

TERMS OF REFERENCE

CONSULTING SERVICES FOR THE PREPARATION OF:

**ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT (ESIA)/
ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN (ESMP);
BIODIVERSITY MANAGEMENT PLAN (BMP);
STAKEHOLDER ENGAGEMENT PLANS (SEP);
RESETTLEMENT POLICY FRAMEWORK (RPF)/RESETTLEMENT
ACTION PLAN (RAP);
LABOUR MANAGEMENT PROCEDURES (LMP); AND
ENVIRONMENT AND SOCIAL COMMITMENT PLAN (ESCP)**

FOR

PHASE 1. SUBCOMPONENT 1.1.

**UPGRADING OF M-41 REGIONAL ROAD IN SURKHANDARYA REGION
UNDER
UZBEKISTAN MULTIMODAL CONNECTIVITY AND LOGISTICS PROGRAM
(P180602)**

A. INTRODUCTION

The World Bank is supporting preparation of the Multimodal Connectivity and Logistics Program in Uzbekistan (P180602) (the Program) in the Republic of Uzbekistan that is structured as a Multiphase Programmatic Approach (MPA) which will run for over 8 years and support various agencies with different types of interventions (infrastructure and technical support).

The program will contribute to the World Bank Group's Country Partnership Framework (CPF) for Uzbekistan for the FY22-26 period by supporting its high-level outcomes (HLOs). The program significantly contributes to increasing private sector employment (HLO1) and improved livelihoods and resilience through greener growth (HLO3). The program will support continuation of reforms in the transport sector which is in line with the transformation of the role of the state in the economy from a monopolistic producer to an enabler of private sector growth and economic and social inclusion (CPF objective 1.1). Furthermore, CPF objective 1.4 which aims to improve infrastructure for competitiveness and connectivity is exactly what the program looks to do through a combination of medium-term infrastructure investments, reforms, and knowledge support.

The program level objective is to improve the connectivity of Uzbekistan through a sustainable and energy efficient multimodal transport system. Phase 1 of the program will specifically support the upgrading of existing road infrastructure (M-41 road in southeast of Uzbekistan), and create conditions for further transport sector reforms by supporting several technical assessments.

A consulting service is being sought to support the Government of Uzbekistan for reconstruction and safety enhancement works on the M-41 road corridor and will require preparation of an environmental and social assessment, preparation of environmental and social instruments and relevant disclosures and public consultations to meet the World Bank's appraisal readiness. The assignment covers a period of *8 (eight) months, and is extendable, subject to performance and business needs. Further details of the project, scope of services, deliverables and qualifications are presented in the following sections.

I. Project Description

In Phase 1, the Project will invest in the Uzbekistan section of the existing highway road M-41 "Bishkek-Dushanbe-Termez" km 1444-1618 (174 km). M41 as an integral part of the Uzbek national highway system, forms part of the east-west transport corridor, allowing effective integration into the international transport system in the northern and north-western direction to the CIS countries (Tajikistan, Kyrgyzstan) and Europe, in the southwestern and southern direction - to the ports of the Persian Gulf and the Black Sea.

Surkhandarya region is located on the southern border of the Republic of Uzbekistan. The territory of the region is 20,800 square km. More than 2 million people live in the region. It borders with the Republic of Tajikistan, Afghanistan, Turkmenistan, and Kashkadarya region of Uzbekistan. Surkhandarya region was formed as an administrative unit on March 6, 1941. The city of Termez is the regional center of the Surkhandarya region and is surrounded by important archaeological sites, such as Fayaztepa, Kampyrtepa, Dalverzintepa, Karatepa, Ayrtam and others. The region is comprised of 14 districts and includes 9 large cities.

The climate of the region is sharply continental. The average temperature in July is +31.8 °C, in January - 0.4 °C. Precipitation falls mainly in the form of rain. The annual rainfall is 144.6 mm. The

prevailing wind direction is western and northeastern winds. The seismicity of the site is 8 points on the twelve-point Richter scale, the frequency of occurrence is 100 years. Most common fauna in the region are widespread and non-threatened species, but some threatened species are also present. Surkhandarya almost completely changed the natural landscape to the cultural one. Woody vegetation is represented along with native species of vegetation by acclimatized species from other regions.

The consultant is expected to work closely with the relevant sector agency (see below) and its departments, technical specialists, and engineers responsible for feasibility studies and detailed designs to deliver the outputs under the TOR. The consultants will also coordinate with the World Bank's task team to ensure that the deliverables meet the quality standards and timeliness as per the TOR. A summary of the project's implementation agency is presented in Section C, with further details to be provided following a contract award.

II. Implementing Agency

The M-41 road reconstruction will be coordinated by the State Committee of Automobile Roads (SCAR) SCAR will act as the project implementing agency (PIU) in charge of the day-to-day project implementation. Since 2015, SCAR implemented Uzbekistan Regional Roads Development project (P146334).

The current PIU has experience managing a World Bank financed project and is staffed by a director, component coordinators, and procurement and financial management specialists among others. In terms of E&S management, the capacity is outsourced to a consultancy agency, Itafact, which has been contracted to monitor E&S safeguards performance of the project. While the approach has proven successful and could partially be replicated, the E&S management capacity of the PIU is currently limited in terms of risk assessment and management. Given the risks of the project, the PIU will hire and train one environmental engineer/, one OHS specialist, one social/resettlement specialist and one community & gender specialist.

The consultants will be hired by November 2023 and will work under the supervision of the SCAR PIU and with technical guidance from the World Bank. Deliverables outlined in the TOR will be reviewed and endorsed by SCAR prior to submission to the World Bank and additional information, edits and analysis may be required prior to payment approvals for specific milestones as per-the deliverable schedule.

III. Environmental and Social Risk Rating

Based on the initial screening by the Bank, the tentative overall Environment and Social Risk Classification for the proposed project is rated as "High" with Social risk rate as "High" and Environmental risk rated as "Substantial". The field visit to the proposed site indicated that the proposed road reconstruction will likely generate impacts on densely populated settlements with high likelihood of physical resettlement and livelihoods impacts. Therefore, it may involve mitigation or management measures which are complex and beyond the direct control of the project. Based on the experience of implementation of projects in the country, the Government of Uzbekistan has limited ability to address compensations related to land expropriation, including rights and claims of informal users.

The major adverse social impacts would include: (i) loss of fertile agricultural land; (ii) loss of structures used for residential, commercial and other purposes and associated loss of livelihood i.e., loss of livelihood due to impacts on sources of earning; (iii) loss of other properties & assets; (iv) disruption of livelihood due

to clearing of RoW particularly, small shops, squatters & encroachers; (v) possibility of loss of graveyard, etc; (vi) restriction of movement for pedestrians and cyclists; (vii) likelihood of increased accidents due to road widening activities; (viii) possible risks related to Gender-based Violence/Sexual Exploitation and Abuse/Sexual Harassment (GBV/SEA/SH) arising from the influx of migrant labor and (ix) possibilities of forced and child labor issues etc. The engagement process will include public disclosure of information, & meaningful consultation with all stakeholders with special attention to the needs of the disadvantaged & vulnerable groups and women's participation in project activities. Potential impacts will be assessed in the Environmental and Social Impact Assessment (ESIA) and further to be updated based on detailed design at the project implementation stage.

Anticipated environmental risks are the following: (i) loss of vegetation, disturbances to biodiversity, soil erosion and degradation due to land clearance for carriageway (ii) soil and surface water pollution from construction works and operation of campsites (iii) dust and noise emissions from construction vehicles leading to impacts on water and air quality that could pose significant public health risks, (iv) generation of hazardous and non-hazardous waste (v) disturbance of water flows (vi) road traffic safety, and (vii) substandard working conditions and poor OHS discipline. These environmental risks and impacts are largely temporary, localized, and can be readily mitigated.

The expansion of the carriageway will affect a significant number of grown trees and bushes along the road. The N 5863 (2019) Decree of the President of Uzbekistan announced a moratorium on cutting down valuable species of trees and shrubs. In 2022, this moratorium was made termless. A list of 78 species of valuable trees and bushes was adopted by the Resolution of the Cabinet of Ministers that are subject for mandatory replanting in case of impact (1 to 1), while at least 50% of other species of trees and bushes are to be replanted or compensated by planting 10 times the n of the cut trees.

The ESIA should assess the impact on trees and propose adequate financial and technical provisions for trees inventory, removal, replanting and planting are to be factored into cost tab and guaranteed by the MPA program and the Government of Uzbekistan.

Since the anticipated environmental risk is substantial and social risk is high, the consultant shall ensure advanced disclosure in forms and modalities accessible to the broader audiences and public consultations of relevant documents, consisting of the ESIA, including the Environmental and Social Management Plan (ESMP) and the Stakeholder Engagement Plan (SEP). Relevant deliverables shall provide evidence of such disclosures and consultations to enable the project to proceed to appraisal by the World Bank.

