity, quality, origin and frequency. The change process can be natural (caused by fire, storm, drought, pest, disease) or it can be human induced (unsustainable logging, excessive fuelwood collection, shifting cultivation, unsustainable hunting, overgrazing). The latter can be intentional (direct) through for example excessive logging, overgrazing, too short a fallow period or it can be unintentional (indirect) for example through spreading of an invasive alien species or pestilence or road construction that might open a previously inaccessible area for encroachment. (Simula 2009).</p> <p><i>Gap filling:</i> inclusion of definition of critical forest, significant conversion in EIA under Annex 1: Governing Principles under <b>Management of forests and</b></p>	<p>OP 4.36 Forests-- Annex A: “Critical forest areas are the forest areas that qualify as critical natural habitats under OP 4.04. Critical forest areas are the subset of natural forest lands that cover: (i) existing protected areas and areas officially proposed by governments as protected areas (e.g., reserves that meet the criteria of The World Conservation Union (IUCN) classifications<sup>1</sup>), areas initially recognized as protected by traditional local communities (e.g., sacred groves), and sites that maintain conditions vital for the viability of these protected areas (as determined by the environmental assessment process); or (ii) sites identified on supplementary lists prepared by the Bank or an authoritative source determined by the Regional environment sector unit. Such sites may include areas recognized by traditional local communities (e.g., sacred groves); areas with known high suitability for biodiversity conservation; and sites that are critical for rare, vulnerable, migratory, or endangered species. Listings are based on systematic evaluations of such factors as species richness; the degree of endemism, rarity, and vulnerability of component species; representativeness; and integrity of ecosystem processes.”</p>

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	trees.	

<i>OPERATIONAL PRINCIPLES:<sup>1</sup> Involuntary Resettlement</i>	<i>FAO Policies &amp; Procedures and/or Gap Filling Commitments</i>	<i>World Bank Policies &amp; Procedures on Involuntary Settlement</i>
<b>D. INVOLUNTARY RESETTLEMENT</b>	<p>FAO. The Environmental Impact Assessment Guidelines for FAO Field Projects, Draft (1 July 2011)</p> <p>UN-REDD Programme Operational Guidance: Engagement of Indigenous Peoples &amp; other forest dependent communities, 2009</p>	OP/BP 4.12 Involuntary Resettlement, OP 4.12 Annex A Involuntary Resettlement Instruments
<i>Overarching Objective:</i> To avoid or minimize involuntary resettlement and, where this is not feasible, to assist displaced persons in improving or at least restoring their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.		
ASSESS ALTERNATIVES 1. Assess all viable alternative project designs to avoid, where feasible, or minimize involuntary resettlement.	<p>(EIA pg.10-11) It should be highlighted that FAO does not support projects that may cause an involuntary resettlement of populations.</p> <p>(EIA pg.30) FAO will not finance or execute projects that involve physical relocation, acquisition of land, or any loss of land or other assets resulting in: (i) relocation or loss of shelter; (ii) loss of assets or access to assets; (iii) loss of income sources or means of livelihood, whether or not the affected people must move to another location; iv) loss of well-being due to dislocation from cultural or traditional areas and practices (relevant particularly for indigenous populations). Involuntary resettlement is included in Category A projects as a potentially adverse social impact that would require further assessment/prevention/mitigation through the EIA process.</p> <p>(EIA pg.7) EIA is a tool for decision-makers to identify potential</p>	OP 2.a: “Involuntary resettlement should be avoided where feasible, or minimized, exploring all viable alternative project designs.”

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	<p>environmental impacts of proposed projects, to evaluate alternative approaches, and to design and incorporate appropriate prevention, mitigation, management and monitoring measures.</p> <p>UN-REDD is not involved in involuntary resettlement</p>	
<p>SOCIAL IMPACT ASSESSMENT</p> <p>2. Through census and socio-economic surveys of the affected population, identify, assess, and address the potential economic and social impacts of the project that are caused by involuntary taking of land (e.g., relocation or loss of shelter, loss of assets or access to assets, loss of income sources or means of livelihood, whether or not the affected person must move to another location) or involuntary restriction of access to legally designated parks and protected areas.</p>	<p>(EIA pg.10-11) It should be highlighted that FAO does not support projects that may cause an involuntary resettlement of populations.</p> <p>(EIA pg.17) ‘Scoping... will also include socio-economic surveys and census taking’’</p> <p>(EIA pg.30) ‘FAO will not finance or execute projects that involve physical relocation, acquisition of land, or any loss of land or other assets resulting in: (i) relocation or loss of shelter; (ii) loss of assets or access to assets; (iii) loss of income sources or means of livelihood, whether or not the affected people must move to another location; iv) loss of well-being due to dislocation from cultural or traditional areas and practices (relevant particularly for indigenous populations). Involuntary resettlement is included in Category A project as a potentially adverse social impact that would require further assessment/prevention/mitigation through the EIA process.’</p> <p>(EIA pg.22) ‘Category A projects by definition require a field visit, an environmental impact assessment and an environmental management plan. The reports are normally expected to cover: ...</p> <ul style="list-style-type: none"> <li>▪ description of biophysical and social environment;</li> <li>▪ identification of local populations to be impacted directly and/or indirectly by project activities;</li> <li>▪ analysis of likely project impacts on the biophysical/social environment;’</li> </ul>	<p>OP 3: “This policy covers direct economic and social impacts that both result from Bank-assisted investment projects, and are caused by (a) the involuntary taking of land resulting in (i) relocation or loss of shelter; (ii) lost of assets or access to assets; or (iii) loss of income sources or means of livelihood, whether or not the affected persons must move to another location; or (b) the involuntary restriction of access to legally designated parks and protected areas resulting in adverse impacts on the livelihoods of the displaced persons.”</p> <p>OP 14: “Upon identification of the need for involuntary resettlement in a project, the borrower carries out a census to identify the persons who will be affected by the project (see the Annex A, para. 6(a)), to determine who will be eligible for assistance, and to discourage inflow of people ineligible for assistance. The borrower also develops a procedure, satisfactory to the Bank, for establishing the criteria by which displaced persons will be deemed eligible for compensation and other resettlement assistance.”</p>

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	<p>See checklist for Environmental Screening for Category A &amp; B projects (34-35) and the Basic Policy requirements for Field Projects (38-44).</p> <p>UN-REDD is not involved in involuntary resettlement</p> <p>(pg.8) UN-REDD requires a ‘preliminary assessment of the likely economic, social, cultural and environmental impact, including potential risks and fair and equitable benefit sharing in a context that respects the precautionary principle;’</p>	
<p>ADDRESS IMPACTS</p> <p>3. Identify and address impacts also if they result from other activities that are (a) directly and significantly related to the proposed project, (b) necessary to achieve its objectives, and (c) carried out or planned to be carried out contemporaneously with the project.</p>	<p>(EIA pg.17) ‘Both direct impacts and indirect impacts will be addressed, as well as relevant trans-boundary issues, or any onward funding that may be planned.’</p>	<p>OP 4: “This policy applies to all components of the project that result in involuntary resettlement, regardless of the source of financing. It also applies to other activities resulting in involuntary resettlement, that in the judgment of the Bank, are (a) directly and significantly related to the Bank-assisted project, (b) necessary to achieve its objectives as set forth in the project documents; and (c) carried out, or planned to be carried out, contemporaneously with the project.”</p>
<p>STAKEHOLDER CONSULTATION</p> <p>4. Consult project-affected persons, host communities and local nongovernmental organizations, as appropriate. Provide them opportunities to participate in the planning, implementation, and</p>	<p>(EIApg.21, ‘As early as possible in the project formulation process, LTOs will make every effort to engage project stakeholders and beneficiaries including indigenous people and vulnerable groups in analysis and decision-making with respect to potential project environmental and social impacts. For all Category A and B projects, the LTO - or more formally the lead technical unit (LTU) - will consult project-affected groups and relevant local NGOs, take account of their comments in the environmental analysis and EIA reports, and more generally in project design and implementation. Stakeholders’</p>	<p>OP 2.b: “Displaced persons should be meaningfully consulted and should have opportunities to participate in planning and implementing resettlement programs.”</p> <p>OP, 13.a: “Displaced persons and their communities, and any host communities receiving them, are provided timely and relevant information, consulted on resettlement options, and offered opportunities to participate in planning, implementing, and monitoring resettlement.”</p>

