

3i Environmental Management Checklist

Complete this checklist using the 3i EMS (sections 7.1-7.4) as guidance. The checklist should be used to advance you through the entire environmental management process. If your project is simple and no/low risk, the entire process will take approximately 60 minutes to complete. Alternatively, if your project is complex and high risk, the process will take far longer as additional environmental assessment and planning is required.

This checklist must be completed in full before the 3i Oversight Committee can consider the project for approval. Once approved, the checklist outcomes should be used to inform the contract with the private sector partner (PSP).

This checklist is structured as follows:

Part A. Project description: this section provides an overview of the project, the type and scale of infrastructure to be funded, and a description of the project and site(s).

Part B. Site description: this section provides an overview of the project site(s) and surrounding area, plus identification of mapping requirements.

Step 1: Environmental screening. This section corresponds to section 7.1 of the EMS and asks a series of screening questions at strategic, national and project levels.

Step 2: Risk categorisation. This section corresponds to section 7.2 of the EMS; it uses the information from step 1 to categorise the overall risk of the project.

Step 3: Environmental assessment and management planning. This section corresponds to section 7.3 of the EMS; based on project risk categorisation, it helps identify the type of additional assessment and planning that is required.

Step 4: Assessment of 'significant impact'. This section corresponds to section 7.4 of the EMS; it outlines what you have to do in the event that you think your project may result in a 'significant impact' as per the Australian legislation.

Step 5: Contracting. This section corresponds to section 7.5 of the EMS; it brings together the outcomes from steps 1-4 and identifies the key environmental requirements for both 3i and the PSP in the contracting and implementation stages.

Notes on using this document: Use the **Tab** key to move forward to the editable spaces in the document. Use **Shift+ Tab** key to move backwards. At times, the cells lock up if you try to click directly into them to enter; so in that case just use the Shift+Tab key to move backwards; and then the Tab key to move forward again.

Guidelines are provided in text boxes throughout the checklist in italics; these should be deleted in the completed checklist.

Name of project	Click here to enter text.
Name of partner	Click here to enter text.
Project reference number	Click here to enter text.
Province	Click here to enter text.
District	Click here to enter text.
Commune and village	Click here to enter text.
3i staff completing checklist	Click here to enter text.
Date prepared; revision dates	Select date

Part A. Project description

Q1. What sector does the project cover, and for water sector projects, which sub-sector?			
Water sector <input type="checkbox"/>		Electricity sector <input type="checkbox"/>	
Sub-sector (<i>check one only</i>)		Sub-sector (<i>check one only</i>)	
Licensed	<input type="checkbox"/>	Licensed	<input type="checkbox"/>
Direct permit	<input type="checkbox"/>		
Competitive permit	<input type="checkbox"/>		
Go to Q2		Go to Q2	

Q2. How many households and people are currently and proposed to be connected to the service?		
	Number of connections	
	Existing (if any)	Proposed as part of this project
Households	<i>Enter text here</i>	<i>Enter text here</i>
People	<i>Enter text here</i>	<i>Enter text here</i>
Source of information	<i>Enter text here</i>	<i>Enter text here</i>
Water projects: go to Q3		
Electricity projects: go to Q7		

Q3. Project elements. Specify the elements that will be part of the project (<i>the purpose of this question is to be clear about existing and proposed infrastructure within each project</i>) (<i>check boxes - can be one or more</i>)		
Element	New (to be developed as part of project)	Existing (already in place)
Pump station (on land or floating)	<input type="checkbox"/>	<input type="checkbox"/>
Bore/well	<input type="checkbox"/>	<input type="checkbox"/>
Treatment plant	<input type="checkbox"/>	<input type="checkbox"/>
Storage	<input type="checkbox"/>	<input type="checkbox"/>
Pipes	<input type="checkbox"/>	<input type="checkbox"/>
Office	<input type="checkbox"/>	<input type="checkbox"/>
Warehouse/storage	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify).....	<input type="checkbox"/>	<input type="checkbox"/>

Q4. What water process stage does the project cover and who is funding the stage – 3i or the PSP or both?				
Water process stage(s) <i>(check box - can be one or more)</i>		Funding partner <i>(check box - can be one or both)</i>		
		3i	PSP	
Extraction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Go to Q5
Storage	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Go to Q6
Treatment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Go to Part B
Distribution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Go to Part B
Household connection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Go to Part B

Q5. Where the project involves water extraction, provide following information:		
Water source(s) <i>(check box - can be one or more)</i>		Estimated amount of water to be extracted (m³/day)
Ground water <i>(water sourced from underground aquifer often by a well or bore)</i>	<input type="checkbox"/>	
Surface water	<input type="checkbox"/>	
River/stream List name(s):	<input type="checkbox"/>	
Is river/stream listed as a sensitive water source? Yes/No <i>(refer EMS Compendium)</i>	<input type="checkbox"/>	
Reservoir/dam List name(s):	<input type="checkbox"/>	
Other: list:	<input type="checkbox"/>	
<i>If project involves water storage, go to Q6; otherwise go to Part B</i>		

Q6. Where the project involves water storage, provide the following information:		
Type of water storage(s) <i>(check box - can be one or more)</i>		Volume and size (maximum capacity of water to be stored m³; if dam/reservoir, indicate capacity (m³) & area (ha))
Water tank	<input type="checkbox"/> m ³
Reservoir/dam	<input type="checkbox"/> m ³ ; ha
Other: list:	<input type="checkbox"/>	
Go to Part B		

Q7. What electricity process stage does the project cover and who is funding the stage – 3i or the PSP or households, or some/all?				
Electricity process stage(s) <i>(check box - can be one or more)</i>		Funding partner <i>(check box - can be one or more)</i>		
		3i	PSP	HH
Generation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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Distribution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Household connection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Go to Part B</i>				

Part B. Site description

Describe the site(s) where the work will happen and any other nearby areas that might be affected by the project. Remember that the project may encompass multiple sites (eg. water extraction point on a river, treatment plant site, pipe locations; electricity generation plant, distribution lines). This section is important to gain an understanding of the site and its current use, how that will change and to what extent (including taking account of environmental, social and cultural aspects) as a result of the project.