IV. The World Bank's Environmental and Social Framework

The Project should comply with the World Bank's Environment and Social Framework 2018 (ESF – [link](#)). Under the ESF, all World Bank clients have agreed to comply with ten Environmental and Social Standards (ESS) in investment project lending financed by the Bank¹. The following ESSs are currently relevant to the proposed project: ESS 1) Assessment and Management of Environmental and Social Risks and Impacts; ESS 2) Labor & Working Conditions; ESS 3) Resource Efficiency and Pollution Prevention and Management; ESS 4) Community Health and Safety; ESS 5) Land Acquisition, Restrictions on Land Use and Involuntary Resettlement; ESS 6) Biodiversity Conservation and Sustainable Management of Living Natural

¹ The ten ESSs are: ESS 1) Assessment and Management of Environmental and Social Risks and Impacts; ESS 2) Labor & Working Conditions; ESS 3) Resource Efficiency and Pollution Prevention and Management; ESS 4) Community Health and Safety; ESS 5) Land Acquisition, Restrictions on Land Use and Involuntary Resettlement; ESS 6) Biodiversity Conservation and Sustainable Management of Living Natural Resources; ESS 7) Indigenous Peoples / Sub-Saharan African Historically Underserved Traditional Local Communities; ESS 8) Cultural Heritage; ESS 9) Financial Intermediaries; and ESS 10) Stakeholder Engagement and Information Disclosure. Detailed information on the ESF and ten ESSes can be found at <https://www.worldbank.org/en/projects-operations/environmental-and-social-framework>.

Resources, ESS 8) Cultural Heritage and 10) Stakeholder Engagement and Information Disclosure.

Analysis of potential risks and impacts and preparation of management plans will need to address relevant provisions under the above ESSs. In line with the ESS10, the proposed investments along with the risk assessment and management plans shall be publicly disclosed and consulted to project affected and interested stakeholders by the PIU in a way that it is easily accessible to these stakeholders and in a timely manner. A specific timeline for the delivery of the tasks is outlined in Section I.

Relevant ESSs for the Project:

The Consultant shall prepare the ESIA/ESMP in line with the World Bank's Environmental & Social Standards (ESS) and the Environmental, Health and Safety Guidelines. The Consultant will evaluate the project design to assess any potential environment and social risks and impacts arising from the project activities, in the context of their relevance to the following Environment and Social Standards:

ESS1: Assessment and Management of Environmental and Social Risks and Impacts

The ESIA will assess all risks and impacts related to standards relevant to the Project (ESS2, ESS3, ESS4, ESS5, ESS6, ESS8, and ESS10). The assessment will also cover issues of social protection and inclusion of the vulnerable groups; risks related to GBV and SEA/SH will be assessed and mitigated, based on guidance from the World Bank's Good Practice Note (GPN) on SEA and SH. As a basis for ESIA, baseline data on physical, biological, ecological, social and cultural, health and safety, etc. will be collected. Disadvantaged and vulnerable groups will need to be identified and consulted. All social issues, impacts and vulnerabilities will need to be analyzed using a gender lens to ensure that the ESIA captures gender differences in impacts and proposes mitigation measures as appropriate.

Cumulative impacts of other past, current, and future activities and development in the project area of influence will be covered in the ESIA following the IFC Good Practice Handbook on Cumulative Impact Assessment. The analysis of induced and indirect impacts of road improvement over the medium to long term will also be updated in the revised ESIA. In assessing E & S risks and impacts and management measures, reference would need to be made to the World Bank Group's General Environmental Health and Safety (ESHS) Guidelines and relevant Industry Sector Guidelines such as for Construction Materials Extraction and Toll Roads. The consultant should provide guidance/templates for sub-management plans such as Borrow material management plan, contractor's OHS plan, construction site traffic management plan, contractor's waste management plan, etc. The reference to the sub-management plans (in line with ESMP) will be included in the bidding documents.

ESS2: Labor and Working Conditions

The ESIA will assess labor risks and working conditions. With clarity on the type, quantum of work, and specific sites, the assessment will be able to bring out estimates on the labor requirements, their duration, and numbers at different stages of the project cycle. This assessment will include risk from project activities and key labor risks such as hazardous work, child labor and forced labor, migrant or seasonal workers, discrimination against women & other vulnerable groups, labor influx, occupational health and safety (OHS), possible accidents and emergencies, and risks of GBV among others. Contractors will be required to establish a grievance redress mechanism (GRM) for employees, including a separate GRM or channel for complaints related to GBV/SEA/SH. The ESMP will include an OHS Plan which will be used to inform the OHS requirements for contractors in the bid documents. OHS and risks around working conditions, are most pertinent to construction workers. Hence, dedicated management of labor related risks will be included in the project Labor Management Procedures (LMP) and ESMP.

ESS3: Resource Efficiency and Pollution Prevention and Management.

The ESIA will assess the project's impacts on resource use and efficiency and pollution and how the project could prevent and manage pollution. Specifically, the ESIA will assess risks and impacts and proposed mitigation measures related to relevant requirements of ESS 3, including water and energy use, and types of materials and their sourcing. Soil, water and air pollution, generation of hazardous and non-hazardous wastes/materials, their management and procedures for handling and disposing of material and waste. This will be included within the scope of site-specific ESIA and ESMPs. The materials will be sampled and tested and further classified either as hazardous waste, non-hazardous waste, or useful construction materials (e.g. sand and gravel). Based on WBG EHS guidelines, national legislation, and best practices, the Consultant will develop and implement relevant waste management plans, borrow pit management plans, etc. The ESMP should provide measures to optimize resource use and management of pollution. The Green House Gas (GHG) Emissions of the project should be assessed, and mitigation measures included in the ESMP to address impacts if any. ESIA will include measures to promote adherence to good construction practices and use of special mitigation techniques to avoid air, noise and water pollution, and measures to prevent excess use of water & energy.

ESS4: Community Health and safety

The ESIA will assess the risks and impacts of the project on health and safety of communities that are exposed to project activities in the main corridor of M-41, including, ancillary facilities (both temporary and permanent).

The road construction works may cause adverse health impacts on project workers & local communities including increased vehicle traffic and speeding, vibration impacts, exposure to hazardous materials & possible health risks; air & noise pollution; spillage & contamination of water courses, exacerbation of landslide hazard and prone areas; and GBV/SEA/SH risks and other possible security issues. These impacts will be assessed and mitigated in the ESIA in line with the requirement ESS 4, including preparation of a community health and safety plan, emergency management plan, traffic management plan, security management plan and measures to address GBV/SEA/SH issues. OHS standards will apply for the workers hired by the contractors and sub-contractors. In compliance with the standards, feasible universal access during M-41 works will be secured through the proposed pedestrian bridges and pedestrian walkway bridges. Waste management will include adequate mitigation and rehabilitation, as appropriate

ESS5: Land Acquisition, Restrictions on Land and Involuntary Resettlement

Apart from reconstruction of existing M41 road, the project will also include construction of truck parking facilities, charging stations and commercial & logistics facilities. These activities may require large scale land acquisition beyond the existing Right of Way (RoW). The ESIA will assess the quantum of land acquisition required for the corridor, including physical and economic displacement and any restrictions of access to local resources/common properties resulting from implementing the project. The ESIA should provide initial information on the number and types of project-affected people (PAPs) and propose measures to manage impacts following the mitigation hierarchy. Due care shall be warranted for potential land acquisition impacts on vulnerable groups as well as unintended impacts on land and land use due to poor construction practices, which could generate grievances. Apart from private land acquisition, at various locations, government land may be also encroached by squatters and there will be a likely impact on their livelihoods. While the location of the road is known, the specific scope of the civil works and other project activities that may involve land acquisition, restrictions on land use and involuntary resettlement have not been finalized.

For this reason, the project will prepare a Resettlement Policy Framework (RPF), which will provide guidance for managing the resettlement risks and impacts. Once the designs have been finalized, the project will prepare a Resettlement Action Plan (RAP), which will be disclosed and consulted prior to appraisal. Temporary impacts on land, land use and properties due to construction are expected to be addressed as part of site-specific ESMP.

ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources

Potential impacts on natural habitats and ecosystems will be thoroughly assessed during the project preparation as part of the ESIA study, and measures will be proposed to mitigate potential negative impacts. Based on the initial assessment the proposed intervention is expected to be mostly restricted to the existing road corridor and therefore impacts on natural habitats is expected to be limited to tree & bushes removals in quantities needed for the expansion of the road. The existing road and its envisaged bypasses are passing through converted landscapes and do not overlap with any protected areas (to be assessed). Other than that, there will be temporary disturbances to the biotope, especially during the construction period, and mitigation measures need to be addressed in the ESIA, for ex. safe passages. The ESIA should identify impacts and mitigation measures on biodiversity during: i) site clearance for construction purposes; ii) camp site construction; iii) material extraction from borrow-pits, and iv) earth works consisting of excavations and trenching. The ESIA should also include indirect impacts of the expansion of road on biodiversity. These mitigation measures should be part of ESMP, however, during detailed assessment Consultant should review potential identified risks against ESS 6 and include additional mitigation measures, if needed develop a standalone Biodiversity Management Plan (BMP) for significant impacts.

The studies will be conducted and consulted jointly with respective institutions, NGOs and/or other relevant stakeholders with interest and professional expertise in biodiversity. Based on the outcomes of the ESIA, where significant risks and adverse impacts on biodiversity have been identified, the Consultants' team will develop a Biodiversity Management Plan (BMP) as part of the ESMP. Significant impact on trees and bushes, as part of biodiversity, is expected as there is a significant number of grown trees and bushes along the road. The Consultant shall bear in mind the N 5863 (2019) Decree of the President of Uzbekistan on moratorium on cutting down valuable species of trees and shrubs. In 2022, this moratorium was made termless. A list of 78 species of valuable trees and bushes was adopted by the Resolution of the Cabinet of Ministers that are subject for mandatory replanting in case of impact (1 to 1), while at least 50% of other species of trees and bushes are to be replanted or compensated by planting 10 times the n of the cut trees.

Potential environmental and social risks and impacts associated with project impacts on natural habitats and ecosystems will be thoroughly assessed during the project preparation as part of the ESIA study, and measures will be proposed to mitigate potential negative impacts. The ESIA study will specifically include detailed biodiversity assessments along the corridor with a particular focus on potential impacts on trees. If the habitat assessment identifies any critical habitats, the ESIA should also evaluate the significance of the impacts on critical habitats and mitigation measures in line with ESS 6 principles. As the Project design progresses, the team will review potential identified activities against ESS 6 and include additional mitigation measures (including compensation), if needed.