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<p><i>OPERATIONAL PRINCIPLES:<sup>1</sup></i> <i>Involuntary Resettlement</i></p>	<p><i>FAO</i> <i>Policies &amp; Procedures and/or Gap Filling Commitments</i></p>	<p><i>World Bank Policies &amp; Procedures on Involuntary Settlement</i></p>
<p>monitoring of the resettlement program, especially in the process of developing and implementing the procedures for determining eligibility for compensation benefits and development assistance (as documented in a resettlement plan), and for establishing appropriate and accessible grievance mechanisms. Pay particular attention to the needs of vulnerable groups among those displaced, especially those below the poverty line, the landless, the elderly, women and children, Indigenous Peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation.</p>	<p>participation including indigenous people and vulnerable groups will be ensured in designing, implementing, and monitoring avoidance and mitigation measures and compensation/benefits including establishing appropriate and accessible grievance mechanisms.</p> <p>For more details on vulnerable groups, see checklist on the Basic Policy requirements for Field Projects (38-44).</p>	<p>OP 14: “The borrower also develops a procedure, satisfactory to the Bank, for establishing the criteria by which displaced persons will be deemed eligible for compensation and other resettlement assistance. The procedure includes provisions for meaningful consultations with affected persons and communities, local authorities, and, as appropriate, nongovernmental organizations (NGOs), and it specifies grievance mechanisms.”</p> <p>OP 8: “To achieve the objectives of this policy, particular attention is paid to the needs of vulnerable groups among those displaced, especially those below the poverty line, the landless, the elderly, women and children, indigenous peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation.”</p> <p>OP 9: “Bank experience has shown that resettlement of indigenous peoples with traditional land-based modes of production is particularly complex and may have significant adverse impacts on their identity and cultural survival. For this reason, the Bank satisfies itself that the borrower has explored all viable alternative project designs to avoid physical displacement of these groups. When it is not feasible to avoid such displacement, preference is given to land-based resettlement strategies for these groups (see para. 11) that are compatible with their cultural preferences and are prepared in consultation with them (see Annex A, para. 11).”</p> <p>OP 18. “The borrower is responsible for preparing, implementing, and monitoring a resettlement plan, a resettlement policy framework, or a process framework (the “resettlement instruments”), as appropriate, that conform to this policy. The resettlement instrument presents a strategy for achieving the objectives of the policy and covers all aspects of the proposed resettlement. Borrower commitment to, and capacity for, undertaking successful resettlement is a key determinant of Bank involvement in a project.”</p> <p>OP Annex A, 17 [INSERTED]: Resettlement Plan to include “[a]ffordable and accessible procedures for third-party settlement of disputes arising from</p>



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		<p>resettlement; such grievance mechanisms should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.”</p>
<p>INFORM DISPLACED PERSONS OF THEIR RIGHTS</p> <p>5. Inform displaced persons of their rights, consult them on options, and provide them with technically and economically feasible resettlement alternatives and needed assistance, including (a) prompt compensation at full replacement cost for loss of assets attributable to the project; (b) if there is relocation, assistance during relocation, and residential housing, or housing sites, or agricultural sites of equivalent productive potential, as required; (c) transitional support and development assistance, such as land preparation, credit facilities, training or job opportunities as required, in addition to compensation measures; (d) cash compensation for land when the impact of land acquisition on livelihoods is minor; and (e) provision of civic infrastructure</p>	<p>FAO’s work does not involve involuntary resettlement. FAO commits to apply World Bank Operational Principles on Involuntary Resettlement if needed.</p>	<p>OP 6. “To address the impacts covered under para. 3 (a) of this policy, the borrower prepares a resettlement plan or a resettlement policy framework (see paras. 25-30) that covers the following: (a) The resettlement plan or resettlement policy framework includes measures to ensure that the displaced persons are (i) informed about their options and rights pertaining to resettlement; (ii) consulted on, offered choices among, and provided with technically and economically feasible resettlement alternatives; and (iii) provided prompt and effective compensation at full replacement cost for losses of assets attributable directly to the project. (b) If the impacts include physical relocation, the resettlement plan or resettlement policy framework includes measures to ensure that the displaced persons are (i) provided assistance (such as moving allowances) during relocation; and (ii) provided with residential housing, or housing sites, or, as required, agricultural sites for which a combination of productive potential, locational advantages, and other factors is at least equivalent to the advantages of the old site. (c) Where necessary to achieve the objectives of the policy, the resettlement plan or resettlement policy framework also include measures to ensure that displaced persons are (i) offered support after displacement, for a transition period, based on a reasonable estimate of the time likely to be needed to restore their livelihood and standards of living; and (ii) provided with development assistance in addition to compensation measures described in paragraph 6(a) (iii), such as land preparation, credit facilities, training, or job opportunities.”</p> <p>OP 12: “Payment of cash compensation for lost assets may be appropriate where (a) livelihoods are land-based but the land taken for the project is a small fraction [ft. nt. 17: generally less than 20% of total productive area] of the affected asset and the residual is economically viable; (b) active markets for</p>

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<p>and community services as required.</p>		<p>land, housing, and labor exist, displaced persons use such markets, and there is sufficient supply of land and housing; or (c) livelihoods are not land-based. Cash compensation levels should be sufficient to replace the lost land and other assets at full replacement cost in local markets.”</p> <p>OP 13.b: “In new resettlement sites or host communities, infrastructure and public services are provided as necessary to improve, restore, or maintain accessibility and levels of service for the displaced persons and host communities. Alternative or similar resources are provided to compensate for the loss of access to community resources (such as fishing areas, grazing areas, fuel, or fodder).”</p>
<p>PREFERENCE</p> <p>6. Give preference to land-based resettlement strategies for displaced persons whose livelihoods are land-based.</p>	<p>FAO’s work does not involve involuntary resettlement. FAO commits to apply World Bank Operational Principles on Involuntary Resettlement if needed.</p>	<p>OP 11: ““Preference should be given to land-based resettlement strategies for displaced persons who livelihoods are land-based. ...Whenever replacement land is offered, resettlers are provided with land for which a combination of productive potential, locational advantages, and other factors is at least as equivalent to the advantages of the land taken. If land is not the preferred option of the displaced persons, the provision of land would adversely affect the sustainability of a park or protected area, or sufficient land is not available at a reasonable price, non-land-based options built around opportunities for employment or self-employment should be provided in addition to cash compensation for land and other assets lost. The lack of adequate land must be demonstrated and documented to the satisfaction of the Bank.”</p>
<p>RESETTLEMENT ASSISTANCE</p> <p>7. For those without formal legal rights to lands or claims to such land that could be recognized under the laws of the country, provide resettlement assistance in</p>	<p>FAO’s work does not involve involuntary resettlement. FAO commits to apply World Bank Operational Principles on Involuntary Resettlement if needed.</p>	<p>OP 15: “Criteria for Eligibility. Displaced persons may be classified in one of the following three groups: (a) those who have formal legal rights to land (including customary and traditional rights recognized under the laws of the country); (b) those who do not have formal legal rights to land at the time the census begins but have a claim to such land or assets—provided that such claims are recognized under the laws of the country or become recognized through a process identified in the resettlement plan (see Annex A, para. 7(f));</p>

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<p>lieu of compensation for land to help improve or at least restore their livelihoods.</p>		<p>and (c) those who have no recognizable legal right or claim to the land they are occupying.”</p> <p>OP 16: “Persons covered under para. 15(a) and (b) are provided compensation for the land they lose, and other assistance in accordance with para. 6. Persons covered under para. 15(c) are provided resettlement assistance in lieu of compensation for the land they occupy, and other assistance, as necessary, to achieve the objectives set out in this policy, if they occupy the project area prior to a cut-off date established by the borrower and acceptable to the Bank.”</p>
<p>DISCLOSURE</p> <p>8. Disclose draft resettlement plans, including documentation of the consultation process, in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.</p>	<p>(EIA pg.21) ‘During the formulation process, the LTO will arrange for timely provision of information on potential environmental and social impacts as well as of draft EA/EIA (including EMP and IPP) to stakeholders and beneficiaries - with particular attention to indigenous peoples and vulnerable groups - in a language and format to be accessible and understandable. This consultation will be governed by the “Free, prior and informed consent principle”. Once the pertinent documentation has been completed (i.e. the environmental analysis for Category B projects, the environmental impact assessment for Category A projects), the LTO will ensure that it is made available to the public, both within the country where the project is located (e.g. on a project recipient website) and within FAO (e.g. on the headquarters, regional, or sub regional Web site). LTO will ensure the stakeholders involvement and the public disclosure of relevant documentation during all the phases of the project and EIA Cycle.</p>	<p>OP 22: “As a condition of appraisal of projects involving resettlement, the borrower provides the Bank with the relevant draft resettlement instrument which conforms to this policy, and makes it available at a place accessible to displaced persons and local NGOs, in a form, manner, and language that are understandable to them. Once the Bank accepts this instrument as providing an adequate basis for project appraisal, the Bank makes it available to the public through its InfoShop. After the Bank has approved the final resettlement instrument, the Bank and the borrower disclose it again in the same manner.”</p> <p>OP 4.12 Annex A describes elements of resettlement instruments.</p>
<p>SUBPROJECTS</p> <p>9. Apply the material elements described in the involuntary resettlement section of this Table, as applicable and relevant, to</p>	<p>FAO’s work does not involve involuntary resettlement. FAO commits to apply World Bank Operational Principles on Involuntary Resettlement if needed.</p>	<p>OP 26: “26. For sector investment operations that may involve involuntary resettlement, the Bank requires that the project implementing agency screen subprojects to be financed by the Bank to ensure their consistency with this OP. For these operations, the borrower submits, prior to appraisal, a resettlement policy framework that conforms to this policy (see Annex A,</p>