Q8. Provide details about the project site (if there is more than one site provide details for all).			
Site name	GPS coordinates	Scale/size/ dimensions (m² or ha; m or km)	Photographs taken Y/N
<i>Add more lines as needed</i>			

Q9. Describe the site(s) (if more than one site, describe all)
<p><i>Enter text here; once entered, delete these instructions</i></p> <p><i>Some things to consider and describe:</i></p> <ul style="list-style-type: none"> - <i>Is this a greenfield site, one where there is no infrastructure currently in place?</i> - <i>What vegetation is on the site (eg. is it natural and in good condition or heavily disturbed? If farmland, describe – rice paddies, type of crops, grazing, etc)</i> - <i>Any noticeable wildlife (eg. waterbirds)</i> - <i>Are there any waterbodies on or next to the site (streams, lake, swamp, ponds etc.)?</i> - <i>Is the site close to the coastline? If so, how far to the coast?</i> - <i>What is this site currently being used for?</i> - <i>Does anyone live or work on the site?</i> - <i>Are their cultural, heritage and indigenous aspects of the site?</i> - <i>Does the PSP already have existing infrastructure or activity underway on the site? If yes, describe them (e.g. office, buildings, water plant, roads, pipelines, transmission lines, other facilities).</i> - <i>Are there any other existing structures on the site that are not owned and operated by the PSP?</i>

Q10. Briefly describe the area surrounding the project site(s)
<p><i>Enter text here; once entered, delete these instructions</i></p> <p><i>Some things to consider and describe:</i></p> <ul style="list-style-type: none"> - <i>Describe the land around the project site and how it is used.</i> - <i>What is the current state of the environment surrounding the project site (eg. is it natural forest? is it heavily modified and disturbed? Is it cleared land?)</i> - <i>What livelihoods might be affected by the project?</i> - <i>Will the project result in a significant increase in the use of vehicles to transport goods or workers? Describe this and the likely transport routes.</i>

Q11. Insert here, or attach as an annex, a locality and key features map.

The purpose of this map is to position the project within Cambodia and the province. This locality map should highlight major features such as major roads, rivers, provincial centres and major towns, mountains, coastline (where relevant) and have the boundaries of the water/electricity service area overlain.

If annexed, specify here the Annex number:

If map is being inserted here, delete these instructions

Q12. Insert here, or attach as an annex, a tenure map.

The purpose of this map is to clearly identify the tenure of the land and waters - both at the project site/s and at surrounding areas. The service area of the project must be overlain on the map.

Refer to EMS Guidance Note #1 for instructions about what is required in this map and how to develop it.

If annexed, specify here the Annex number:

If map is being inserted here, delete these instructions

Q13. Insert here, or attach as an annex, a project infrastructure plan.

The purpose of this plan is to illustrate the broad layout of the infrastructure across the project site. This plan should also highlight any local features, values or hazard areas that need to be considered during planning and/or implementation (eg. significant large trees to be protected, pagodas or other places of worship or spiritual importance; patches of vegetation to be avoided; wet or low lying areas; etc.

If annexed, specify here the Annex number:

If plan is being inserted here, delete these instructions

Step 1: Environmental screening

This section corresponds to Section 7.1 of the EMS and asks a series of screening questions at strategic, national and project levels.

1.1 Strategic screening questions

Refer to EMS Guidance Note #2 for instructions on how to answer these questions.

<p>Q14. Will the activity take place in a vulnerable place?</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Sure</p>
<p>Enter text here</p>	
<p>Q15. Is the project type generally considered to be risky?</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Sure</p>
<p>Enter text here</p>	
<p>Q16. Is it likely that climate change / variability or natural disasters may have a significant impact <u>on</u> the project?</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Sure</p>
<p>Enter text here</p>	
<p>Q17. Could the project have major impact on ecosystems that sustain livelihoods?</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Sure</p>
<p>Enter text here</p>	
<p>Q18. Could the project have a 'significant negative impact' on the environment, including increasing greenhouse gas emissions? <i>Note: 'Significant impact' within the meaning given by the EPBC Act. Refer Section 7.4 of the EMS for guidance.</i></p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Sure</p>
<p>Enter text here</p>	
<p>Q 19. Could the project have a 'significant negative impact' on social and cultural aspects, including resettlement and child protection risks?</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Sure</p>
<p>Enter text here</p>	
<p>Q20. Could the project have <u>direct</u> and significant <u>positive</u> outcomes on the environment and therefore be used to promote 3i impacts and benefits? <i>Note: only identify impacts arising directly from the project.</i></p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Sure</p>
<p>If you answered 'yes' to Q20, briefly describe the positive environmental outcomes. Enter text here</p>	

Select one of the following options**No: Did you answer 'No' to all seven screening questions?**

Your project passes the strategic screening process. However your project still requires assessment to ensure compliance with the Royal Government of Cambodia (RGC) environmental laws. Go to Part 1.2 National screening questions.