ESS8: Cultural Heritage

While Project works are to be carried out within the existing road, this standard is deemed relevant because of the expansion works. Surkhandarya is home to important historical and natural monuments, such as ancient settlements that are situated in the vicinity of the road, like Dalverzintepa and Ismoiltepa, or an historical monument called by the local people "the bridge of Alexander the Great" although it's historical association is not proven. The proposed design of road expansion and bypasses already takes into account the proximity of such sites and is not expected to impact them directly. ESIA will include chance-find

procedures as a precautionary measure. Stakeholder engagement and consultations will incorporate discussions around presence and proximity of important historical sites, and Project's potential risk of indirect impact on these sites.

ESS10: Stakeholder Engagement and Information Disclosure

Stakeholder engagement informs both management of potential impacts and inclusion of measures to promote development benefits to the public, including road users and the communities along the road-corridor. Stakeholder engagement activities are expected to be carried out as early as the design stage to ensure concerns and feedback are systematically captured and addressed as part of the design. As the project is being prepared, the ESIA will include consultations with potentially affected parties, which will inform development of a project-level Stakeholder Engagement Plan (SEP). Key stakeholder groups include national and regional authorities, professional associations, non-government organizations and community groups. The SEP will focus on managing risks associated with reconstruction of M-41 and related activities and include a project-level GRM.

B. THE OBJECTIVE OF THE ASSIGNMENT

The objective of the assignment is to support preparation of the project's investments covering infrastructure activities and to assess potential risks and impacts that will need to be addressed during the design phase and throughout implementation. The environmental and social consultants shall work closely with the feasibility and design teams to ensure that potential risks and impacts will be mitigated as part of the engineering designs and alternative solutions can be pursued to avoid and/or minimize such risks and impacts.

The TOR consists of three parts, which will need to be prepared as specified in the deliverable section (Section I).

This Terms of Reference covers the preparation of relevant environment and social instruments for M-41 road reconstruction investment:

1. An Environmental and Social Impact Assessment (ESIA) which includes:
2. An Environmental and Social Management Plan (ESMP) that includes Labor Management Procedures for works, a Biodiversity Management Plan, and other environmental and social management plans and guidelines as applicable to address relevant risks and impacts associated with road upgrading works (i.e., traffic management plan, community health and safety plan, emergency response plan, etc.).
3. A Resettlement Action Plans (RAP) in anticipation of potential land acquisition based on Feasibility Studies and/or technical designs or a RPF if land acquisition impacts are not known.
4. A Stakeholder Engagement Plan (SEP) for the preparation (feasibility, designs) and implementation of infrastructure investments and related activities.
5. Labor Management Procedures (LMP)- The LMP will set out the way in which project workers engaged for reconstruction of M 41 will be managed in accordance with the requirements of national law and the ESS2.

The above instruments shall be clearly aligned with the expected stages and schedule for the preparation and implementation of infrastructure activities. Hence, the consultants shall work closely with relevant government departments, feasibility, and design teams.

Finalization of all relevant environmental and social assessments and instruments for the project shall address inputs and reviews from related government departments, World Bank and other stakeholders consulted. Final payments will be made once all instruments have been verified for their acceptability and received required clearances from SCAR and World Bank.

C. SCOPE OF ASSIGNMENTS

Assessment and Preparation of Environmental and Social Instruments M-41 road reconstruction

The consultants are expected to deliver the following, with further details on the scope of the assignment being elaborated in Section G:

- a. Conduct an **Environmental and Social Impact Assessment (ESIA)**, including a detailed **Environmental and Social Management Plan (ESMP)** for road upgrading works to be financed under the Program. The ESIA will include an ESMP that will provide measures to be taken during the project's pre-construction, construction, and operation phases addressing all relevant standards under the ESSs for the project. The ESIA/ESMP should include inter alia the contents included in ESS1 – Annex 1. Environmental and Social Assessment of the WB's ESF ("D. Indicative outline of ESIA" and "E. Indicative Outline of ESMP") which are available on WB's website². In preparing the ESIA, the Consultant shall carefully review E&S requirements of the Republic of Uzbekistan and WB ESSs and prepare an ESIA that complies with the requirements in a streamlined manner to avoid unnecessary repetition. An indicative outline of an ESIA is in Annex 1 of these ToRs; the ESMP outline is in Annex 2.
- b. Based on the outcomes of the ESIA, where significant risks and adverse impacts on biodiversity have been identified, the Consultant will develop a **Biodiversity Management Plan (BMP)** – please refer to the **Guidance Note for Borrowers on ESS6, Appendix A: Indicative Content of a BMP** (attached at the end of the ESMP outline in Annex 2).
- c. The Consultant will provide support to the Implementing Agency in government clearance process of the ESIA and in processing the necessary environmental permits (including a state environmental expertise, emission permits, etc.) for the Project.
- d. prepare a **Stakeholder Engagement Plan (SEP) for M-41** with the understanding that the M-41 SEP will be integrated into the overall Project SEP – a sample template for an SEP is in **Annex 3** (attached as a separate file); and
- e. prepare a **Resettlement Action Plan (RAP)** for the project; or, where project civil works and sites have not been finalized during preparation, a **Resettlement Policy Framework (RPF)**. A sample template for a RAP and RPF is in **Annex 4** (attached as a separate file).

²https://www.worldbank.org/en/projects-operations/environmental-and-social-framework/brief/environmental-and-social-standards?cq_ck=1522164538151#ess1

- f. Prepare **Labor Management Procedures (LMP)**. A sample template for an LMP is in **Annex 5** (attached as a separate file).
- g. Organize **public disclosure and public consultations** of the proposed road upgrading works along with the above environmental and social assessment and instruments. Official public disclosures of the assessment report and instruments shall be provided on the SCAR official websites and other regional government’s websites as applicable. The consultant shall also help SCAR in organizing public consultations to the project’s affected stakeholders and interested groups along the proposed road corridor.

The instruments will provide the decision makers with sufficient information to justify acceptance, modification or rejection of the designs and engineering measures being proposed for financing under M-41. Analysis of risks and impacts will inform “go and no-go” decisions of specific elements of the designs and routes as well as alternative measures to avoid and/or minimize potential risks and impacts.

The ESIA will address environmental and social risks and impacts associated with design, construction, and operation. It will be prepared, in parallel and consultation with the final design work, for the following planned infrastructure:

- Upgrading the 174 km long part of the M-41 road corridor, including associated road infrastructure.

The ESIA will also need to consider various potential site options for the ancillary facilities for the road upgrading works (if known) and provide an assessment of potential risks for each option to inform whether there are sensitive receptors that will need to be assessed for the following:

- i. Quarries, temporary detours, batching plants or other ancillary sights or facilities required in support of the above infrastructure; and
- ii. Potential sites for construction and labor camps (if known).

In coordination with the design and FS teams, the ESIA shall provide recommendations on possible options and/or alternatives with less impacts, including on aspects related to but not limited to i) sourcing of materials; ii) siting of ancillary facilities; iii) transportation routes (i.e., for goods and materials), etc.

Environmental & Social Screening will be done for –M-41 road corridor in the initial stages of the assessment to make a preliminary assessment of the E&S issues likely to be posed by the project interventions, keeping in mind the possible risks under the different E&S Standards (ESSs) and the specific requirements under the project. The exercise will help in spatially scoping the area over which the impacts need to be measured and assessed and will consider all crucial E&S features like wetlands, forest parks and natural reserves, other sensitive ecological/ biodiversity hotspots, human settlements, commercial resources etc.

The assignment consists of the following tasks:

- i. **Task 1 – Assessment of Relevant Legal, Policy, Regulatory, and Institutional Framework and Institutional Capacity to manage potential risks and impacts**

The Consultant will identify and briefly explain the relevant legal and regulatory frameworks that are applicable to the Project, namely:

- a. Description of national environmental legislation, institutional systems, and licensing requirements, as well as other necessary requirements for the preparation, implementation, and operation of the Project.

- b. Description of any specific and applicable local regulations and requirements relating to the road sectors and other pertinent sector/sub-sectors, and in respect of issues such as habitat alteration and fragmentation, stormwater, soil erosion, construction site waste generation, noise, air emissions, wastewater, potential hazardous materials and oil spills, labor and community health and safety.
- c. Examine the extent to which mitigation of environmental and social risks might be hindered by existing requirements or policy overlaps to strengthen the overview of the existing environmental management regimes and the extent to which these are applicable to this proposed undertaking.
- h. Identify international and national legal obligations social and environmental impacts in the transport and other Project related sectors and ascertain how these obligations relate and apply to the activities proposed/envisaged for the Project.
- i. Examine alignment with national and international strategies and plans including Nationally Determined Contributions (NDCs) and Sustainable Development Goals (SDGs).
- j. Review relevant World Bank policies and guidelines, identify compliance required in accordance with the ESF and identify any gaps between the relevant ESSs and national laws and regulations. Bank documents to be reviewed and complied with include:
 - Applicable ESSs (currently 1, 2, 3, 4, 5, 6, 8 and 10)
 - The World Bank Group Environmental Health and Safety Guidelines (EHSGs); and
 - Other applicable Good International Industry Practices (GIIPs) in the road sector.
- k. Describe mechanisms of Public Participation and Consultation to include information related to public consultation processes and citizen participation as requirements for the construction and operation of the Project in line with the national requirements and if there are gaps with the ESS 10. Since this project is tentatively classified as High Risk, provide an assessment of the country's legislation pertaining to public disclosures and consultations of ESIA and ESMPs (i.e., consultations of the Terms of Reference (ToR), consultations of the draft reports, etc.)