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<p>subprojects or sub-strategies requiring land acquisition.</p>		<p>paras. 23-25).”</p> <p>OP 27: “For financial intermediary operations that may involve involuntary resettlement, the Bank requires that the financial intermediary (FI) screen subprojects to be financed by the Bank to ensure their consistency with this OP. For these operations, the Bank requires that before appraisal the borrower or the FI submit to the Bank a resettlement policy framework conforming to this policy (see Annex A, paras. 23-25). In addition, the framework includes an assessment of the institutional capacity and procedures of each of the FIs that will be responsible for subproject financing.”</p> <p>OP 28: “For other Bank-assisted project with multiple subprojects that may involve involuntary resettlement, the Bank requires that a draft resettlement plan conforming to this policy be submitted to the Bank before appraisal of the project unless, because of the nature and design of the project or of a specific subproject or subprojects (a) the zone of impact of subprojects cannot be determined, or (b) the zone of impact is known but precise sitting alignments cannot be determined. In such cases, the borrower submits a resettlement policy framework consistent with this policy prior to appraisal (see Annex A, paras. 23-25). For other subprojects that do not fall within the above criteria, a resettlement plan conforming to this policy is required prior to appraisal.”</p> <p>OP 29: “For each subproject included in a project described in paras. 26, 27, or 28 that may involve resettlement, the Bank requires that a satisfactory resettlement plan or an abbreviated resettlement plan that is consistent with the provisions of the policy framework be submitted to the Bank for approval before the subproject is accepted for Bank financing.”</p>
<p>ACCESS TO PARKS &amp; RESTRICTED AREAS</p> <p>10. Design, document, and disclose before appraisal of projects</p>	<p>FAO’s work does not involve involuntary resettlement. FAO commits to apply World Bank Operational Principles on Involuntary Resettlement if needed.</p>	<p>OP 7: “In projects involving involuntary restriction of access to legally designated parks and protected areas (see para. 3(b)), the nature of restrictions, as well as the type of measures necessary to mitigate adverse impacts, is determined with the participation of the displaced persons during the design and implementation of the project. In such cases, the borrower prepares a</p>

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<p>involving involuntary restriction of access to legally designated parks and protected areas, a participatory process for: (a) preparing and implementing project components; (b) establishing eligibility criteria; (c) agreeing on mitigation measures that help improve or restore livelihoods in a manner that maintains the sustainability of the park or protected area; (d) resolving conflicts; and (e) monitoring implementation.</p>		<p>process framework acceptable to the Bank, describing the participatory process by which (a) specific components of the project will be prepared and implemented; (b) the criteria for eligibility of displaced persons will be determined; (c) measures to assist the displaced persons in their efforts to improve their livelihoods, or at least to restore them, in real terms, while maintaining the sustainability of the park or protected area, will be identified; and (d) potential conflicts involving displaced persons will be resolved. The process framework also includes a description of the arrangements for implementing and monitoring the process.”</p>
<p>IMPLEMENT PLANS 11. Implement all relevant resettlement plans before project completion and provide resettlement entitlements before displacement or restriction of access. For projects involving restrictions of access, impose the restrictions in accordance with the timetable in the plan of actions.</p>	<p>FAO’s work does not involve involuntary resettlement. FAO commits to apply World Bank Operational Principles on Involuntary Resettlement if needed.</p>	<p>OP 10: “...ensure that displacement or restriction of access does not occur before necessary measures for resettlement are in place. For impacts covered in para. 3(a) of this policy, these measures include provision of compensation and of other assistance required for relocation, prior to displacement, and preparation and provision of resettlement sites with adequate facilities, where required. In particular, taking of land and related assets may take place only after compensation has been paid and, where applicable, resettlement sites and moving allowances have been provided to the displaced persons. For impacts covered in para. 3(b) of this policy [access restrictions], the measures to assist the displaced persons are implemented in accordance with the plan of action as part of the project (see para. 30).”</p>
<p>ASSESS PLAN SUCCESS 12. Assess whether the objectives of the resettlement instrument have been achieved, upon completion of</p>	<p>FAO’s work does not involve involuntary resettlement. FAO commits to apply World Bank Operational Principles on Involuntary Resettlement if needed.</p>	<p>OP 24: “The borrower is responsible for adequate monitoring and evaluation of the activities set forth in the resettlement instrument. The Bank regularly supervises resettlement implementation to determine compliance with the resettlement instrument. Upon completion of the project, the borrower</p>

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the project, taking account of the baseline conditions and the results of resettlement monitoring.		undertakes an assessment to determine whether the objectives of the resettlement instrument have been achieved. The assessment takes into account the baseline conditions and the results of resettlement monitoring. If the assessment reveals that these objectives may not be realized, the borrower should propose follow-up measures that may serve as the basis for continued Bank supervision, as the Bank deems appropriate (see also BP 4.12, para. 16)."
Definitions of Key Terms	FAO's work does not involve involuntary resettlement. FAO commits to apply World Bank Operational Principles on Involuntary Resettlement if needed.	<p>OP ft. nt. 3: "The term "displaced persons" refers to persons who are affected in any of the ways described in para. 3 of this OP."</p> <p>OP ft. nt. 7: "For purposes of this policy, "involuntary" means actions that may be taken without the displaced person's informed consent or power of choice."</p> <p>OP ft. nt. 8: "'Land' includes anything growing on or permanently affixed to land, such as buildings and crops. This policy does not apply to regulations of natural resources on a national or regional level to promote their sustainability, such as watershed management, groundwater management, fisheries management, etc. The policy also does not apply to disputes between private parties in land titling projects, although it is good practice for the borrower to undertake a social assessment and implement measures to minimize and mitigate adverse social impacts, especially those affecting poor and vulnerable groups."</p> <p>OP ft. nt. 9: "For the purposes of this policy, involuntary restriction of access covers restrictions on the use of resources imposed on people living outside the park or protected area, or on those who continue living inside the park or protected area during and after project implementation. In cases where new parks and protected areas are created as part of the project, persons who lose shelter, land, or other assets are covered under para. 3(a). Persons who lose shelter in existing parks and protected areas are also covered under para. 3(a)."</p> <p>OP ft. nt. 11: "'Replacement cost' is the method of valuation of assets that helps determine the amount sufficient to replace lost assets and cover transaction</p>



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		costs. In applying this method of valuation, depreciation of structures and assets should not be taken into account (for a detailed definition of replacement cost, see Annex A, footnote 1). For losses that cannot easily be valued or compensated for in monetary terms (e.g., access to public services, customers, and suppliers; or to fishing, grazing, or forest areas), attempts are made to establish access to equivalent and culturally acceptable resources and earning opportunities. Where domestic law does not meet the standard of compensation at full replacement cost, compensation under domestic law is supplemented by additional measures necessary to meet the replacement cost standard. Such additional assistance is distinct from resettlement assistance to be provided under other clauses of para. 6.”

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<b>E. INDIGENOUS PEOPLES</b>	<p>FAO. The Environmental Impact Assessment Guidelines for FAO Field Projects, Draft (1 July 2011)</p> <p>FAO Policy on Indigenous and Tribal Peoples, 2010 (PITP)</p> <p>UN-REDD Programme Operational Guidance: Engagement of Indigenous Peoples &amp; other forest dependent communities, 2009</p>	<p>INSERT WB OP/BP REFERENCE</p>
<p><b>Overarching Objective:</b> To design and implement projects in a way that fosters full respect for Indigenous Peoples’ dignity, human rights, and cultural uniqueness and so that they: (a) receive culturally compatible social and economic benefits; and (b) do not suffer adverse effects during the development process.</p>		
<p>SCREENING</p> <p>1. Screen early to determine whether Indigenous Peoples are present in, or have collective attachment to, the project area. Indigenous Peoples are identified as possessing the following characteristics in varying degrees: self-identification and recognition of this identity by others; collective attachment to geographically distinct habitats or ancestral territories and to the natural resources in these habitats and territories; presence of distinct customary cultural, economic,</p>	<p>(EIA pg.21) As early as possible in the project formulation process, LTOs will make every effort to engage project stakeholders and beneficiaries including indigenous people and vulnerable groups in analysis and decision-making with respect to potential project environmental and social impacts. For all Category A and B projects, the LTO - or more formally the lead technical unit (LTU) - will consult project-affected groups and relevant local NGOs, take account of their comments in the environmental analysis and EIA reports, and more generally in project design and implementation. Stakeholders’ participation including indigenous people and vulnerable groups will be ensured in designing, implementing, and monitoring avoidance and mitigation measures and compensation/benefits.</p> <p>(PITP pg. 4), ‘FAO will abide by the following criteria when considering indigenous peoples: (i) priority in time, with respect to occupation and use of a specific territory; (ii) the voluntary perpetuation of cultural distinctiveness, which may include aspects of language, social organization, religion and spiritual values, modes of production, laws and institutions; (iii) self-identification, as well as</p>	<p>OP 4: “For purposes of this policy, the term “Indigenous Peoples” is used in a generic sense to refer to a distinct, vulnerable, social and cultural group<sup>6</sup> possessing the following characteristics in varying degrees: (a) self-identification as members of a distinct indigenous cultural group and recognition of this identity by others; (b) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories; (c) customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and (d) an indigenous language, often different from the official language of the country or region. A group that has lost ‘collective attachment to geographically distinct habitats or ancestral territories in the project area’ (paragraph 4 (b)) because of forced severance remains eligible for coverage under this policy. Ascertaining whether a particular group is considered as “Indigenous Peoples” for the purpose of this policy may require a technical judgment (see paragraph 8).”</p> <p>OP 6: “A project proposed for Bank financing that affects Indigenous Peoples</p>