 Option 1**Yes: Did you answer 'Yes' or 'Not Sure' to screening questions in Step 1.1?**

Further environmental assessment is required.

Additionally your project still requires assessment to ensure compliance with the RGC environmental laws. Go to Part 1.2 National screening questions.

 Option 2**Positive outcomes: Did you answer 'Yes' to Question 20 and answer 'No' to all the other screening questions?**

Your project should be flagged as one with potential positive environmental impacts and may be used as a case study to showcase 3i work.

However your project still requires assessment to ensure compliance with the RGC environmental laws. Go to Part 1.2 National screening questions.

 Option 3

1.2 National screening questions

Q21. Is the project type over the threshold size or capacity as listed in the Cambodian EIA sub-decree?			
No.	Project type	Threshold size/capacity	Check if applicable
A17	Water supply	>10,000 users	<input type="checkbox"/>
AIX3	Power plants	>5 MW	<input type="checkbox"/>
AIX4	Hydropower	>1 MW	<input type="checkbox"/>
D4	Buildings	Height>12m or floor >8000m ²	<input type="checkbox"/>
-	Unsure		<input type="checkbox"/>
<i>Enter text here</i>			
<i>If you check yes to any of the above, then this project triggers the Cambodian EIA legislation and is automatically categorised as being high risk. Go to Q22 and complete the remainder of the questions in Step 1; then go to Step 2.</i>			
<i>If you check no to all of the above, there are no further requirements for compliance with the EIA Sub-Decree. Go to Q22.</i>			
<i>If you are unsure, consult with the 3i Team Leader or General Manager.</i>			

Q22. What is the land tenure of the project site? If the project has multiple sites, tick all relevant boxes.		
Private	<input type="checkbox"/>	
Leased	<input type="checkbox"/>	
Community owned	<input type="checkbox"/>	
Roadside	<input type="checkbox"/>	
Protected area, protected forests, fisheries area <i>Refer to the project tenure map(s) developed in Part B for guidance</i>	<input type="checkbox"/>	If yes, go to Q23
Other (specify).....	<input type="checkbox"/>	
Unsure	<input type="checkbox"/>	If unsure, undertake further investigation to clarify land tenure

Q23. Indicate the status of the area that the project site (or sites) is located within. Refer to the EMS compendium maps or http://www.opendevdevelopmentcambodia.net/ for guidance			
Type of area	Project located within one of these areas?	Project within 1km of an area?	If yes, indicate approx. distance (m)
Natural protected areas declared under the <i>Royal Decree on Natural Protected Areas</i> and <i>2008 Protected Areas Law</i> and under jurisdiction of the MoE			
National Park	<input type="checkbox"/>	<input type="checkbox"/>	
Wildlife Sanctuary	<input type="checkbox"/>	<input type="checkbox"/>	
Protected Landscape (includes Angkor Wat complex)	<input type="checkbox"/>	<input type="checkbox"/>	
Multiple Use Area	<input type="checkbox"/>	<input type="checkbox"/>	
Ramsar Site	<input type="checkbox"/>	<input type="checkbox"/>	
Biosphere Reserve	<input type="checkbox"/>	<input type="checkbox"/>	
Natural Heritage Site	<input type="checkbox"/>	<input type="checkbox"/>	
Marine Park	<input type="checkbox"/>	<input type="checkbox"/>	
Other protected areas under the control of the MAFF			
Protected forests and landscapes	<input type="checkbox"/>	<input type="checkbox"/>	
Fish sanctuaries	<input type="checkbox"/>	<input type="checkbox"/>	
Fish habitat conservation areas	<input type="checkbox"/>	<input type="checkbox"/>	
Fisheries area			
Tonle Sap Flooded Forest Demarcation Area under jurisdiction of MoWRAM	<input type="checkbox"/>	<input type="checkbox"/>	
Community fisheries area	<input type="checkbox"/>	<input type="checkbox"/>	
Fish sanctuary	<input type="checkbox"/>	<input type="checkbox"/>	
Historical temples (zones outside Angkor-Siem Reap) under jurisdiction of the MoCFA	<input type="checkbox"/>	<input type="checkbox"/>	
Other (<i>specify</i>).....	<input type="checkbox"/>	<input type="checkbox"/>	
Unsure	<input type="checkbox"/>		
	If yes to any of the above, national law may be triggered. Go to Step 1.3		If yes, you may need to take special precautions in EA and EMP. Go to Step 1.3

1.3 Project screening questions

If any risk mitigation strategies are identified in section 1.3, these can be noted with 'Funding agreement condition' and included in Step 5 for inclusion the 3i funding agreement with the PSP (operator).

<p>Q24. Is the project site(s) located within 1 km of an international border?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Sure</p>
<p>Q25. If yes, are there environmental (including heritage/cultural) features and values over the border that might be negatively impacted by the project?</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not Sure</p>
<p>Enter text here</p>	
<p>Q26. Is the project site(s) located within 500m of the coast?</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Sure</p>
<p>Q27. If yes, are there any coastal features that need special consideration in project planning and/or implementation?</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Sure</p>
<p>Enter text here</p>	
<p>Q28. Is there a risk of UXOs or landmines being located at the project site(s)? (consult commune council, local villagers; CMAC if needed)</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not Sure</p>
<p>Enter text here</p>	
<p>Q29. Is river/stream listed as a sensitive water source? (refer EMS Compendium). If yes, provide below water source name and reason for significance.</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not Sure</p>
<p>Enter text here</p>	
<p>Q30. If yes, is the project expected to result in impacts on the values of the water source? If yes, describe in full below including potential mitigation measures.</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not Sure</p>
<p>Enter text here</p>	
<p>Q31. Will the project result in overuse of the surface water resource and have significant downstream impacts on hydrology, other users, and biodiversity?</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not Sure</p>
<p>Enter text here</p>	