In addition to the legal framework assessment, the assignment also includes an assessment of the country system and institutional capacity within SCAR in the biodiversity management and management of Environmental, Social, Health and Safety (ESHS) risks and impacts in the transport sector, focusing on:

- a. Occupational Health and Safety (OHS), including labor and working conditions.
- b. Community Health and Safety, including prevention and management of Sexual Exploitation and Abuse/Sexual Harassment associated with major civil works.
- c. Prevention of child and forced labor.
- d. Grievance redress management and stakeholder engagement

The above assessment can reference previous practices in the management of ESHS based on previous projects' experiences and track-records in the country.

The consultants shall further elaborate the required approach for the assessments, detailing methodology(ies) used, tools, timeline, resourcing, stakeholder, and community engagement plans, etc. This information shall be presented at the inception workshop.

ii. Task 2 – Environment and Social Baseline Assessment

The consultants shall undertake a reconnaissance survey along the proposed corridors and collect relevant baseline information on the existing environmental and social conditions, including the host communities' level of acceptance to the proposed road upgrading works. The assessment shall focus on pertinent risks, including presence of sensitive receptors, that need to be systematically identified to inform mitigation measures. In collaboration with SCAR, the consultants shall consult with representatives of host communities, including relevant organizations and/or community associations that may have interest in the project.

1. **Analysis of Environmental and Socio-economic Baseline:** In the planning and scoping exercise, the Consultant is expected to conduct environmental and socio-economic baseline data collection required for the ESIA. This would include basic data regarding physical, biological, and sociological characteristics of the project areas, especially those related to locations and sensitivities of the conservation and protection areas along the project's sites and corridors. This includes biodiversity assessment along the M-41 corridor with a particular focus on potential project overlaps with critical habitats, protected areas, presence, and migration routes of endangered species. The studies shall be jointly conducted and consulted with relevant public organizations, NGOs and other respective stakeholders dealing with biodiversity conservation issues in the country. The baseline studies shall also focus on the borrow pits and disposal of wastes as well as the socio-economic data regarding ethnic groups, gender issues, and other social and health aspects should be presented. This task shall be carried out through a combination of various methods for desk reviews, field surveys, data collection, analysis, and assessment. The field tools would include various methods e.g., field surveys, instrument monitoring (if needed), focus group meetings, workshops, questionnaires, interviews, etc. The data collection and assessment should be carried out in a consultative and participatory manner, closely involving local communities and other concerned stakeholders.
2. **The baseline will include identification of the following environmental characteristics:**
 - a. A description of the current environmental conditions and characteristics of the area where the Project will be implemented. Any associated facilities related to the project should also be identified.
 - b. Water resources, including hydrology, surface runoff, groundwater, water quality.
 - c. Land physical characteristics and use (i.e., topography, soil characteristics, terrain stability, and susceptibility to erosion or landslip, existing land uses occurring at the proposed site, and existing surface characteristics of the surrounding area). Further, existing land uses occupying the surrounding area should be delineated; particularly for those land uses which would be sensitive to agricultural use, industrial development, or recreation and tourism.
 - d. Geology and soils-related information, with particular attention given to the presence of erodible soils and/or contaminated soils at the project area.
 - e. A thorough Biodiversity Assessment of the region in line with the national and international commitments and ESS6, including:
 - Habitats – identification of any natural or critical natural terrestrial or aquatic habitats. A discussion of relevant nearby National Parks, wildlife preserves, forests, wetlands, or protected areas will be included. If project area does not overlap with the above-mentioned habitats, this should be specifically mentioned.
 - Review of flora and fauna found on the project site and in the surrounding areas. This review should cover inventory of grown trees and bushes found along the M-41 corridor.

- Detailed discussion of potentially at-risk flora and fauna including endangered and red list species, both terrestrial and aquatic.
 - Field visits to include baseline samplings to confirm findings.
- f. Air quality, including:
- Meteorological data, particularly on prevailing wind direction and speed, rainfall, and temperature, climate including the current climate situation and climate change projections.
 - Existing ambient air quality, particularly dust loading and existing sources of gaseous air emissions in the local and extended area of the Project.
 - Conditions and identification of the main local emission sources affecting air quality (e.g., traffic and industries with multiple stacks).
- g. Cultural and historic monuments including sacred sites and areas where there is potential for archeological discoveries.
- h. Services and infrastructure (i.e., existing utility infrastructure including water supply, sewage, wastewater treatment works, solid waste management and disposal, power lines and transformer sub-stations, and existing capacity of and load on utilities infrastructure.
- i. Natural and Manmade hazards, if any (seismic faults, sink holes, flooding, wildfires, or legacy issues such as chemicals, or hazardous materials, etc.).
- j. Traffic flows and transport infrastructure aspects for construction.
- k. Description of prevailing waste management practices of the nearby communities.
- l. Noise levels, which should be relatively easy to measure at the nearest sensitive receptor locations, e.g., residential areas or schools near the proposed Project.
- m. Other worker or community safety issues that may be relevant to ESSs 2 and 4.
3. In addition to secondary data, primary data will need to be collected.
4. The baseline will include the following **social characteristics of the road corridor**:
- a. An overview of the existing social and cultural conditions should be provided to place the Project in context. The baseline information considered important for the ESMP should be presented. Baseline conditions should be presented, but not limited to, the following and they should be carried out through stakeholder consultations, as well as qualitative and quantitative surveys of affected communities and focus group discussions:
- People directly affected by the planned infrastructure, including business owners.
 - Public sector including local, oblast level, and national agencies.
 - Private sector interests particularly in trade, tourism, construction sectors etc.
- b. presence of sensitive receptors which due to their vulnerability may be impacted by the proposed road upgrading works. These include identification of vulnerable groups and/or people who could be impacted (i.e., people who may be physically displaced and/or suffer from income losses, people with disability whose mobility may be disrupted, people with health conditions who may be affected by construction works due to noise, air, and water pollution, etc.), public gathering spaces along the road corridors, public facilities such as schools, markets, and places of workshops, water springs, etc.

- c. An initial identification of any communities or households who may be impacted by land acquisitions and restrictions on land use because of civil works both permanently and temporarily. These include households and/or individuals who may be economically and/or physically displaced. Specific coordinates of their locations and a preliminary inventory of impacts shall be systematically recorded to enable identification of alternative options and inform development of RAP(s).
 - d. A general description and table of towns/communities surrounding the area, and their population and socio-economic characterization by age, gender, ethnicity, language, literacy/education, income, and occupations.
 - e. Potential availability of local workforce to provide more employment opportunities to them in the project activities, including an assessment of relevant skill availability for the road upgrading works and other relevant services. Identification of training providers in the localities where available.
 - f. Identification how the proposed road works will potentially affect the existing livelihoods and/or access to livelihoods (i.e., such as disruption of access to transports goods and materials, air and water pollution, etc.).
 - g. Land tenure status along the proposed corridors, including presence of private properties, formal and informal occupation on the government and/or state-owned, including whether there are land tenure conflicts and overlapping claims which need to be assessed and identified.
 - h. Presence of community organizations and their legitimacy to represent their constituents and their level of inclusiveness, particularly amongst vulnerable groups. Such identification shall inform the design of community-level engagement in the SEP.
 - i. Presence of cultural heritage both intangible and tangible and the host communities and other stakeholders' views of such heritage.
 - j. Prevalence of GBV/SEA/SH risks along the proposed corridor and mapping of local service providers for GBV (note: a separate guideline will be provided on the conduct of the GBV assessment)
 - k. Security risks, including presence of civilian conflicts, crimes, violence, insurgencies along the proposed corridor.
 - l. Access to basic healthcare, education (i.e., existing clinics/hospitals, capacity of healthcare system; existing schools'/training centers, transportation, and daycare facilities).
 - m. Host communities' perspectives, concerns, expectations, and overall acceptance of the proposed road upgrading works. This includes any identification of any issues based on stakeholders' feedback that may impede the delivery of the project's activities. This information shall be systematically documented for each community that will be affected by the project to inform the preparation of the SEP.
5. Conduct initial consultations with stakeholders and local communities (see Task 8 for consultations) on environmental and social issues. The consultations should explore stakeholders' perspectives, including any concerns and issues that may be experienced by these stakeholders as a result of the project's activities. The consultations shall also explore issues faced by vulnerable and marginalized groups. The consultants shall ensure that the proposed approaches of consultations with vulnerable groups incorporate relevant measures to promote accessibility, appropriateness, and safety of these groups to share their feedback, concerns, and views. While the consultations and engagement activities shall be recorded, proper consent shall be obtained from stakeholders whether their feedback and concerns can be shared broadly and whether any personal identifying data, such as names, photos, and personal data can be documented. The consultants shall maintain proper records of such consultations and ensure that

confidentiality is maintained. Only aggregate data shall be disclosed, and any personal identifying data shall not be included in any disclosed documents.

The above consultations and stakeholder engagement shall also describe the grievance redress mechanisms (GRM) established by the SCAR during project preparation. The consultations shall also seek stakeholders' view on their preferred channels for grievances and feedback to inform additional measures and/or adjustment to the project-level GRM.

iii. Task 3 – Analysis of Project Alternatives

Under this task, project alternatives, including 'without-project' alternative, will be analyzed for their technical, economic, financial, environmental, and social considerations. Through this analysis, justification and rationale of the selected alternative will be provided. This is to minimize adverse impacts on the local people, community, and their environment, particularly amongst vulnerable groups. Alternatives shall be compared in terms of potential environmental and social impacts; expected capital and recurrent costs for mitigation and/or management of impacts (including training and monitoring aspects), technical viability and public safety, economic and social benefits of each option, and social acceptability.