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<p>social or political institutions; and indigenous language.</p>	<p>recognition by other groups, or by State authorities, as a distinct collectively; and (iv) an experience of subjugation, marginalization, dispossession, exclusion or discrimination, whether or not these conditions persist.’</p> <p>‘...A number of local, national and regional terms are used to describe indigenous peoples, including tribes, ethnic minorities, natives, indigenous nationalities, First Nations, aboriginals, indigenous communities, hill peoples and highland peoples’.</p> <p>(pg.13-14) UN-REDD guidelines state as key stages in the Consultative Process: ‘Issues to consider and address in the independent social and environmental impact assessment could include: The customary rights of Indigenous Peoples both individual and <b>collective pertaining to ancestral domains, lands or territories;</b>’</p>	<p>requires: (a) screening by the Bank to identify whether Indigenous Peoples are present in, or have collective attachment to, the project area (see paragraph 8); ....”</p> <p>OP 8: “Early in project preparation, the Bank undertakes a screening to determine whether Indigenous Peoples (see paragraph 4) are present in, or have collective attachment to, the project area. In conducting this screening, the Bank seeks the technical judgment of qualified social scientists with expertise on the social and cultural groups in the project area. The Bank also consults the Indigenous Peoples concerned and the borrower. The Bank may follow the borrower’s framework for identification of Indigenous Peoples during project screening, when that framework is consistent with this policy.</p>
<p>CONSULTATION</p> <p>2. Undertake free, prior and informed consultation with affected Indigenous Peoples to ascertain their broad community support for projects affecting them and to solicit their participation: (a) in designing, implementing, and monitoring measures to avoid adverse impacts, or, when avoidance is not feasible, to minimize, mitigate, or compensate for such effects; and (b) in tailoring benefits in a culturally appropriate manner.</p>	<p>(PITP pg.5) ‘For projects that involve or affect indigenous peoples, FAO will facilitate the inclusion of representatives of indigenous peoples in its consultations and programming cycles, in accordance with the principle of “free, prior and informed consent”’.</p> <p>(PITP pg.14) ‘FAO’s objectives for engagement with indigenous peoples are formulated in light of its expertise and in recognition of the rights to which indigenous peoples are entitled under international law. Consultation and free, prior and informed consent will be sought when FAO projects directly affect indigenous peoples.’</p> <p>(EIA pg.21) ‘During the formulation process, the LTO will arrange for timely provision of information on potential environmental and social impacts as well as of draft EA/EIA (including EMP and IPP) to stakeholders and beneficiaries - with particular attention to indigenous peoples and vulnerable groups - in a language and format to be accessible and understandable. This consultation will be</p>	<p>OP 1: “For all projects that are proposed for Bank financing and affect Indigenous Peoples, the Bank requires the borrower to engage in a process of free, prior, and informed consultation. The Bank provides project financing only where free, prior, and informed consultation results in broad community support to the project by the affected Indigenous Peoples. Such Bank-financed projects include measures to (a) avoid potentially adverse effects on the Indigenous Peoples’ communities; or (b) when avoidance is not feasible, minimize, mitigate, or compensate for such effects. Bank-financed projects are also designed to ensure that the Indigenous Peoples receive social and economic benefits that are culturally appropriate and gender and intergenerationally inclusive.”</p> <p>OP 6: “A project proposed for Bank financing that affects Indigenous Peoples requires: ... (c) a process of free, prior, and informed consultation with the affected Indigenous Peoples’ communities at each stage of the project, and particularly during project preparation, to fully identify their views and ascertain their broad community support for the project (see paragraphs 10 and 11); ....”</p> <p>OP 10: “Consultation and Participation. Where the project affects Indigenous</p>

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	<p>governed by the “Free, prior and informed consent principle’</p> <p>(EIA pg.29) ‘Attending to the social issues and the rights of indigenous peoples (FAO adheres to the provisions set in the 2007 UN Declaration on the Rights of Indigenous Peoples and the ILO Convention 169 on Indigenous and Tribal Peoples). (which includes FPIC)</p> <p>See checklist for Environmental Screening for Category A &amp; B projects (33-34) and the Basic Policy requirements for Field Projects (37-43).</p> <p>(pg.7) Guiding Principles for the UN-REDD Programme on the Rights of Indigenous Peoples and Other Forest Dependent Communities. UNREDD commits to apply Article 32: ...States shall consult and cooperate in good faith with the Indigenous Peoples concerned through their free and informed consent prior to the approval of any project affecting their lands or territories and other resources, particularly in connection with the development, utilization or exploitation of mineral, water or other resources...’</p>	<p>Peoples, the borrower engages in free, prior, and informed consultation with them. To ensure such consultation, the borrower: (a) establishes an appropriate gender and intergenerationally inclusive framework that provides opportunities for consultation at each stage of project preparation and implementation among the borrower, the affected Indigenous Peoples’ communities, the Indigenous Peoples Organizations (IPOs) if any, and other local civil society organizations (CSOs) identified by the affected Indigenous Peoples’ communities; (b) uses consultation methods appropriate to the social and cultural values of the affected Indigenous Peoples’ communities and their local conditions and, in designing these methods, gives special attention to the concerns of Indigenous women, youth, and children and their access to development opportunities and benefits; and (c) provides the affected Indigenous Peoples’ communities with all relevant information about the project (including an assessment of potential adverse effects of the project on the affected Indigenous Peoples’ communities) in a culturally appropriate manner at each stage of project preparation and implementation.”</p> <p>OP 11: “In deciding whether to proceed with the project, the borrower ascertains, on the basis of the social assessment (see paragraph 9) and the free, prior, and informed consultation (see paragraph 10), whether the affected Indigenous Peoples’ communities provide their broad support to the project. [Borrower prepares detailed report] The Bank reviews the process and the outcome of the consultation carried out by the borrower to satisfy itself that the affected Indigenous Peoples’ communities have provided their broad support to the project. The Bank pays particular attention to the social assessment and to the record and outcome of the free, prior, and informed consultation with the affected Indigenous Peoples’ communities as a basis for ascertaining whether there is such support. The Bank does not proceed further with project processing if it is unable to ascertain that such support exists.”</p> <p>OP 20 [INSERTED]: “Because physical relocation of Indigenous Peoples is particularly complex and may have significant adverse impacts on their identity,</p>

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<p><i>MATERIAL ELEMENTS:</i> <i>Indigenous Peoples</i></p>	<p><i>FAO</i> <i>Policies &amp; Procedures and/or Gap Filling Commitments</i></p>	<p><i>World Bank Policies &amp; Procedures on</i> <i>Indigenous Peoples</i></p>
		<p>culture, and customary livelihoods, the Bank requires the borrower to explore alternative project designs to avoid physical relocation of Indigenous Peoples. In exceptional circumstances, when it is not feasible to avoid relocation, the borrower will not carry out such relocation without obtaining broad support for it from the affected Indigenous Peoples' communities as part of the free, prior, and informed consultation process. In such cases, the borrower prepares a resettlement plan in accordance with the requirements of OP 4.12, Involuntary Resettlement, that is compatible with the Indigenous Peoples' cultural preferences, and includes a land-based resettlement strategy. As part of the resettlement plan, the borrower documents the results of the consultation process. Where possible, the resettlement plan should allow the affected Indigenous Peoples to return to the lands and territories they traditionally owned, or customarily used or occupied, if the reasons for their relocation cease to exist."</p>
<p>SCOCIAL IMPACT ASSESSMENT</p> <p>3. Undertake social assessment or use similar methods to assess potential project impacts, both positive and adverse, on Indigenous Peoples. Give full consideration to options preferred by the affected Indigenous Peoples in the provision of benefits and design of mitigation measures. Identify social and economic benefits for Indigenous Peoples that are culturally appropriate, and gender and inter-generationally</p>	<p>(pg.8) UN-REDD requires – as elements of Free, Prior and Informed Consent – a 'preliminary assessment of the likely economic, social, cultural and environmental impact, including potential risks and fair and <b>equitable benefit sharing</b> in a context that respects the precautionary principle;'</p> <p>(EIA pg.7) 'EIA is a tool for decision-makers to identify potential environmental impacts of proposed projects, to evaluate alternative approaches, and to design and incorporate appropriate prevention, mitigation, management and monitoring measures. Environmental impact assessment cannot be divorced from social impact of the project, hence the latter is considered as a key dimension of the EIA process.'</p> <p>(EIA pg.11) 'The significant negative effects may extend to the social arena and beyond the boundaries of the project site. Such projects automatically require an EIA so as to ensure that the negative impacts are properly analyzed and that stakeholders are consulted. The EIA also assesses feasible alternatives (including a</p>	<p>OP 6: "A project proposed for Bank financing that affects Indigenous Peoples requires: ... (b) a social assessment by the borrower (see paragraph 9 and Annex A); ...."</p> <p>OP 9: "Analysis. If, based on the screening, the Bank concludes that Indigenous Peoples are present in, or have collective attachment to, the project area, the borrower undertakes a social assessment to evaluate the project's potential positive and adverse effects on the Indigenous Peoples, and to examine project alternatives where adverse effects may be significant. The breadth, depth, and type of analysis in the social assessment are proportional to the nature and scale of the proposed project's potential effects on the Indigenous Peoples, whether such effects are positive or adverse (see Annex A for details). To carry out the social assessment, the borrower engages social scientists whose qualifications, experience, and terms of reference are acceptable to the Bank."</p>