<p>Q32. Will the project result in overuse of the groundwater resource and alterations to the water table, which may have consequences for other users and natural resources on the surface?</p>	<p> <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not Sure </p>
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Enter text here

<p>Q33. Will the project channel or divert flood waters, disturb floodwater progression or recession, increase water flow and/or increase the chance of soil erosion or flooding?</p>	<p> <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not Sure </p>
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Enter text here

<p>Q34. Will the project involve water extraction from an area of known or suspected problematic arsenic levels? (refer EMS Compendium; consult Arsenic Centre / PDWRAM / Prov. Dept. Public Health).</p>	<p> <input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Sure </p>
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Enter text here

<p>Q35. Is the project site(s) located in or near an area with acid sulfate soils? (consult local community)</p>	<p> <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Sure </p>
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Enter text here

<p>Q36. Will the project involve clearance, disturbance and impacts on land, biodiversity, and/or crops (at project site(s))?</p>	<p> <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not Sure </p>
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Enter text here

<p>Q37. Will project construction disrupt or disturb the activities and/or access of other people (residents, farmers, fishermen, others)?</p>	<p> <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not Sure </p>
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Enter text here

<p>Q38. Will project construction impact on built structures (houses, farm buildings, roads, fences, electricity lines)?</p>	<p> <input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Sure </p>
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Enter text here

<p>Q39. During construction and/or facility operation, will the project result in significant noise and dust pollution, or major impacts from additional vehicle traffic?</p>	<p> <input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Sure </p>
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Enter text here

<p>Q40. Will the project result in removal of shade trees that are important for the livelihoods of local people (eg. for small stores, tuk tuk waiting areas, etc)?</p>	<p> <input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Sure </p>
<p>Enter text here</p>	
<p>Q41. Will the project impact on sites that are important for archaeological, cultural heritage, religious, burial, spiritual and/or ceremonial reasons?</p>	<p> <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Sure </p>
<p>Enter text here</p>	
<p>Q42. During construction and/or facility operation, could the project result in the inappropriate disposal of excavated soil and solid waste (eg. through illegal dumping)?</p>	<p> <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not Sure </p>
<p>Enter text here</p>	
<p>Q43. Could the project potentially result in the inappropriate storage and use of hazardous chemicals and fuels including spills that result in localised pollution?</p>	<p> <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not Sure </p>
<p>Enter text here</p>	
<p>Q43. Could the project potentially result in pollution of the recipient land or water body from the inappropriate disposal of chemicals, sludge and effluents from the plant?</p>	<p> <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not Sure </p>
<p>Enter text here</p>	
<p>Q44. Will the project impact on landscape amenity (visual quality) as a result of clearance of natural vegetation and/or erection of large structures (such as water towers or electricity lines in sensitive landscapes - near temples, tourist sites, etc)?</p>	<p> <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Sure </p>
<p>Enter text here</p>	
<p>Q45. Are there other project specific risks that require consideration? <i>If so, describe; add extra lines as necessary.</i></p>	<p> <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Sure </p>
<p>Enter text here</p>	

Congratulations, Step 1: Environmental screening is now completed.

Go back through all your responses – this will help you determine next steps. Two outcomes are possible:

- **Outcome 1:** If you answered no to all questions, then your project is considered to be no or minimal environmental risk. No further environmental management is required apart from ongoing monitoring during the implementation stage. You can proceed with your project planning as per the 3i Grants Management Manual.
- **Outcome 2:** If you answered yes or unsure to any questions, then your project is considered to be a potential environmental risk. You need to proceed to Step 2 Risk Categorisation.

Step 2: Risk categorisation

If a response of 'yes' or 'unsure' was given to one or more screening questions, the next step is to consider project environmental risk. Taking account of the project characteristics and the responses to the screening questions, you should now assess and categorise the overall project risk; Table 1 below and Section 7.2 of the EMS provides guidance.

In assessing risk, consider the project in the context of the following factors:

- specific geographic location in which a project takes place
- site environmental values and integrity (the degree of disturbance and modification to natural assets)
- resilience and susceptibility of that place to absorb impacts
- specific characteristics of the project (eg. the type and scale of infrastructure and works; whether it is a new facility, or an upgrade or expansion of an existing facility).

Risk categorisation should be made on the basis that there is no mitigation or management measures put in place.

You should consult with your colleagues, the 3i environmental focal point staff, and 3i management about your assessment.