The Consultant will analyze potential alternatives including:

- a. Analysis of alternative alignment and engineering measures to avoid and/or minimize potential impacts (such as land acquisition impacts)
- b. Summary of analysis options and selection criteria carried out during feasibility stage based on the proposed design alternatives, the sites for access roads, construction camps, quarry sites, and other associated works (if known), etc.
- c. A summary of additional adjustments to design aspects to minimize environmental and social risks and impacts carried out during detailed design studies.
- d. Alternatives for construction techniques/timing, material, and technology selection.
- e. This analysis will also address the "without project" alternative - in terms of their potential environmental and social impacts.

The comparative analysis should address and quantify, where possible:

- f. the environmental and social impacts; the feasibility of impact mitigation.
- g. capital and recurrent costs of alternative mitigation measures; the suitability of options under local conditions; and
- h. related institutional, and training and monitoring requirements.
- i. potential trade-offs based on the project's scenarios (go and no-go)

The analysis should consider comparison work already undertaken for the feasibility and/or design stage and clearly identify any proposed change to the design, based on the minimization and mitigation of environmental and social risks. To the extent possible, the costs and benefits of each alternative should be costed, incorporating the estimated costs of any associated mitigating measures.

iv. Task 4 – Identification of Environmental and Social Risks, Impacts, and Mitigation

This task aims to assess in accordance with all relevant ESSs in terms of direct, indirect, and cumulative environmental and social risks and impacts of the project in the short-term and the long-term resulting from both construction and operation phases of the proposed project. Based on the baseline and preliminary design work/feasibility study, the Consultant will identify potential environmental and social risks and specific impacts for the construction, and operational phases of the planned infrastructure. Beyond environmental and social impacts and risks, the analysis should look at overall safety, health, effects on livelihoods, and waste management implications. This analysis should indicate the scale of impacts, whether the identified impacts are irreversible or reversible, permanent, or temporary, direct, or indirect, cumulative, large-scale, or local to project site and any associated facilities. Residual impacts that cannot be avoided or mitigated should be identified. Also, the analysis should address issues connected to climate change and climate variability. Potential scenarios and their impact on operation should be outlined and considered. Whenever possible describe impacts quantitatively, in terms of costs and benefits and assign economic values where possible.

Based on the ESIA undertaken by the Consultants' team, they shall prepare ESMP (as an integral part of ESIA), which will include mitigation, monitoring, and institutional measures to eliminate any adverse environmental and social impacts. The ESMP, prepared as per the requirements laid down under ESS1, would need to identify all material actions/measures to address potentially adverse impacts and will need to be consistent with the commitments spelt out in the E&S Commitment Plan (ESCP) of the project.

The ESIA and ESMP will list all proposed project activities (stage-wise), risks and impacts likely to directly or indirectly emerge as a result of those activities, measures required to mitigate risks, designation of responsible parties- both for planning/executing such mitigation measures as well as agencies for providing monitoring-supervision control over these measures during different project stages -pre-construction, construction, operational. For irreversible and unmitigated risks, the Consultants should recommend measures to offset them through compensatory mechanisms defined by the ESS and national legal framework.

The Consultant will also estimate the costs of all mitigation measures proposed including the institutional and capacity building requirements to implement them, apart from compensation to be paid to affected parties for unmitigated impacts. The ESIA would also include specific E&S Health and safety (ESHS) plan, such as those for development and management of quarries, borrow areas, construction camps, waste management, emergency response/ disaster management as well as labor management, apart from good industry practices. It would include the environmental and social supervision, monitoring and auditing requirements apart from the performance indicators, monitoring parameters, reference standards, monitoring method, frequency, duration, location, and reporting on progress and results during the project life cycle.

Construction stage risks, impacts, and mitigation measures should address issues specific to the Project, including, but not limited to, the following:

- a. Construction impacts such as noise, dust, air emissions (due to fugitive dust from earthworks, emission from operation of vehicle, equipment and plants). Waste and wastewater management.
- b. Water quality issues (groundwater and surface water). Construction or widening of roads increases the amount of impermeable surface area, which increases the rate of surface water runoff. High stormwater flow rates can lead to stream erosion and flooding. Stormwater may be contaminated with oil, and grease, metals.

- c. Disposal of soils from borrow pit and construction activities, crusher plant and spoils management. Spillage and handlings of chemical, industrial and hazardous materials. Cutting of trees for widening of road; land degradation from project induced changes.
- d. Habitat alteration and fragmentation. Construction activities along a road alignment may adversely affect wildlife habitats, depending on the characteristics of existing vegetation, topographic features, and waterways. Identification of any endangered or red list species that might be affected, proximity to protected areas or critical habitats, etc. (effects on birdlife and local fauna, including loss of nesting sites of listed rare, threatened, or endangered species and/or high biodiversity/sensitive habitat; disruption of watercourses; creation of barriers to wildlife movement; and visual and auditory disturbance due to the presence of machinery, construction workers, and associated equipment).
- e. Use of explosives and other hazardous materials.
- f. Traffic management and safety (people/construction traffic on and off-site).
- g. Raw materials (source of materials/demand on local supply).
- h. Land Acquisition, Restrictions on Land Use and Involuntary Resettlement (including temporary and permanent impacts) (The RAP is the primary instrument for managing these risks).
- i. Labor and working conditions, which are not limited to only the labor arrangements for the project implementing unit, but terms and working conditions, environmental, health and safety issues, etc. for any work camps established by the project, as well as contractors, sub-contractors' workers and primary suppliers (where applicable) (These would be set out in the LMP).
- j. Labor influx risks (i.e., incidental migration and settlement of a large number of people to the worksite; disruptions to local communities, employment opportunities and resources) and relevant mitigation measures, including identification of local workforces and skill availability.
- k. Occupational Health and Safety (OHS).
- l. Community Health and Safety.
- m. Disproportionate impacts on vulnerable and disadvantaged groups (including those at risk of non-inclusion in project benefits due to prejudice or discrimination).
- n. Need for security around construction sites due to existing and/or inherent security risks, such as military/civil conflict, violence, crimes.
- o. GBV, including SEA/SH.
- p. Risks associated with forced labor and child labor risks based on past records and the current contexts.
- q. Public health issues like COVID-19/ HIV/ dust/ noise and vibration/ solid waste and sanitation.
- r. Physical and economic displacement of persons/communities and potential land use restrictions affecting livelihoods of the communities along the road corridors (both permanent and temporary).
- s. Cultural/ historical/archaeological sites.
- t. Stakeholder/Citizen Engagement, including grievance management; and
- u. General description of employee/worker capacity and any skill shortages which require capacity-building.

In addition, the consultant will work closely with the engineering feasibility and/or design team to assess the potential impacts associated with the climate change and disaster risks and to analyze potential engineering design measures to incorporate climate adaptation and disaster risk management. For the latter, any special designs (e.g., drainage and pavement) for adapting to climate change (e.g., flooding, extremely heavy snow cover, extreme heat) considered during the design of this proposed project will be discussed and introduced in the ESIA. The ESIA team will work closely with design team to integrate relevant measures into the road design and document such measures in the ESIA to enable tracking and further technical follow-ups.

v. Task 5 - Environment and Social Management Plan (ESMP)

The Consultant is required to prepare an ESMP for the Project. Annex 2 contains a sample ESMP Table of Contents. The ESMP should include the following:

- a. Detailed description of all proposed environmental and social control and mitigation measures that are needed based on risks arising out of the Project.
- b. Measures to prevent, minimize, mitigate, or compensate for adverse ESHS impacts and promote access to the project's development benefits (i.e., climate resilient designs, universal access, disaster risk prevention, employment creation, etc.)
- c. Measures to enhance and improve the Project's ESHS performance at each stage of the project.
- d. The Biodiversity Specialist/Consultant will prepare a Biodiversity Management Plan (BMP) as part of the ESIA studies and incorporate main findings along with the proposed mitigation measures in the ESMP. Propose management practices to prevent and control impacts to identified terrestrial and/or aquatic habitats, including critical habitats, protected areas, if any and migration/passage routes of animals. In large part, the stand-alone BMP should propose management practices eligible under national legislation of Uzbekistan regarding removal, replanting of trees affected by the road expansion, planting of the new trees, and discuss measures of survival control for the replanted and new trees.
- e. Detailed description of a planned ESHS monitoring program for pre-construction, construction, operation and maintenance, and decommissioning phases.
- f. A management plan covering the transport, handling, storage, and disposal waste with separate provisions for hazardous waste, with associate management and reporting practices including preventive and contingency measures, in consultations with potential workers and communities (if applicable).
- g. Description of a proposed environmental, health and safety management system (including personnel, training, documentation, auditing, etc.).
- h. Description of planned worker health and safety plan, procedures, and controls.
- i. Emergency response procedures for construction and operations phases.
- j. Monitoring procedures that cover the following:
 - The key conditions that will be monitored and their criteria and reason for monitoring such as noise (low frequency, high frequency, and vibrations), dust (particulate matter), air emissions (NO₂, SO₂, CO, CO₂, H₂O %, metals, ozone etc.), wastewater (volume, suspended solids, pH, toxic substances, etc.), waste (solid waste and hazardous waste) and odor;

- The monitoring locations (air emission outlet: particulate matter, CO₂, NO₂, and SO₂; the property boundary: noise, odor, particulate matter, CO₂, NO₂, SO₂ and other relevant substances; outdoor storage areas for raw materials (dust fall from the areas), intervals and duration; and
 - Actions to be undertaken if the monitoring indicates a noncompliance condition or abnormality.
- k. Procedures for recording, addressing, monitoring, and reporting on grievances and complaints received.
 - l. Description of a plan/mechanism to receive and facilitate resolution of affected community concerns and grievances about the Project. Develop a mechanism for project-level grievance redress. The mechanisms should provide a user-friendly medium/process by which people affected by the project can bring their concerns.
 - m. Management of community health and safety, including measures to prevent and address GBV/SEA/SH risks due to the project's activities.
 - n. Description of a plan to protect, reduce, and manage the negative impacts on any sacred/archaeological and historic sites/monuments if applicable.
 - o. Public awareness, communication, and training programs for operational staff.
 - p. Indicators of compliance with licensing and approval requirements.
 - q. For each component listed above, the proposed time schedule (i.e., when initiated, when completed, and frequency), responsibility (i.e., who will implement), and the estimated cost should be provided (in USD); As appropriate, this information should also be provided for the individual actions within a component.
 - r. Capacity building needs assessment and training plans for both the project's implementation and operational stages.