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inclusive and develop measures to avoid, minimize and/or mitigate adverse impacts on Indigenous Peoples.	<p>“without project scenario), and makes recommendations to prevent, minimize or mitigate adverse impacts. Analysis of alternatives includes assessment of recurrent costs, suitability, training and monitoring requirements’.</p> <p>(EIA pg.12) ‘Full consideration will be given to options preferred by the affected IPs in the provision of benefits and design of the mentioned mitigation measures.’</p> <p>(EIA pg.31) ‘The project should use gender analysis (the study of the different roles of women and men in order to understand what they do, what resources they have, and what their needs and priorities are) to understand how different members participate in and are affected by the project in order to avoid costly errors of the past and to ensure that the project is effective, efficient and equitable.’</p> <p>See checklist for Environmental Screening for Category A &amp; B projects (34-35) and the Basic Policy requirements for Field Projects (38-44).</p>	
<p>ACCESS TO PARKS &amp; PROTECTED AREAS</p> <p>4. Where restriction of access of Indigenous Peoples to parks and protected areas is not avoidable, ensure that the affected Indigenous Peoples’ communities participate in the design, implementation, monitoring and evaluation of management plans for such parks and protected areas and share equitably in benefits from</p>	<p>(PITP pg.14) ‘FAO’s objectives for engagement with indigenous peoples are formulated in light of its expertise and in recognition of the rights to which indigenous peoples are entitled under international law. Consultation and free, prior and informed consent will be sought when FAO projects directly affect indigenous peoples.’ This is valid for all type of projects including those that regard parks and protected areas.</p> <p>(EIA pg.21) ‘During the formulation process, the LTO will arrange for timely provision of information on potential environmental and social impacts as well as of draft EA/EIA (including EMP and IPP) to stakeholders and beneficiaries - with particular attention to indigenous peoples and vulnerable groups - in a language and format to be accessible and understandable. This consultation will be governed by the “Free, prior and informed consent principle’</p>	<p>OP 21: “In many countries, the lands set aside as legally designated parks and protected areas may overlap with lands and territories that Indigenous Peoples traditionally owned, or customarily used or occupied. The Bank recognizes the significance of these rights of ownership, occupation, or usage, as well as the need for long-term sustainable management of critical ecosystems. Therefore, involuntary restrictions on Indigenous Peoples’ access to legally designated parks and protected areas, in particular access to their sacred sites, should be avoided. In exceptional circumstances, where it is not feasible to avoid restricting access, the borrower prepares, with the free, prior, and informed consultation of the affected Indigenous Peoples’ communities, a process framework in accordance with the provisions of OP 4.12. The process framework provides guidelines for preparation, during project implementation, of an individual parks and protected areas’ management plan, and ensures that the Indigenous Peoples participate in</p>



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the parks and protected areas.	(pg.8) UN-REDD requires – as elements of Free, Prior and Informed Consent – a ‘preliminary assessment of the likely economic, social, cultural and environmental impact, including potential risks and fair and equitable benefit sharing in a context that respects the precautionary principle;’	the design, implementation, monitoring, and evaluation of the management plan, and share equitably in the benefits of the parks and protected areas. The management plan should give priority to collaborative arrangements that enable the Indigenous Peoples, as the custodians of the resources, to continue to use them in an ecologically sustainable manner.”
<p>ACTION PLAN</p> <p>5. Put in place an action plan for the legal recognition of customary rights to lands and territories, when the projects involves: (a) activities that are contingent on establishing legally recognized rights to lands and territories that Indigenous Peoples traditionally owned, or customarily used or occupied; or (b) the acquisition of such lands.</p>	<p>(pg.13) UN-REDD guidelines state: ‘Identify relevant existing national legal and policy frameworks vis-à-vis Indigenous Peoples, land tenure, natural resource management, protected areas, and national parks of the selected pilot country, etc. Identify the international conventions the country has ratified, i.e. ILO Convention 169, Convention on Biological Diversity and Human Rights Treaties, etc. Reach out to national Indigenous Peoples networks to assess Indigenous Peoples’ awareness and capacity to engage...’</p> <p>(pg.13-14) UN-REDD guidelines state as key stages in the Consultative Process: ‘Issues to consider and address in the independent social and environmental impact assessment could include: The customary rights of Indigenous Peoples both individual and collective pertaining to ancestral domains, lands or territories; the cultural and spiritual values that Indigenous Peoples attribute to those lands and resources; sacred sites; Indigenous Peoples’ natural resource management practices and systems; human rights assessment; and the legal situation of land tenure and government recognition of indigenous territories. It is also advisable that community members participate as partners rather than informants in the social assessments. This will allow for greater engagement and understanding of the issues, stakeholders, and indigenous social structure and institutions.’</p> <p>(EIA pg.27) Projects will have to address the land tenure and land administration dimensions of the changes that they may provoke, including issues of security of land tenure and land access, compensation, land administration or land</p>	<p>OP 17: “If the project involves (a) activities that are contingent on establishing legally recognized rights to lands and territories that Indigenous Peoples have traditionally owned or customarily used or occupied (such as land titling projects), or (b) the acquisition of such lands, the IPP sets forth an action plan for the legal recognition of such ownership, occupation, or usage. Normally, the action plan is carried out before project implementation; in some cases, however, the action plan may need to be carried out concurrently with the project itself. Such legal recognition may take the following forms: (a) full legal recognition of existing customary land tenure systems of Indigenous Peoples; or (b) conversion of customary usage rights to communal and/or individual ownership rights. If neither option is possible under domestic law, the IPP includes measures for legal recognition of perpetual or long-term renewable custodial or use rights.”</p>

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	<p>governance. This should be done in accordance with principles of responsible land governance (N.B. in preparation by FAO and partner organizations) and recognized good practices in land tenure and land administration.</p>	
<p>COMMERCIAL DEVELOPMENT</p> <p>6. Do not undertake commercial development of cultural resources or knowledge of Indigenous Peoples without obtaining their prior agreement to such development.</p>	<p>(PITP pg.14) ‘FAO’s objectives for engagement with indigenous peoples are formulated in light of its expertise and in recognition of the rights to which indigenous peoples are entitled under international law. Consultation and free, prior and informed consent will be sought when FAO projects directly affect indigenous peoples.’</p> <p>(EIA pg.29) ‘Attending to the social issues and the rights of indigenous peoples (FAO adheres to the provisions set in the 2007 UN Declaration on the Rights of Indigenous Peoples and the ILO Convention 169 on Indigenous and Tribal Peoples). (which includes FPIC)</p> <p>UN-REDD requires FPIC where proposed activities involve the removal of cultural, intellectual, spiritual or religious property of IPs.</p>	<p>OP 18: [INSERTED] “If the project involves the commercial development of natural resources (such as minerals, hydrocarbon resources, forests, water, or hunting/fishing grounds) on lands or territories that Indigenous Peoples traditionally owned, or customarily used or occupied, the borrower ensures that as part of the free, prior, and informed consultation process the affected communities are informed of (a) their rights to such resources under statutory and customary law; (b) the scope and nature of the proposed commercial development and the parties interested or involved in such development; and (c) the potential effects of such development on the Indigenous Peoples’ livelihoods, environments, and use of such resources. The borrower includes in the IPP arrangements to enable the Indigenous Peoples to share equitably in the benefits to be derived from such commercial development; at a minimum, the IPP arrangements must ensure that the Indigenous Peoples receive, in a culturally appropriate manner, benefits, compensation, and rights to due process at least equivalent to that to which any landowner with full legal title to the land would be entitled in the case of commercial development on their land.”</p> <p>OP 19: “If the project involves the commercial development of Indigenous Peoples’ cultural resources and knowledge (for example, pharmacological or artistic), the borrower ensures that as part of the free, prior, and informed consultation process, the affected communities are informed of (a) their rights to such resources under statutory and customary law; (b) the scope and nature of the proposed commercial development and the parties interested or involved in such development; and (c) the potential effects of such development on Indigenous Peoples’ livelihoods, environments, and use of such resources. Commercial development of the cultural resources and knowledge of these Indigenous Peoples is conditional upon their prior agreement to such development. The IPP</p>