Table 1. Environmental risk categories

Risk category	Description of risks	Project is assessed as:	Required actions
Low	Project is considered to have minimal or no adverse impact (direct or indirect) on the environment (including social and cultural aspects).	<input type="checkbox"/>	<ul style="list-style-type: none"> ▪ Include a summary of results in the package of information provided for approval by the 3i Oversight Committee. ▪ Prepare a simple environmental monitoring plan (not mandatory) (refer EMS annexes for template) ▪ Go to Step 5
Medium	Project might have a major impact on the environment (including social and cultural aspects) (direct or indirect), particularly in the absence of avoidance and mitigation measures. Impacts are typically local and short-term and are not in environmentally sensitive areas. Projects where risks are uncertain are likely to fit into this category.	<input type="checkbox"/>	<ul style="list-style-type: none"> ▪ Go to Step 3
High	Projects that trigger the Cambodian EIA sub-decree are considered high risk.	<input type="checkbox"/>	<ul style="list-style-type: none"> ▪ Record on the checklist that there is high environmental risk. ▪ Follow the IEIA/EIA process as specified in the legislation.
	Project considered likely to have a major impact on the environment (including social and cultural aspects) (direct or indirect). Impacts typically affect a large or sensitive geographic area or have permanent and long-lasting effects.	<input type="checkbox"/>	<ul style="list-style-type: none"> ▪ Go to Step 3

Justification for risk categorisation

Enter text here

- *Describe why you have assessed the risk categorisation in this way*

Step 3: Environmental assessment and management planning

Where the risk categorisation process (as outlined in Step 2) indicates that the project is a medium or high risk – without the use of risk mitigation measures – then this triggers further assessment and planning. Section 7.3 of the EMS and Table 2 below provides guidance.

Table 2. Potential outcomes from the risk categorisation process and required actions

Environmental risk category	Required actions completed?	Yes	Next step
Medium	Environmental assessment (EA) has been prepared	<input type="checkbox"/>	
	Environmental management plan (EMP) has been prepared	<input type="checkbox"/>	
	Given the EA and EMP and the associated mitigation measures, do you consider that your project:		
	▪ is not likely to have a 'significant impact' on the environment? Or	<input type="checkbox"/>	go to step 5
	▪ is likely to have a 'significant impact' on the environment even with mitigation measures?	<input type="checkbox"/>	go to step 4
High	Environmental assessment (EA) has been prepared	<input type="checkbox"/>	
	Environmental management plan (EMP) has been prepared	<input type="checkbox"/>	
	Given the EA and EMP and the associated mitigation measures, do you consider that your project:		
	▪ is not likely to have a 'significant impact' on the environment? Or	<input type="checkbox"/>	go to step 5
	▪ is likely to have a 'significant impact' on the environment even with mitigation measures?	<input type="checkbox"/>	go to step 4

Step 4: Assessment of ‘significant impact’

Following the development of the EA and EMP as per step 3, if it is considered that a medium or high risk project is likely to have a ‘significant impact’ on the environment - even with mitigation measures – such a project is to be categorised as a ‘significant impact’ project. Section 7.4 of the EMS and Table 3 below provides guidance.

Table 3. Required actions for ‘significant impact’ projects

Environmental risk category	Options	Recommendation
Significant impact	For these projects, there are three courses of action (choose one only):	
	1. Refer the project to the 3i Team Leader and recommend that it is redesigned; or	<input type="checkbox"/>
	2. Refer the project to the 3i Team Leader and recommend that it is dropped; or	<input type="checkbox"/>
	3. Continue with the project. Under sections 160 and 161 of the EPBC Act, a contract cannot be entered into if a project is likely to have a ‘significant impact’ on the environment, without first referring the aid investment to Australia’s Minister for the Environment and considering the advice of the Minister.	<input type="checkbox"/>

Step 5: Contracting

Environmental management will be integrated into 3i project management. For projects with an EA and EMP, actions, responsibilities and conditions will be included in 3i funding agreements (contracts). Regardless of project risk rating, standard clauses about compliance with national government environmental laws, standards, and requirements will also be included. In this way, 3i will ensure that PSP responsibilities and accountabilities are identified in advance and clearly communicated to the PSP through the funding agreement (contract).

Proposed conditions for inclusion in funding agreement (as identified in Part 1.3)

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For office Use Only			
<input type="checkbox"/>	Approved		
<input type="checkbox"/>	Approved with conditions to be included in the funding agreement (contract) (see Step 5)		
<input type="checkbox"/>	Not approved		
Title	Name	Signature	Date
Adviser	Enter name		Select date
General Manager	Enter name		Select date
Team Leader	Enter name		Select date

Attachment 1: Guidance on how to prepare a tenure map (refer Part B)

Introduction

Understanding the tenure (or ownership status) of the land and waters where a project is proposed - and the surrounding areas - is essential for environmental management and indeed broader project management: it is not possible to undertake a proper environmental assessment without knowing who owns the land and/or waters and whether there are national and international interests in such areas.

Even if a project is completely on private land, the tenure of nearby land and waters may still need to be considered and risks addressed before the project can proceed. Additionally, there are national laws in place that specify what type and scale of developments can occur on particular lands and waters, and where a development is adjoining or nearby to a protected area.