The consultants will need to clearly indicate relevant roles and responsibilities for the implementation of the above measures. This includes relevant mitigation measures that fall under the responsibility of the civil work contractors to inform preparation of Management Strategies and Implementation Plans (MSIPs) to manage potential ESHS risks and impacts as part of their bids and Construction-ESMPs following contract awards.

The ESMP shall be updated once the detailed designs have been finalized and included as part of the bidding documents for work contracts and will be an obligation of the contractors to implement. It will provide mechanisms and institutional arrangement for implementing mitigation measures, conducting monitoring, reporting and capacity building programs.

vi. Task 6 – Prepare Labor Management Procedures (LMP)

Labor Management Procedures (LMP) represent an integral part of the ESMP. The LMP is to be presented as a section in the ESMP or as an annex. The procedures will set out the way in which project workers engaged for reconstruction of M 41 will be managed in accordance with the requirements of national law and the ESS2. The procedures will address the provisions of the national law and ESS2 apply to different categories of project workers required to perform the activities for M-41 upgrading works. The procedures shall address the following:

- a. Identification of project workers, including preliminary estimates based on the scope of works, potential risks associated with labor and working conditions, including OHS.

- b. A gap analysis between the provisions under the national law and ESS2 and project-level measures to address such gaps.
- c. Terms and Conditions of employment, covering workers' rights under national labor and employment law, including applicable collective agreements, hours of work, wages, overtime, compensation and benefits, contractual relationships with the employer(s), including termination.
- d. Provisions of non-discrimination and equal opportunity, covering fair treatment and principles of opportunity to all project workers with regards to employment relationship (i.e., recruitment and hiring, compensations, working conditions and terms of employment, access to training, job assignment, promotion, termination, disciplinary practices, etc.). The procedures shall also set out measures to prevent and address harassment, intimidation, and/or exploitation and appropriate measures of protection and assistance to address the vulnerabilities of project workers, including specific groups of workers, such as women, people with disabilities, migrant workers, etc.
- e. Workers' grievance redress mechanism(s) and alternative mechanism(s) as applicable. The grievance redress mechanism shall not impede access to other judicial or administrative remedies that may be available under the national law or through existing arbitration procedures or substitute for grievance mechanisms provided through collective agreements.
- f. Provisions of minimum age of project workers. The project established that the minimum age for workers shall be at a minimum 18 years of age. An age verification mechanism shall be developed by contractors and sub-contractors engaged to perform works under Component 1 and will be verified by supervision engineer(s).
- g. Prevention and prohibition of forced labor, which includes any kind of involuntary or compulsory labor, such as indentured labor, bonded labor, or similar labor-contracting arrangements. No trafficked persons shall be employed in connection with the project.
- h. Measures relating to OHS, taking into account general and industry specific WBG Environmental, Health, Social and Guidelines (ESHGs) and GIIPs. The procedures include a system for regular review of OHS performance and working environments, including identification of safety and health hazards and risks and implementation of effective methods for responding to identified hazards and risks, setting priorities for action and evaluation.

The LMP shall identify mechanisms to ensure application of the above procedures and their enforcement on sub-contractors (where relevant measures shall be specified in Construction-ESMP) and primary supply workers where applicable. A template for an LMP can be referenced in **Annex 5**.

vii. Task 7 – Prepare a Stakeholder Engagement Plan (SEP)

A phased Stakeholder Engagement Plan shall be prepared. At the inception phase, the consultants shall prepare a preliminary Stakeholder Engagement Plan (SEP) for the purpose of the assessment and stakeholder engagement to deliver the outputs of the TOR. The SEP should be clear and concise and focus on describing key activities and identifying its stakeholders. This preliminary SEP shall be provided to the SCAR at the inception for their approval. The SEP shall incorporate engagement measures for vulnerable groups, tailored to their needs, and availability.

Based on stakeholder engagement and consultations, including with the host communities, the consultants shall prepare an SEP to support implementation of road upgrading works, focusing on key engagement activities to mitigate potential risks and impacts and promote social license to operate and overall project's benefits. The SEP shall:

- a. be prepared based on the feedback and concerns received by the stakeholders, including the host communities.
- b. Identify relevant stakeholder groups who may be impacted, who have interest to the project's activities and who are vulnerable due to the impacts caused by the project and propose engagement approaches suitable to these groups based on stakeholders' feedback.
- c. capture common concerns associated by the proposed project and incorporate recommendations on public messaging and communication during project preparation and implementation.
- d. identify what information will be in the public domain, in what languages, and where it will be located.
- e. explain the opportunities for public consultation, provide a deadline for comments, and explain how people will be notified of new information or opportunities for comment.
- f. explain how comments will be assessed and considered.
- g. describe the project's grievance mechanism and how to access this mechanism. The SEP should also commit to releasing routine information on the project's environmental and social performance, including opportunities for consultation and how grievances will be managed.
- h. describe roles and responsibilities, resource requirements and relevant indicators to be monitored.

The SEP will be a living document and will be updated from time-to-time based on how the project implementation evolves and emerging risks. If there are changes in the design and/or unforeseen risks, the SEP will be updated accordingly and re-disclosed and publicly consulted.

A template for the SEP is appended as a standalone document (Annex 3).

viii. Task 8 – Prepare a Resettlement Action Plan (RAP)

The proposed road upgrading works may involve land acquisition for road widening and/or re-routing as well as acquisition of additional land for supporting facilities. Since the detailed designs may not be available prior to the deployment to the field, the consultants shall provide a preliminary identification of such impacts based on information available with the client and prepare a preliminary RAP for sections where land acquisition and resettlement may be envisaged; if civil works and sites are not finalized during project preparation, then a Resettlement Policy Framework shall be prepared. To prepare the RAP, the consultants shall use the preliminary data of people and businesses affected by land acquisition and develop an inventory of losses and indicative valuation and livelihoods assistance support in line with the ESS5 provisions.

The RAP shall incorporate:

- a. preliminary identification of land acquisition and its impacts, including physical and economic displacement and identification of livelihoods impacts.
- b. An assessment of the country's legal framework and relevant gaps against the ESS5 and project-level gap filling measures.
- c. Implementation schedules of the various elements of the project and timeline for land acquisition and resettlement program, including any livelihoods support where applicable.
- d. Implementation of a stakeholder engagement for the RAP, including establishment of a cut-off date.
- e. Conduct census and socio-economic surveys of the project-affected households and prepare an inventory of impacts and losses. The RAP shall include a plan for the registration of affected assets

and identification of affected persons, including updating of household demographic and socio-economic information collected as part of the environmental and social baseline.

- f. Establishment of a resettlement data management system for the recording and management of data.
- g. An Entitlement matrix in line with ESS5 principles and identification of compensation, relocation and livelihood restoration plans for project affected people.
- h. Mitigation measures to address impacts on communal natural resources, services/facilities, restrictions on land use, impacts on cultural heritage (where applicable).
- i. Institutional arrangements, detailing roles and responsibilities
- j. Indicative budget allocation and resource requirement
- k. RAP monitoring and evaluation program
- l. Grievance redress mechanism.

The preparation of the RAP should be done in close collaboration with the technical teams preparing the feasibility and designs of the road upgrading works to ensure an accurate assessment on land acquisition impacts based on the proposed design. The RAP preparation may be staged and/or sequenced based on design readiness. A suggested outline for a RAP and RPF is appended as a standalone document in **Annex 4**. An indicative list of project-affected people will be provided following contract award.

ix. Task 9 – Prepare a Gender Action Plan

Preparation of a gender action plan shall start with preliminary diagnostics analyzing gender socio-cultural and religious norms and practices between women and men, gender gaps in terms of access of employment, barriers to entry particularly in the construction sector and supporting value chains, societal and own perceptions, and attitudes towards employment of women, identification of entry points and opportunities, as well as participation in decision making and relevant project-level processes. The analysis may also investigate potential trade-offs for lack of women's participation and areas where women can bring value additions in a male-dominated sector. Based on understanding of local contexts and stakeholders' views, the consultants shall prepare a gender action plan which covers a strategy to foster women's participation and access to benefits under Component 1, measures to reduce entry barriers, including any affirmative actions if required, required resourcing and how these measures can be operationalized in the project's context.