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		<p>reflects the nature and content of such agreements and includes arrangements to enable Indigenous Peoples to receive benefits in a culturally appropriate way and share equitably in the benefits to be derived from such commercial development.”</p>
<p>IP PLAN</p> <p>7. Prepare an Indigenous Peoples Plan that is based on the social assessment and draws on indigenous knowledge, in consultation with the affected Indigenous Peoples’ communities and using qualified professionals. Normally, this plan would include a framework for continued consultation with the affected communities during project implementation; specify measures to ensure that Indigenous Peoples receive culturally appropriate benefits, and identify measures to avoid, minimize, mitigate or compensate for any adverse effects; and include grievance procedures, monitoring and evaluation arrangements, and the budget for implementing the planned measures.</p>	<p>(EIA pg.12) ‘Moreover in the context of the EIA an Indigenous Peoples Plan will be formulated and monitored by qualified professionals in consultation with stakeholders and the communities. The draft IPP as well as the mentioned EMP will be disclosed in timely manner, before appraisal formally begins. The mentioned plan must include specific measures in order to monitor the benefits/risks affecting the Indigenous Peoples and to create specific mitigation actions, culturally appropriate benefits/compensation, and includes grievance, M&amp;E and budget arrangements. Full consideration will be given to options preferred by the affected IPs in the provision of benefits and design of the mentioned mitigation measures.’</p>	<p>OP 12: “Indigenous Peoples Plan. On the basis of the social assessment and in consultation with the affected Indigenous Peoples’ communities, the borrower prepares an Indigenous Peoples Plan (IPP) that sets out the measures through which the borrower will ensure that (a) Indigenous Peoples affected by the project receive culturally appropriate social and economic benefits; and (b) when potential adverse effects on Indigenous Peoples are identified, those adverse effects are avoided, minimized, mitigated, or compensated for (see Annex B for details). The IPP is prepared in a flexible and pragmatic manner, and its level of detail varies depending on the specific project and the nature of effects to be addressed. The borrower integrates the IPP into the project design. ...”</p> <p>OP 13: “Indigenous Peoples Planning Framework. Some projects involve the preparation and implementation of annual investment programs or multiple subprojects. In such cases, and when the Bank’s screening indicates that Indigenous Peoples are likely to be present in, or have collective attachment to, the project area, but their presence or collective attachment cannot be determined until the programs or subprojects are identified, the borrower prepares an Indigenous Peoples Planning Framework (IPPF). The IPPF provides for the screening and review of these programs or subprojects in a manner consistent with this policy (see Annex C for details). The borrower integrates the IPPF into the project design.”</p> <p>OP 14: “Preparation of Program and Subproject IPPs. If the screening of an individual program or subproject identified in the IPPF indicates that Indigenous Peoples are present in, or have collective attachment to, the area of the program or subproject, the borrower ensures that, before the individual program or subproject is implemented, a social assessment is carried out and an IPP is</p>

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		<p>prepared in accordance with the requirements of this policy. The borrower provides each IPP to the Bank for review before the respective program or subproject is considered eligible for Bank financing.”</p> <p>OP 16: [INSERTED] “Indigenous Peoples are closely tied to land, forests, water, wildlife, and other natural resources, and therefore special considerations apply if the project affects such ties. In this situation, when carrying out the social assessment and preparing the IPP/IPPF, the borrower pays particular attention to: (a) the customary rights of the Indigenous Peoples, both individual and collective, pertaining to lands or territories that they traditionally owned, or customarily used or occupied, and where access to natural resources is vital to the sustainability of their cultures and livelihoods; (b) the need to protect such lands and resources against illegal intrusion or encroachment; (c) the cultural and spiritual values that the Indigenous Peoples attribute to such lands and resources; and (d) Indigenous Peoples’ natural resources management practices and the long-term sustainability of such practices.”</p>
<p>DISCLOSURE</p> <p>8. Disclose the draft Indigenous Peoples Plan, including documentation of the consultation process, in a timely manner before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.</p>	<p>(EIA pg.21) ‘During the formulation process, the LTO will arrange for timely provision of information on potential environmental and social impacts as well as of draft EA/EIA (including EMP and IPP) to stakeholders and beneficiaries - with particular attention to indigenous peoples and vulnerable groups - in a language and format to be accessible and understandable.’</p>	<p>OP 10 [INSERTED: [As part of FPIC on] “the borrower ... (c) provides the affected Indigenous Peoples’ communities with all relevant information about the project (including an assessment of potential adverse effects of the project on the affected Indigenous Peoples’ communities) in a culturally appropriate manner at each stage of project preparation and implementation.”</p> <p>OP 15: “The borrower makes the social assessment report and draft IPP/IPPF available to the affected Indigenous Peoples’ communities in an appropriate form, manner, and language. Before project appraisal, the borrower sends the social assessment and final IPP/IPPF to the Bank for review. Once the Bank accepts the documents as providing an adequate basis for project appraisal, the Bank makes them available to the public in accordance with The World Bank Policy on Disclosure of Information, and the borrower makes them available to the affected Indigenous Peoples’ communities in the same manner as the earlier draft</p>

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		documents.”
9. Monitor implementation of the Indigenous Peoples Plan, using experienced social scientists.	(EIA pg.12) ‘Moreover in the context of the EIA an Indigenous Peoples Plan will be formulated and monitored by qualified professionals in consultation with stakeholders and the communities. The draft IPP as well as the mentioned EMP will be disclosed in timely manner, before appraisal formally begins. The mentioned plan must include specific measures in order to monitor the benefits/risks affecting the Indigenous Peoples and to create specific mitigation actions, culturally appropriate benefits/compensation, and includes grievance, M&E and budget arrangements. Full consideration will be given to options preferred by the affected IPs in the provision of benefits and design of the mentioned mitigation measures.’	Monitoring Requirements: BP para 12, Annex B to OP, para 2(i) and Annex C to OP, para 1(f).
Definitions of Key Terms	<p>(PITP pg.5) ‘The principle and right of <b>‘free, prior and informed consent’</b> demands that states and organizations of all kinds and at all levels obtain indigenous peoples’ authorization before adopting and implementing projects... it emphasizes that indigenous peoples must be included in consultative processes, that the time requirements for these processes be respected and that information on the likely impact of activities be disclosed in advance. Legitimate consultation measures ensure that activities or actions planned respond to indigenous peoples’ concerns and interests, thereby allowing a self-determined development process.’</p> <p>(PITP pg.6) <b>“Collective rights</b> are indispensable for the survival, well-being and integral development of indigenous peoples as distinct human groups. These include recognition of their specific histories, languages, identities and cultures but also <b>recognition of their collective rights to the lands, territories and natural resources they have traditionally occupied and used. It also pertains to indigenous peoples’ communally held traditional knowledge’.</b></p> <p>(PITP pg.6) ‘Indigenous peoples and individuals have the right not <b>to be subjected to forced assimilation or destruction of their cultures</b>, but are entitled</p>	<p>OP 4: “For purposes of this policy, the term “Indigenous Peoples” is used in a generic sense to refer to a distinct, vulnerable, social and cultural group<sup>6</sup> possessing the following characteristics in varying degrees: (a) self-identification as members of a distinct indigenous cultural group and recognition of this identity by others; (b) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories; (c) customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and (d) an indigenous language, often different from the official language of the country or region. A group that has lost ‘collective attachment to geographically distinct habitats or ancestral territories in the project area’ (paragraph 4 (b)) because of forced severance remains eligible for coverage under this policy. Ascertaining whether a particular group is considered as “Indigenous Peoples” for the purpose of this policy may require a technical judgment (see paragraph 8).”</p> <p>OP ft. nt. 4: “‘Free, prior, and informed consultation with the affected Indigenous Peoples’ communities’ refers to a culturally appropriate and collective</p>

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	<p>to live in accordance with the traditions and the customs that underlie their integrity and way of life and are in compliance with universal principles of human rights’.</p> <p>(EIA pg.28) (PITP pg. 4 -5). ‘FAO acknowledges Indigenous Peoples rights over land and other natural resources <b>‘Rights over land and other natural resources</b> (water, forests, rangeland etc.) are of particular importance to indigenous peoples as they feel a spiritual attachment to their ancestral origins and commonly depend on natural resources for survival.’</p> <p><b>‘Rights over land, territory and related natural resources</b> are of fundamental importance to many indigenous peoples since these resources constitute the basis of their economic livelihoods and the source of their spiritual, cultural and social identities. FAO’s work in this area is therefore particularly valuable. When built through participatory methods, land titling and demarcation processes, tenure security, agrarian reform and similar efforts can contribute greatly to creating a more secure and legally-defined property environment. For indigenous peoples, obtaining clear and inalienable rights over land and natural resources would support their aspirations for greater sovereignty, afford a greater sense of well-being and improve their ability to meet their livelihood needs’</p>	<p>decisionmaking process subsequent to meaningful and good faith consultation and informed participation regarding the preparation and implementation of the project. It does not constitute a veto right for individuals or groups (see paragraph 10).”</p> <p>OP ft. nt. 7: “‘Collective attachment’ means that for generations there has been a physical presence in and economic ties to lands and territories traditionally owned, or customarily used or occupied, by the group concerned, including areas that hold special significance for it, such as sacred sites. “Collective attachment” also refers to the attachment of transhumant/nomadic groups to the territory they use on a seasonal or cyclical basis.”</p> <p>OP ft. nt. 8: “‘Forced severance’ refers to loss of collective attachment to geographically distinct habitats or ancestral territories occurring within the concerned group members’ lifetime because of conflict, government resettlement programs, dispossession from their lands, natural calamities, or incorporation of such territories into an urban area.”</p> <p>OP ft. nt. 17: “‘Customary rights’ to lands and resources refers to patterns of long-standing community land and resource usage in accordance with Indigenous Peoples’ customary laws, values, customs, and traditions, including seasonal or cyclical use, rather than formal legal title to land and resources issued by the State.</p>