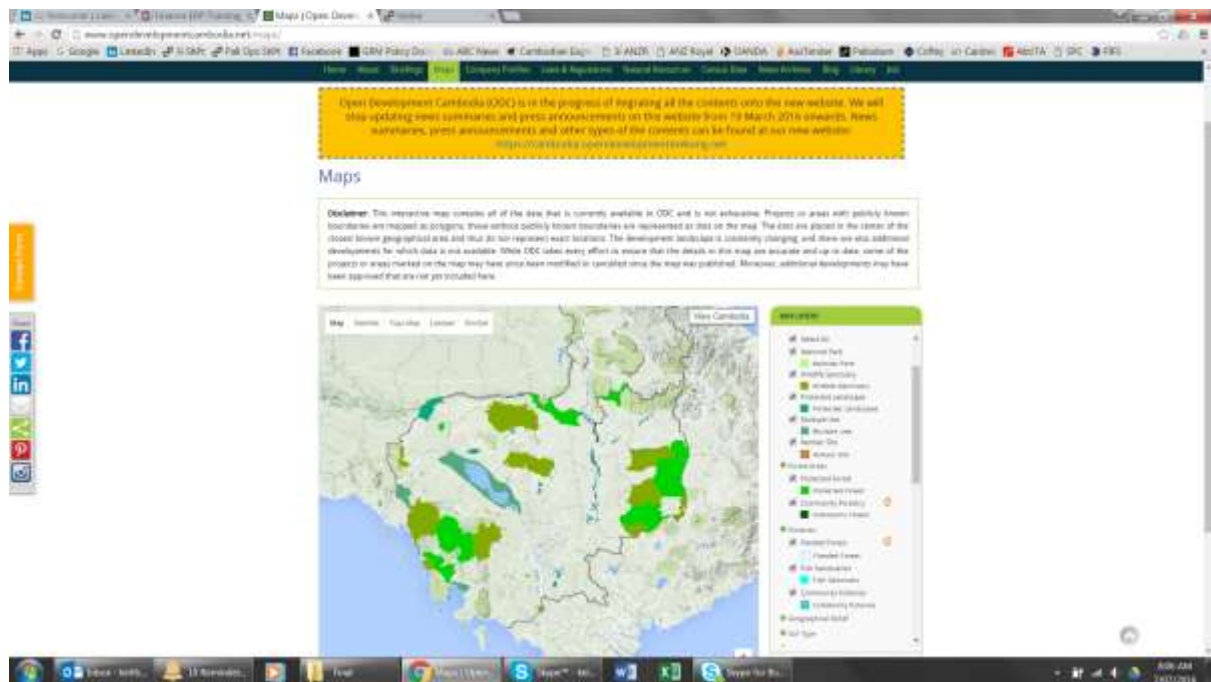
A tenures map is a critical source of information in 3i environmental screening.

The information that follows gives basic instructions to assist in development of maps that will meet EMS requirements.

Mapping guidelines

Open Development Cambodia (ODC) has a comprehensive set of interactive maps that can be used to develop a tenure map for each 3i project. A map is required to be included even if the land is completely private: this demonstrates to the reader that tenure has been investigated and that this it is not a factor that requires consideration in project planning and management.

Go to the ODC website <http://www.opendevlopmentcambodia.net/maps/>



Under the drop down box that says 'Map Layers':

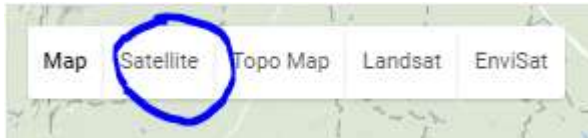
- check the box that says 'Show Scale' (bottom of the page)
- check the box that says 'Protected Areas' and then check the box 'Select All'. This will bring up all the protected areas
- check the box that says 'Forest Areas' and then check the boxes for 'Protected Forest' and 'Community Forest'
- check the box that says 'Fisheries' and then check the boxes for 'Flooded Forest', 'Fish Sanctuaries' and 'Community Fisheries'.

Once this is done, it will look like this:



Then you can zoom into the project area and determine the tenure of the land and waters in your project area. You will need to zoom in and find the most suitable scale and level of detail.

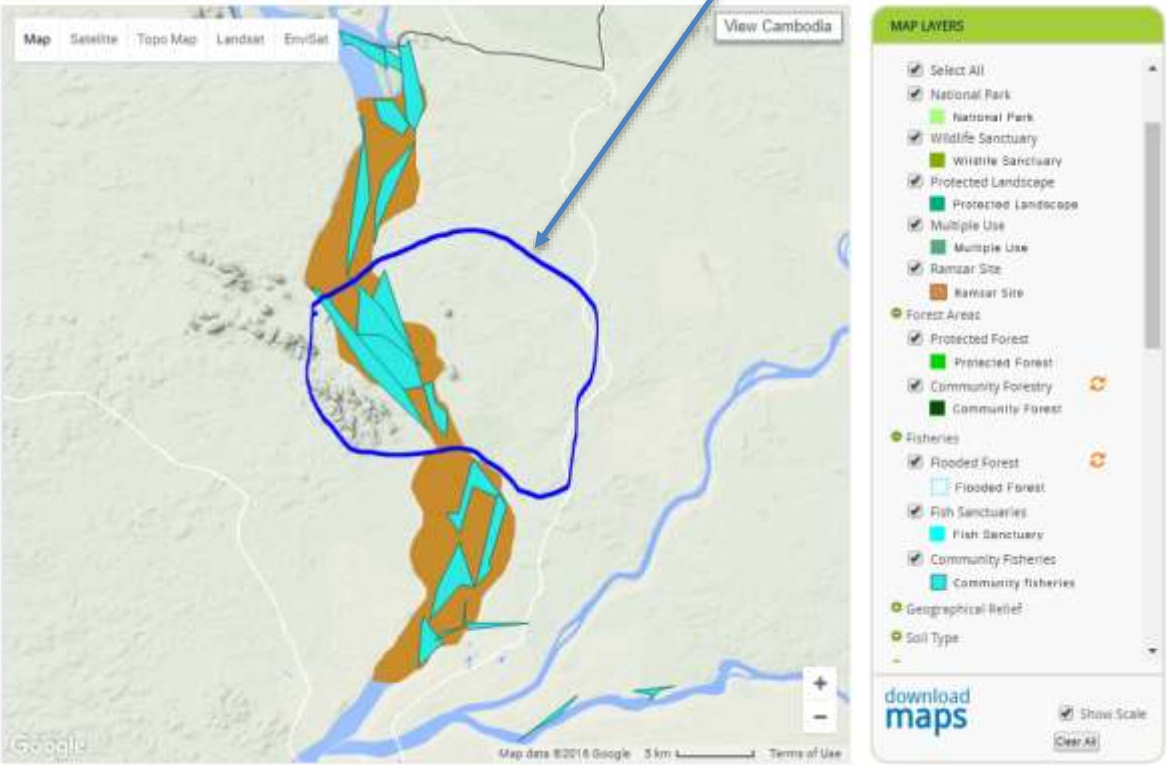
Another mapping feature that you may find useful is overlaying tenure onto satellite imagery. You can do this by selecting the field 'Satellite' in the top left hand of the map.