The Gender Action plan will also include assessment of GBV/SEA/SH related risks, mapping of GBV service providers in the project area measures suggested for mitigation of any instances of GBV in the project area and a separate GRM to handle any complaints related to GBV/SEA and SH.

x. Task 10 – Facilitate Disclosures and Public Consultations (including some limited logistical support, as agreed with SCAR)

The ESIA/ESMP, BMP, RAP, Gender Action Plan and SEP and relevant information dissemination materials accessible to the community will be developed in close consultation with project stakeholders and disclosed in draft and final form. The ESMP is to include a section that provides an overview and link to the project's Stakeholder Engagement Plan in accordance with the requirements of the Republic of Uzbekistan and the World Bank ESS 10 (Stakeholder Engagement and Information Disclosure) to promote meaningful, effective consultations during project implementation, including identification of milestones for consultations, information disclosure, and periodic reporting on progress on project implementation and issues of concern

to project stakeholders. The plan should also include a description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance.

1. The Consultant will conduct a stakeholder analysis that outlines the affected and interested parties, explains the methodology for their identification (ideally with a rating system/matrix for how strongly they are impacted or how strong their interest in the project is).
2. The Consultant will coordinate with the institution in charge of implementing the operation and with the corresponding local institutions the most appropriate consultation mechanism, taking into account national regulations, the local context and existing social standards for these cases.
3. In addition, the Consultant must ensure the participation of women as well as marginalized and vulnerable groups during the consultation process. Vulnerable groups considered under the assignment include the elderly, people with disability, children, poor households, etc. Other groups can be included based on context-specific circumstances.
4. In addition, the consultant will comply with national rules and regulations that apply to the consultation process.
5. Once the outputs have been consulted on and are acceptable to the Client and the Bank, they will be publicly disclosed on both the Client and World Bank websites.

The consultants shall organize the above consultations, including required logistics. Budget for these consultations, including required logistics shall be included in the proposals. Additional measures to promote inclusion of vulnerable groups, including separate consultations, establishment of a safe space, translation of materials and provisions of communication aids (i.e., sign language, translation to local languages, visuals, etc.), shall be considered in the proposal.

A workplan for future public consultations shall be reviewed by SCAR and World Bank.

1. Preparation of a project-level Environmental and Social Commitment Plan (ESCP) outlining key actions to prevent, minimize and mitigate potential environmental and social risks and impacts and measures to promote development benefits in line with the instruments and plans prepared. A template for an ESCP can be referenced in **Annex 6**.
2. Facilitation to the government on critical tasks including disclosure, public dissemination and public consultations of the project and corresponding environmental and social assessment(s) and instruments.
3. Logistical support for the above. This includes venues, transportation to participants, preparation of public consultation materials and supporting materials, documentation, etc.

D. ENVIRONMENTAL AND SOCIAL ASSESSMENT APPROACH

At the inception stage, the consultants are required to prepare a methodology and tools for data collection, stakeholder consultations, and relevant materials, including a Grievance Redress Mechanism (GRM) for stakeholders who may raise questions and/or concerns with the proposed road upgrading works.

For the social aspects, the methodology shall ensure the following:

- Adequate consultations with communities and/or groups potentially affected take place during the assessment period, focusing on communities residing along the road corridors. In consultations with the feasibility and design teams, the consultants shall also indicate potential footprints for ancillary facilities, particularly quarries and borrow-pit areas (if known) and consult with stakeholders that could be potentially affected by the sourcing of materials in these sites. Consultation approaches may take in the form of focus group discussions, in-depth interviews, and immersion in the community where possible and appropriate.
- Differentiated measures will need to be demonstrated to ensure inclusion of vulnerable groups, including but not limited to women, people with disability, children, the elderly, poor households, people with health comorbidities so that their views are considered. The consultants may outsource engagement with these groups with local organizations and/or entities with the right skills, competency, and experience to ensure safety, confidentiality and respect are honored.
- Selection of respondents for the baseline assessments shall ensure representativeness of the samples and their distribution along geographical, demographic, and socio-economic indicators.
- A reconnaissance survey along the proposed road corridors shall be performed and identification of sensitive receptors including people who will be impacted by involuntary land acquisition is systematically recorded (with proper coordinates). The consultants shall indicate the potential inventory of losses to enable indicative calculation of compensation payments and livelihoods impacts.
- A GIS database of land parcels and assets that could be potentially impacted based on the proposed designs to inform the scope of the RAP.

In addition, the consultants shall sign Codes of Conduct on respectful behavior prior to deployment to the field. The Codes of Conduct will be provided by the PIU upon contract signing.

E. DELIVERABLES AND SCHEDULE

It is anticipated that the Consultant should complete the work over a maximum duration of 8 (eight) months/days. All deliverables shall be provided in English with executive summaries in both English and official language of Uzbekistan (Uzbek). Dissemination materials shall be translated to local languages.

The expected outputs of this assignment are as suggested in the following schedule:

No	Deliverables	Timeline	Remarks
1	An inception report covering a workplan for all tasks in the ToR, including i) survey tools and assessment instruments, ii) assessment methodology, iii) stakeholder engagement plan for the assessment and initial consultations, iv) resourcing, including hiring of community liaisons, etc.	One month following contract signing	A workshop maybe organized by SCAR
2	Presentation of main findings of the ESIA and stakeholders' feedback and concerns, including those coming from potentially affected communities (partially addressing tasks 1, 2, 3 and 4 of the ToR)	One month following inception	A workshop shall be organized by the consultants to present the findings to relevant stakeholders

3	Interim draft ESIA and ESMP capturing critical risks and impacts and their proposed management and stakeholders' concerns with respect to the proposed works (addressing tasks 1, 2, 3, 4, and 5 of the TOR)	Two months following inception	As above
4	Draft RAP of the proposed corridor based on the proposed designs and recommendations of alternatives (if applicable) – addressing Task 8 of the ToR.	Three months following inception	A workshop shall be organized by the consultants and shall involve relevant government authorities in charge of land acquisitions and design teams,
5	Complete draft ESIA, ESMP, LMP, SEP, RAP, and gender action plan (improved versions, based on inputs provided during previous workshops and offline reviews (addressing tasks 1, 2, 3, 4, 5, 6, 7, 8, 9)	Five months following inception	
6	Draft ESCP (addressing deliverables under the ToR).		
7	Disclosure and public consultations of draft ESIA, ESMP, LMP, SEP, RAP, gender action plan, and ESCP. This includes relevant consultations and engagement at the community level on dissemination of findings and proposed mitigation measures (addressing Task 10 of the ToR)	Six month following inception	A series of workshops shall be organized by the consultant teams both at the national and regional, as well as community levels. Fit-for-purpose approaches shall be exercised for the disclosures, information dissemination and consultations.
8	Revisions of ESIA, ESMP, LMP, SEP, RAP, ESCP, gender action plan based on feedback gathered during public consultations and reviews by SCAR and the World Bank.	Seven month following inception	

Payment schedules will be divided into several tranches, as follows:

Milestone	Deliverables	Tranche
Submission of an inception report: 25 percent of the contract value	1	25 percent
Interim draft ESIA and ESMP	2 & 3	15 percent
Draft RAP	4	15 percent
Complete draft ESIA, ESMP, RAP, LMP, SEP, ESCP, Gender Action Plan	5 & 6	25 percent
Finalized and disclosed draft ESIA, ESMP, RAP, LMP, SEP, ESCP, Gender Action Plan	7 & 8	20 percent

F. RESOURCES AND QUALIFICATIONS FOR THE ASSIGNMENTS

The Consultant team shall include professionals covering all relevant skills and experience (at least 10 years), including experience in similar projects, required to carry out the described tasks. The selected team shall have knowledge of the current national environmental legislation and procedures as well as the World Bank ESIA requirements, including experience on organizing public consultations. The team will include the following experts:

- a. **Team leader (environment international - full time):** master's degree in Natural Sciences /Engineering (or higher); a minimum fifteen to twenty (15-20) years of working experience in the relevant field; extensive experience in environmental management aspects related to transport sector, road safety/traffic management and infrastructure; a minimum two similar project leader assignments; ability to communicate in English (both written and oral) and experience in Central Asia is strongly desired.
- b. **Co-team leader (social international - full time):** master's degree in social sciences; a minimum ten (10) years of working experience in some of the following fields: land acquisition and resettlement, community health and safety, gender, and Gender-based Violence prevention and response; stakeholder and community engagement, addressing vulnerabilities, etc.; a minimum two similar project leader assignments; and experience in Central Asia is strongly desired, ability to communicate in English (both written and oral), understanding of Central Asian languages is desirable.
- c. **Environmental specialist (full time):** master's degree (or higher) in environmental science, environmental engineering, environmental planning, or other related disciplines; at least 10 years of experience on environmental and social impact assessment and/or environmental management aspects of development projects including transport infrastructure; experience of preparing ESIA's and ESMPs, Occupational Health and Safety (OHS), including for two or more World Bank or other donor/IFI funded projects; knowledge of the World Bank's ESF is essential; and experience in Central Asia, in particular in Uzbekistan, is strongly desired.
- d. **Biodiversity specialist (full time):** master's degree in botany, wildlife protection, or related field with ten (10) years' specific experience in similar assignment and – participation in similar role in at least two multi-lateral funded projects in the last 5 years including World Bank.
- e. **Social development and resettlement specialist (local – full time):** Master's degree (or higher) in social science, land management or other related disciplines; at least 5 years of experience on social impact assessment, land acquisition and resettlement including experience in preparing RAPs for international financiers, experience in GIS and cadaster mapping; familiarity with land acquisition procedures in Uzbekistan and the World Bank ESF standards or safeguards, safeguards policy OP 4.12 on Involuntary Resettlement, experience in social development, including social inclusion and gender in Central Asia is strongly desired.
- f. **Stakeholder engagement and community liaison officer (local – full time):** A bachelor's degree in social and environmental sciences with relevant professional experiences in community engagement, and outreach. Experience in stakeholder engagement in major construction works is highly desirable. Familiarity with the project's footprints and communities along the road corridors is required. Ability to speak local languages is required.
- g. **Supporting team (local – both full and part time based on needs):** A team of specialists on resettlement/surveyors, valuation specialists/officers, labor, gender, social inclusion, stakeholder engagement, GIS, community health and safety, field data collection collector and enumerators and outreach personnel.