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<b>OPERATIONAL PRINCIPLES:<sup>1</sup></b> <b>Physical &amp; Cultural Resources</b>	<b>FAO</b> <b>Policies &amp; Procedures and/or Gap Filling Commitments</b>	<b>World Bank Policies &amp; Procedures on</b> <b>Physical &amp; Cultural Resources</b>
<b>F. PHYSICAL &amp; CULTURAL RESOURCES (PCR)</b>	FAO. The Environmental Impact Assessment Guidelines for FAO Field Projects, Draft (1 July 2011)	OP/BP 4.11 Physical Cultural Resources
<p><b>Overarching Objective:</b> To assist in preserving physical cultural resources and avoiding their destruction or damage. PCR includes resources of archaeological, paleontological, historical, architectural, religious (including graveyards and burial sites), aesthetic, or other cultural significance.</p>		
<p>ASSESSMENT</p> <p>1. Use an environmental assessment (EA) or equivalent process to identify PCR and prevent or minimize or compensate for adverse impacts and enhance positive impacts on PCR through site selection and design.</p>	<p>(EIA pg.30) ‘FAO will avoid projects that may have adverse impacts on or limit access to physical cultural resources, defined as movable or immovable objects, sites, structures, groups of structures, natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. FAO will also enhance positive impacts on physical cultural resources through site selection and design. Physical cultural resources may be located in urban or rural settings, and may be above ground, underground, or underwater. In order to ensure that FAO projects/programmes will preserve physical cultural resources (when existing in the project area) and to avoid their destruction or damage, simple procedures should be followed by the project formulator...’</p> <p>(EIA pg.31) ‘Non-physical cultural resources such as traditional knowledge, cultural expressions, traditional management systems, etc. should also be considered, especially when the project affects indigenous peoples, whose notion of development and well-being is intrinsically tied to respect for and continuation of their particular living environment.’</p> <p>See checklist on the Basic Policy requirements for Field Projects (38-44).</p>	<p>OP 3: “The Bank assists countries to avoid or mitigate adverse impacts on physical cultural resources from development projects that it finances. The impacts on physical cultural resources resulting from project activities, including mitigating measures, may not contravene either the borrower’s national legislation, or its obligations under relevant international environmental treaties and agreements.”</p> <p>OP 4: “The borrower addresses impacts on physical cultural resources in projects proposed for Bank financing, as an integral part of the environmental assessment (EA) process.”</p> <p>OP 5: “The following projects are classified during the environmental screening process as Category A or B, and are subject to the provisions of this policy: (a) any project involving significant excavations, demolition, movement of earth, flooding, or other environmental changes; and (b) any project located in, or in the vicinity of, a physical cultural resources site recognized by the borrower. Projects specifically designed to support the management or conservation of physical cultural resources are individually reviewed, and are normally classified as Category A or B.”</p>

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<i>OPERATIONAL PRINCIPLES:<sup>1</sup> Physical &amp; Cultural Resources</i>	<i>FAO Policies &amp; Procedures and/or Gap Filling Commitments</i>	<i>World Bank Policies &amp; Procedures on Physical &amp; Cultural Resources</i>
<p>SURVEYS</p> <p>2. As part of the EA, as appropriate, conduct field based surveys, using qualified specialists.</p>	<p>(EIA pg.11) ‘At a minimum, Category A projects require a site visit by an independent qualified environmental and a social assessment expert or a team of such experts, as independent advisory panels - required only for highly risky projects - during EIA preparation and implementation.’</p> <p>(EIA pg.30-31) ‘Project Formulator should: I. Verify (on the web) the provisions of the normative framework, which is usually under the oversight of a national institution responsible for protection of historical and archaeological sites; this includes obtaining existing information (usually through the aforementioned national institution’s website or through a local university department specialist) about the project area, to find out whether there is a high probability of it existence of archaeological, paleontological, or other culturally significant sites in the areas proposed for construction;’</p>	<p>OP 6: “To develop the TORs for the EA, the borrower, in consultation with the Bank, relevant experts, and relevant project-affected groups, identifies the likely physical cultural resources issues, if any, to be taken into account by the EA. The TORs normally specify that physical cultural resources be included in the baseline data collection phase of the EA.”</p> <p>BP 8: “The TT ensures that the physical cultural resources component of the EA includes (a) an investigation and inventory of physical cultural resources likely to be affected by the project; (b) documentation of the significance of such physical cultural resources; and (c) assessment of the nature and extent of potential impacts on these resources.”</p>
<p>CONSULTATION</p> <p>3. Consult concerned government authorities, relevant non-governmental organizations, relevant experts and local people in documenting the presence and significance of PCR, assessing the nature and extent of potential impacts on these resources, and designing and implementing mitigation plans.</p>	<p>(EIA pg.21) ‘As early as possible in the project formulation process, LTOs will make every effort to engage project stakeholders and beneficiaries including indigenous people and vulnerable groups in analysis and decision-making with respect to potential project environmental and social impacts. For all Category A and B projects, the LTO - or more formally the lead technical unit (LTU) - will consult project-affected groups and relevant local NGOs, take account of their comments in the environmental analysis and EIA reports, and more generally in project design and implementation. Stakeholders’ participation including indigenous people and vulnerable groups will be ensured in designing, implementing, and monitoring avoidance and mitigation measures and compensation/benefits including establishing appropriate and accessible grievance mechanisms.’</p>	<p>OP 8: “ When the project is likely to have adverse impacts on physical cultural resources, the borrower identifies appropriate measures for avoiding or mitigating these impacts as part of the EA process. These measures may range from full site protection to selective mitigation, including salvage and documentation, in cases where a portion or all of the physical cultural resources may be lost.”</p> <p>OP 11: “As part of the public consultations required in the EA process, the consultative process for the physical cultural resources component normally includes relevant project-affected groups, concerned government authorities, and relevant nongovernmental organizations in documenting the presence and significance of physical cultural resources, assessing potential impacts, and exploring avoidance and mitigation options.”</p> <p>OP 15: “When the borrower’s capacity is inadequate to manage physical cultural resources that may be affected by a Bank-financed project, the project may include components to strengthen that capacity.”</p>

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<i>OPERATIONAL PRINCIPLES:<sup>1</sup> Physical &amp; Cultural Resources</i>	<i>FAO Policies &amp; Procedures and/or Gap Filling Commitments</i>	<i>World Bank Policies &amp; Procedures on Physical &amp; Cultural Resources</i>
<p>CHANCE FIND PROCEDURES</p> <p>4. For materials that may be discovered during project implementation, provide for the use of "chance find" procedures in the context of the PCR management plan or PCR component of the environmental management plan.</p>	<p>(EIA pg.31) 'Project Formulator should: II. In cases where there is a high chance of PCR, the bidding documents and contract for the civil works have to refer to the need to include recover "chance findings" in line with the national procedures and rules. The contractor will hire an Expert (e.g. Archaeologist or Palaeontologist) and recovers "chance findings" in line with the national procedures and rules.'</p>	<p>OP 9: "As an integral part of the EA process, the borrower develops a physical cultural resources management plan that includes measures for avoiding or mitigating any adverse impacts on physical cultural resources, provisions for managing chance finds, any necessary measures for strengthening institutional capacity, and a monitoring system to track the progress of these activities."</p>
<p>DISCLOSURE</p> <p>5. Disclose draft mitigation plans as part of the EA or equivalent process, in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.</p>	<p>(EIA pg.21) 'During the formulation process, the LTO will arrange for timely provision of information on potential environmental and social impacts as well as of draft EA/EIA (including EMP, IPP and RP) to stakeholders and beneficiaries - with particular attention to indigenous peoples and vulnerable groups - in a language and format to be accessible and understandable. This consultation will be governed by the "Free, prior and informed consent principle" . Once the pertinent documentation has been completed (i.e. the environmental analysis for Category B projects, the environmental impact assessment for Category A projects), the LTO will ensure that it is made available to the public, both within the country where the project is located (e.g. on a project recipient website) and within FAO (e.g. on the headquarters, regional, or sub regional Web site). LTO will ensure the stakeholders involvement and the public disclosure of relevant documentation during all the phases of the project and EIA Cycle.'</p>	<p>OP 12: "The findings of the physical cultural resources component of the EA are disclosed as part of, and in the same manner as, the EA report. Exceptions to such disclosure would be considered when the borrower, in consultation with the Bank and persons with relevant expertise, determines that disclosure would compromise or jeopardize the safety or integrity of the physical cultural resources involved or would endanger the source of information about the physical cultural resources. In such cases, sensitive information relating to these particular aspects may be omitted from the EA report."</p>
<p>Definition of Key Terms</p>	<p>(EIA pg.30): 'physical cultural resources': defined as movable or immovable objects, sites, structures, groups of structures, natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. FAO will also enhance positive impacts on physical</p>	<p>None.</p>