To make a copy of your map, you can take a Screen Shot and paste it in your environmental checklist. Or you can use the Windows 'Snipping Tool' to draw the project area onto the tenures map. Go to this website for instructions on how to do this. <https://support.microsoft.com/en-us/help/13776/windows-use-snipping-tool-to-capture-screenshots>. A reminder - we use Windows7.

You should make a map like this even if there are no protected areas in your project area. Why? To demonstrate that you have checked and to avoid the need for a reviewer or approver of the checklist having to do this.

Your end product should look something like this:



Proposed water service area boundary

In this example, it is clear that there are land and water tenures that may affect this project, namely a Ramsar site and multiple Community Fishery Areas. This would provide an alert that specific laws and/or policies are likely to be in place that require consideration and potentially government approval before the project can proceed.

Attachment 2: Guidance on how to answer the Strategic Screening Questions (Step 1.1)

Description	Examples
Will the project take place in a vulnerable place and/or a geographically sensitive area?	
<p><i>A vulnerable place</i> is one where the natural value and integrity is high, and the place is susceptible to negative impact.</p> <p>As a rule of thumb, a vulnerable place involves natural sites that are fairly undisturbed or sites that are likely to be important habitat for fish and other wildlife.</p> <p><i>Geographically sensitive areas</i> have underlying natural aspects that make them unstable or unsuited to development.</p>	<p>Vulnerable places include:</p> <ul style="list-style-type: none"> ▪ productive ecosystems supporting livelihoods ▪ internationally and nationally listed protected areas (national parks, world heritage areas, biosphere reserves etc) ▪ habitats of rare or threatened species, ▪ aquatic systems ▪ wetlands ▪ estuaries ▪ near-shore marine ecosystems including mangroves ▪ forests ▪ coral reefs ▪ cultural sites of significance. <p>Non-vulnerable places include areas that are already heavily developed such as urban areas, villages, industrial sites, factories, offices, operating farms, schools, etc. as well as natural environments and aquatic systems that are already degraded.</p> <p>Geographically sensitive areas include:</p> <ul style="list-style-type: none"> ▪ sinkholes ▪ limestone/karst ▪ very steep slopes ▪ weak poorly consolidated strata making soils highly erodible ▪ acid sulphate soils ▪ low lying areas prone to salinity and waterlogging.
Is the project type generally considered to be risky?	
<p><i>A risky project</i> is one where the environment could be modified or pressured by the scale, intensity, volume and/or frequency of the activities that will be carried out.</p> <p>As a rule of thumb a risky project involves intensive construction works across a wide area, and/or high volume, high intensity resource extraction. Such projects are likely to cause environmental and associated social impacts that are negative, sensitive, diverse and/or unprecedented; there is strong potential for 'significant impact'¹.</p> <p>It is not possible to absolutely define 'significant impact' at this initial stage because no two projects are identical. Therefore determining if a project may have a 'significant impact' on the environment requires further analysis and planning and must be made on a case-by-case basis and based, to the</p>	<p>Examples of high risk projects likely to cause major negative impact are:</p> <ul style="list-style-type: none"> ▪ large dams and reservoirs ▪ industrial plants (large-scale) ▪ major new industrial estates ▪ irrigation, drainage, and flood control (large-scale) ▪ large-scale water extraction (aquifers, groundwater) ▪ land clearance and levelling ▪ large thermal and hydropower development ▪ high-tension transmission lines.

¹ 'Significant impact' within the meaning of the EPBC Act is covered in Section 7.4.

Description	Examples
<p>extent feasible, on scientific data and local information.</p> <p>High risk projects of this type definitely require an Environment Impact Assessment (EIA) and associated Environment Management Plan (EMP). For such high risk projects, the EIA will be a comprehensive assessment using a standard set of internationally accepted processes that are commonly practiced across donors and partner countries.</p> <p>These activities are undertaken by environmental experts with specific training and experience in environmental assessment and planning - national or international, depending on the calibre and qualifications required (and available) in the partner country where the project will be implemented.</p>	
<p>Medium risk projects are likely to cause mostly local and short-term negative environment and social impacts. These impacts are site-specific and few (if any) are irreversible.</p> <p>Some projects at this level may have 'significant impacts', but they are 'less significant' than projects in the 'high potential' category above.</p> <p>In most cases mitigation measures are readily available and can be designed more readily for projects at this level than they can for projects in the 'high potential' category.</p>	<p>Examples of medium risk projects are:</p> <ul style="list-style-type: none"> ▪ electrical transmission (rural) ▪ micro-hydropower (less than 5 mw) ▪ renewable energy (other than hydropower) ▪ rural water supply ▪ greenfield projects in existing industrial estates.
Is it likely that climate change/variability or natural disasters could have a significant impact <u>on</u> the project?	
<p>This question is about risks <u>to</u> the project from climate change or natural disasters as distinct from risks arising <u>from</u> the project.</p> <p>Climate change is already impacting on the severity of extreme weather events, including floods and slow onset droughts. In likely future scenarios, climate change will have wide-ranging impacts on the productivity of natural ecosystems and agricultural systems, and on infrastructure in flood-prone and coastal areas.</p> <p>Infrastructure projects should not be located in places where they might be damaged or fail because of climate change and natural disasters. Infrastructure design should build in safeguards to minimise maintenance and avoid future catastrophic failure.</p> <p>Consideration of climate change and disaster risk reduction in the location and design of infrastructure for example will help to prevent damage and make it more resilient to extreme events.</p>	<p>Climate change/variability examples include:</p> <ul style="list-style-type: none"> ▪ increased frequency and intensity of storm events ▪ sea level rises and storm surge impacts on infrastructure ▪ increased rainfall leading to increased overland flow ▪ landslips ▪ prolonged drought (and effects on water supply) ▪ higher flood levels ▪ increased riverbank erosion. <p>Natural disasters can impact on the effectiveness and outcomes of development initiatives. Catastrophic failure of infrastructure could result in:</p> <ul style="list-style-type: none"> ▪ Loss of lives ▪ Reduction in economic growth ▪ Loss of livelihoods ▪ Infrastructure loss/damage ▪ Higher costs of construction and maintenance