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<i>OPERATIONAL PRINCIPLES:<sup>1</sup> Physical &amp; Cultural Resources</i>	<i>FAO Policies &amp; Procedures and/or Gap Filling Commitments</i>	<i>World Bank Policies &amp; Procedures on Physical &amp; Cultural Resources</i>
	<p>cultural resources through site selection and design. Physical cultural resources may be located in urban or rural settings, and may be above ground, underground, or underwater.’</p> <p>‘Non-physical cultural resources’: defined as traditional knowledge, cultural expressions, traditional management systems, etc.</p>	

<i>Grievances and Accountability</i>	
<p><b>KEY FEATURES THE WORLD BANK’S INDEPENDENT INSPECTION PANEL</b></p> <p><i>(AS DESCRIBED BY WB STAFF; I.E., NOT APPROVED BY THE WB BOARD.)</i></p>	<p>IN THIS COLUMN OTHER DELIVERY PARTNERS SHOULD DESCRIBE THE KEY FEATURES OF ANY ACCOUNTABILITY, DISPUTE RESOLUTION OR REDRESS MECHANISM THEY BELIEVE IS SUBSTANTIALLY EQUIVALENT WITH THE WB’S INDEPENDENT INSPECTION PANEL</p> <p><i>(SEE BELOW FOR OTHER MECHANISMS)</i></p>
<p>Executive Directors of the World Bank (“the Board”) appoint a panel of inspectors of different nationalities from Bank member countries, who serve no more than one term. The Panel is independent from the Bank’s Management, and must be given sufficient budgetary resources to carry out its activities. Efforts are made to inform in borrowing countries of the availability of the Panel. Panel Members can only be removed from office for cause.</p>	
<p>The Panel receives written requests for inspection by an affected party in the territory of the borrower, alleging that its rights or interests have been or are likely to be directly affected by an action or omission of the Bank as a result of a failure of the Bank to follow its operational policies and procedures with respect to the design, appraisal and/or implementation of a project financed by the Bank, provided that such failure has had, or threatens to have, a material adverse effect. The request must explain the steps taken to deal with the issue and actions taken to bring the issue to the attention of Management, and Management’s response to such actions.</p>	

<p>Within 21 days of being notified of a request for inspection, Management provides the Panel with evidence that it has complied or intends to comply with the Bank’s relevant policies and procedures. Within 21 days of receiving the Management response, the Panel determines whether the request meets the eligibility criteria, and recommends to the Board whether the matter should be investigated.</p>	
<p>1. In determining whether to investigate, the following eligibility criteria are used:</p> <ul style="list-style-type: none"><li>a. The affected party consists of any two or more persons with common interests or concerns and who are in the borrower’s territory.</li><li>b. The request asserts in substance that a serious violation by the Bank of its operational policies and procedures has or is likely to have a material adverse effect on the requester.</li><li>c. The request asserts that its subject matter has been brought to Management’s attention and that, in the requester’s view, Management has failed to respond adequately demonstrating that it has followed or is taking steps to follow the Bank’s policies and procedures.</li><li>d. The matter is not related to procurement.</li><li>e. The related loan has not been closed or substantially disbursed.</li></ul> <p>The Panel has not previously made recommendation on the subject matter or, if it has the request asserts that there is new evidence or circumstances not known at the time of the prior request.</p>	
<p>If the Board authorizes an investigation, it does so without making a judgment on the merits of the request, and informs the affected party of the decision within two weeks of the date of such decision. Management makes its response to the request publicly available within three days after the Board’s decision.</p>	
<p>If the Panel proceeds with an investigation, the Panel submits its report to the Board and the President of the Bank, focusing on whether there is a serious Bank failure to observe its operational policies and procedures with respect to project design, appraisal and/or implementation, and assessing material adverse effect of Bank failure, using the without-project situation as the base case for comparison. All decisions of the Panel on procedural matters, its recommendations to the Board on whether to proceed with the investigation of a request, and its reports are reached by consensus and, in the absence of a consensus, the majority and minority views are stated.</p>	
<p>Within six weeks of receiving the Panel’s report, Management submits to the Board for their consideration: 1) a report, addressing possible Bank remedial efforts, and 2) an action plan agreed between the borrower and the Bank, in consultation with the requesters, that seeks to improve project implementation. Management discloses the report and the action plan to the public and the claimants in their language, to the extent possible, within two weeks of the Board’s consideration. Management will continue to report to the Board on the Action Plan, as appropriate.</p>	

OTHER ACCOUNTABILITY, DISPUTE RESOLUTION, & REDRESS MECHANISMS – BELOW, USING ONE ROW PER MECHANISM, OTHER DELIVERY PARTNERS SHOULD DESCRIBE ANY OTHER ACCOUNTABILITY, DISPUTE RESOLUTION OR REDRESS MECHANISM THAT WILL APPLY TO THE FCPF READINESS FUND.	
<p><b>Grievance Mechanisms in FAO</b></p> <p>FAO Global Accountability Framework is currently as follows:</p> <p>At global level it should be noted that FAO accountability frameworks rely on three main components:</p> <ol style="list-style-type: none"><li>1. FAO Strategic Framework (SF) /Medium Term Plan (MTP)/ Programme of Work and Budget (C 2009/15);</li><li>2. FAO Conference Resolution CR 2005/13 that endorses the principles of the Triennial Comprehensive Policy Review (TCPR) of 2004 and 2007for FAO;</li><li>3. The five core principles of Managing for Development Results (MfDR), as endorsed in the Paris Declaration on Aid Effectiveness and to which FAO signed up within the framework of the UNDG.</li></ol> <p>For Voluntary Contributions and Field activities, FAO must ensure accountability to Governing Bodies through the SF/MTP and to recipient governments, donors and partners (UNCT/RC) through project documents and project agreements. FAO accountability framework for field activities, derived from RBM principles, supports the Strategic Framework and follows corporate policies and procedures.</p> <p>FAO is presently in the process of reviewing and updating the Project Cycle guidelines according to Result Based Management (RBM) principles. This process is being developed in order to ensure a clear Accountability and Quality Assurance Framework for FAO’s Field Programme under the new Strategic Framework - through a direct project alignment to the corporate results hierarchy - and in the context of FAO and UN Reform.</p> <p>In particular, in the context of field programme management:</p> <ul style="list-style-type: none"><li>▪ Specific procedures and related role and responsibilities have been formulated in order to enhance individual accountability as well as specific processes have been designed on-line in order to improve the organization transparency;</li><li>▪ As part of the Enterprise Risk Management policy, Risk Management guidelines for project and programme have been developed;</li><li>▪ Environmental Impact Assessment guidelines have been formulated in order to reinforce FAO accountability toward environmental responsibility;</li><li>▪ Results-based reporting policies and guidelines have been formulated in order to ensure accountability to recipient governments, donors and partners;</li></ul> <p>Moreover, the detailed FAO Strategic Framework represents a strong component of FAO accountability frameworks together with FAO’ policies, rules and procedures and the related personnel roles and responsibilities. Another important aspect of FAO accountability regards the functional statements elaborated by all FAO units and services at Headquarters and Decentralized Offices level together with the Individual Project Performance Management System (PEMS).</p> <p><b>Gap-fill: Formulation of external inspection panel (Inspector General Charter attached)</b></p>	



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Regarding the formation of an external inspection panel, FAO took the decision to use the Inspector General office to conduct the requested task.

The Office of the Inspector General provides oversight of the programmes and operations of the Organization, through internal audit and investigation.

The Office of the Inspector General has responsibility for monitoring and evaluating the adequacy and effectiveness of the Organization's system of internal control, financial management and use of assets. The Office provides the Director-General and the functions and programmes audited with independent, objective assurance and consulting services designed to add value and improve the Organization's operations. It helps the Organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

The investigation unit of the Office of the Inspector General investigates allegations of fraud and misconduct in the programmes and operations of the Organization. The Office reports to the Director-General and Senior Management on lessons learned, and promotes policies and activities that enhance the integrity of FAO's operations.

FAO commits to hire an EIA specialist to work within the Inspector General's office. The specialist will be appointed as an independent consultant and will not have any work relationship with the management units of the organization. The office of the Inspector General can therefore receive written requests for inspection by an affected party in the territory of the borrower if they feel rights or interests have been or are likely to be directly affected by an action or omission of FAO as a DP. The office of the Inspector General will revise in the given case of a complaint the application of FAO's operational policies and procedures with respect to the design, appraisal and/or implementation of a project financed by the FCPF, provided that such failure has had, or threatens to have, a material adverse effect. The request must explain the steps taken to deal with the issue and actions taken to bring the issue to the attention of Management, and Management's response to such actions.