Description	Examples
<p>Potential impacts of disasters, climate change and extreme weather on the integrity and longevity of projects should be considered in their design, particularly if the project location is exposed to natural disasters, and areas likely to experience the effects of climate change. In planning for new project developments, avoid high-risk areas with known hazards (i.e. where there are risks of landslide, forest fires, flood or storm surge).</p> <p>Responses to this question should use common-sense – is climate change or natural disasters likely to have a direct and serious impact on the project?</p>	<ul style="list-style-type: none"> ▪ Delays in implementation of development programs ▪ Environmental degradation.
Could the project have major impact on ecosystems that sustain livelihoods?	
<p>Ecosystems that sustain livelihoods are any natural environment that is being used by people to meet their basic needs (food, water, shelter) or to gain an income (fishing grounds, farms, forests that are being harvested for wood products, tourism)</p>	<p>Activities that damage ecosystems include:</p> <ul style="list-style-type: none"> ▪ Land clearing and land use change ▪ Environmental pollution ▪ Uncontrolled fisheries ▪ Water diversions and river development ▪ Forest clearing and degradation.
Could the project have a ‘significant impact’ on the environment, including increasing greenhouse gas emissions?	
<p>All development actions have some impact on the environment. A ‘significant environmental impact’ is one where the:</p> <ul style="list-style-type: none"> ▪ scale ▪ duration ▪ frequency and ▪ intensity <p>of the project is significant with respect to the:</p> <ul style="list-style-type: none"> ▪ condition, and ▪ value <p>of the environment being impacted, and where the impact cannot be safely mitigated.</p> <p>Projects that cause greenhouse gas (GHG) emissions mostly involve burning fossil fuels (coal, petrol, natural gas) for electricity, heat, and transportation. Agricultural activities are also a source of GHG such as livestock, agricultural soils, and rice production.</p> <p>Keep in mind that your project may also be having a positive impact: if so, record under Question 15.</p>	<p>Activities that can have significant adverse impacts include:</p> <ul style="list-style-type: none"> ▪ Large construction and infrastructure projects ▪ Mining and energy developments ▪ Developments that involve broadscale land clearing and habitat conversion ▪ Coastal zone development ▪ Large scale water resource development including water extraction or diversion or modification of aquatic systems ▪ Projects that increase access to/exploitation of vulnerable habitat e.g. new roads into natural forest areas ▪ Activities that will increase demand for scarce resources ▪ Harvesting of wildlife including fisheries ▪ Industrial development. <p>In terms of value, any project that is located within an area that is nationally protected for environmental or cultural reasons (national park, vulnerable or migratory species habitat, national or world heritage sites) should automatically lead to a yes answer to this screening question.</p>
Could the project have a ‘significant negative social impact’ including resettlement and child protection risks?	
<p>Some projects may result in significant negative impacts on the community and children.</p>	<p>Types of significant adverse impacts on social values and children include:</p>

Description	Examples
	<ul style="list-style-type: none"> ▪ Negative changes on livelihoods, jobs and the local economy. ▪ Disruption to established community structures and decision-making processes. ▪ Resettlement or relocation of people from their homes. ▪ Exposure of children to risks such as child labour, emotional and/or physical harm and abuse, non-attendance at schools, etc.
<p>Could the project have significant positive outcomes on the environment and therefore be used to promote 3i impacts and benefits?</p>	
<p>This question aims to determine if the project will result in <u>direct</u> environmental impact and therefore improved environmental outcomes? The intention here is to only identify direct impacts: positive change(s) to the environment that occur only because of the project.</p> <p>This question is looking for positive angles and potential case studies that can highlight improvements in environmental management; a positive answer does not invoke a higher level environmental assessment.</p>	<p>Examples of positive and direct impacts include:</p> <ul style="list-style-type: none"> ▪ Refurbishment and upgrade of an existing water treatment plant that is poorly managed and resulting in negative environmental impacts (eg. through chemical spills). ▪ Conversion of an existing diesel-fueled electricity generation plant to one sourced from renewable energy sources. ▪ Transitioning water extraction from a stressed, unsustainable water supply source (eg. river or stream under significant pressure from multiple users) to a more sustainable source where extraction has lower impacts.