Diversity in the team's composition is highly encouraged, including representation of women, specialists from local areas.

The Consultant shall comprise of experts with technical profiles as identified in these Terms of Reference. The profiles for the Consultant's team for key/non-key staff must indicate whether Consultants are regarded as long term /short term, international/local and senior/junior, together with the fee rate for each named individual, or category for unnamed non-key staff.

For the purposes of this contract, international experts are considered to be those whose permanent residence is outside the beneficiary country (Uzbekistan) while local experts are considered to be those whose permanent residence is in the beneficiary countries.

The Consultant shall pay attention to the need to ensure the active participation of local professional skills where available, and a suitable mix of international and local staff in the project teams. All experts must be independent and free from conflicts of interest in the responsibilities accorded to them.

The selection procedures used by the Consultant to select the experts shall be transparent and shall be based on pre-defined criteria, including professional qualifications, language skills and work experience.

The selection of experts shall be subject to approval by the Client. Civil servants and other staff of the public administration of the beneficiary country cannot be recruited as experts. All the experts shall be fluent in English, for international experts, knowledge of Uzbek and/or Russian languages are preferable.

ANNEX 1: ESIA INDICATIVE OUTLINE

Where an environmental and social impact assessment is prepared as part of the environmental and social assessment, it will include the following:

Executive Summary

Concisely discusses significant findings and recommended actions (both in English and local languages)

1. Project Description

- Concisely describes the proposed project and its geographic, environmental, social, and temporal context, including any offsite investments that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well as the project's primary suppliers.
- Through consideration of the details of the project, indicates the need for any plan to meet the requirements of ESS1 through 10.
- Includes a map of sufficient detail, showing the project site and the area that may be affected by the project's direct, indirect, and cumulative impacts.
- Implementation agency and institutional arrangements.

2. Legal and Institutional Framework applicable to the Project

- Analyzes the legal and institutional framework for the project, within which the environmental and social assessment is carried out, including the issues set out in ESS1, paragraph 26.
- Compares the national environmental and social legal and institutional framework and the ESSs and identifies the gaps between them.
 - ✓ Applicable requirements under the Environment and Social Standards (ESS 1, 2, 3, 4, 5, 6, 8 and 10).
 - ✓ World Bank Group Environment Health and Safety Guidelines (EHSGs) and other relevant GIIPs.
 - ✓ International obligations and treaties
 - ✓ Institutional capabilities (including implementation) relating to environment and social issues.

3. Environmental and Social Baseline Data

- Sets out in detail the baseline data that is relevant to decisions about project location, design, operation, or mitigation measures. This should include a discussion of the accuracy, reliability, and sources of the data as well as information about dates surrounding project identification, planning and implementation.
- Identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions.
- Based on current information, assesses the scope of the area to be studied and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences.

- Takes into account current and proposed development activities within the project area but not directly connected to the project.
- The baseline shall respond to the scope of the tasks as outlined in the ToR, covering both the environment and social parameters to inform risks and how they should be managed.

4. Analysis of Potential Environmental and Social Risks and Impacts

- The analysis shall consider all relevant environmental and social risks and impacts of the project. This will include the environmental and social risks and impacts specifically identified in relevant ESSs, and any other environmental and social risks and impacts arising because of the specific nature and context of the project, including the risks and impacts identified in ESS1 as well as associated facilities under the World Bank's ESF. The assessment shall prioritize direct impacts associated with the project's activities and provide practical recommendations to address indirect and cumulative impacts that may be induced by the project's activities.
- Specific areas of concerns include: i) Impacts on the physical environment, air, water, soils; ii) Impacts on flora and fauna; iii) Impacts on land use and potential physical and economic displacement; iv) labor and working conditions, including OHS; v) Community Health and Safety, including SEA/SH; vi) impacts on cultural heritage (if any); vii) potential climate impacts and disaster risks related to the project.

5. Mitigation Measures

- Identifies mitigation measures and significant residual negative impacts that cannot be mitigated and, to the extent possible, assesses the acceptability of those residual negative impacts.
- Identifies differentiated measures so that adverse impacts do not fall disproportionately on the disadvantaged or vulnerable.
- Assesses the feasibility of mitigating the environmental and social impacts; the capital and recurrent costs of proposed mitigation measures, and their suitability under local conditions; and the institutional, training, and monitoring requirements for the proposed mitigation measures.
- Specifies issues that do not require further attention, providing the basis for this determination.
 - ✓ Pre-Construction
 - ✓ Construction
 - ✓ Operations
 - ✓ Decommissioning
 - ✓ Summary of Project Consultations and Grievance Mechanism

6. Analysis of alternatives

- Systematically compares feasible alternatives to the proposed project site, technology, design, and operation—including the “without project” situation—in terms of their potential environmental and social impacts.
- Assesses the alternatives' feasibility of mitigating the environmental and social impacts; the capital and recurrent costs of alternative mitigation measures, and their suitability under local conditions; and the institutional, training, and monitoring requirements for the alternative mitigation measures.

- For each of the alternatives, quantifies the environmental and social impacts to the extent possible, and attaches economic values where feasible.

7. Design Measures

- Sets out the basis for selecting the particular project design proposed and specifies the applicable ESHGs or if the ESHGs are determined to be inapplicable, justifies recommended emission levels and approaches to pollution prevention and abatement that are consistent with GIIP.

8. Key Measures and Actions for the Environmental and Social Commitment Plan (ESCP)

- Summarizes key measures and actions and the timeframe required for the project to meet the requirements of the ESSs. This will be used in developing the Environmental and Social Commitment Plan (ESCP).

9. Stakeholder Engagement and Public Consultation (SEP under Component 1)

- Stakeholder Engagement
- Disclosure
- Consultation: Reporting and Results of Project Consultations with Stakeholders
- Reporting and Results of Project Consultations with stakeholders
- Grievance Redress Mechanism

ANNEXES for ESIA

- List of the individuals or organizations that prepared or contributed to the environmental and social assessment.
- References—setting out the written materials both published and unpublished, that have been used.
- Record of meetings, consultations, and surveys with stakeholders, including those with affected people and other interested parties. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected people and other interested parties.
- Tables presenting the relevant data referred to or summarized in the main text.
- List of associated reports or plans.

Annex 1 – Environmental and Social Management Plan (ESMP Matrix should include responsibility and costs):

Construction

Operations

Decommissioning

Annex 2 – Minutes and Participant List from Public Consultation(s)

Annex 3 – Additional Photographs and Detailed GIS Maps

Annex 4: The names of firm (s) and staff that prepared the ESIA/ESMP reports

ANNEX 2: Indicative Outline of an ESMP

Indicative outline of ESMP in accordance with the World Bank ESF pages 26-27

An ESMP consists of the set of mitigation, monitoring, and institutional measures to be taken during implementation and operation of a project to eliminate adverse environmental and social risks and impacts, offset them, or reduce them to acceptable levels. The ESMP also includes the measures and actions needed to implement these measures. The borrower will (a) identify the set of responses to potentially adverse impacts; (b) determine requirements for ensuring that those responses are made effectively and in a timely manner; and (c) describe the means for meeting those requirements.

The content of the ESMP will include the following:

(a) Mitigation Measures

The ESMP identifies measures and actions in accordance with the mitigation hierarchy that reduce potentially adverse environmental and social impacts to acceptable levels the plan will include compensatory measures, if applicable.

Specifically, the ESMP

- ✓ identifies and summarizes all anticipated adverse environmental and social impacts (including those involving indigenous people or involuntary resettlement);
- ✓ describes—with technical details—each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate.
- ✓ estimates any potential environmental and social impacts of these measures; and
- ✓ considers, and is consistent with, other mitigation plans required for the project (e.g., for involuntary resettlement, indigenous peoples, or cultural heritage).

(b) Monitoring

The ESMP identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides:

- ✓ a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and
- ✓ monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

(c) Institutional Arrangements

Covering roles and responsibilities, coordination and reporting, oversight, use of third-party audit if needed.

(d) Capacity Development and Training

- ✓ To support timely and effective implementation of environmental and social project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level.

- ✓ Specifically, the ESMP provides a specific description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures (e.g., for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training).
- ✓ To strengthen environmental and social management capability in the agencies responsible for implementation, the ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.

(d) Implementation Schedule and Cost Estimates

For all three aspects (mitigation, monitoring and capacity development), the ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures are also integrated into the total project cost tables.

(e) Integration of ESMP with Project

Environmental and Social Management Plan format provided in a **Form below**. It represents a model for development of an ESMP. The model divides the project cycle into three phases: construction, operation and decommissioning. For each phase, the preparation team identifies any significant environmental impacts that are anticipated based on the analysis done in the context of preparing an environmental assessment. For each impact, mitigation measures are to be identified and listed. Estimates are made of the cost of mitigation actions broken down by estimates for installation (investment cost) and operation (recurrent cost). The ESMP format also provides for the identification of institutional responsibilities for "installation" and operation of mitigation devices and methods. To keep track of the requirements, responsibilities, and costs for monitoring the implementation of environmental mitigation identified in the analysis included in an environmental assessment a monitoring plan is necessary.

A **Monitoring Plan format** is also provided. The key elements of the matrix are:

- What is being monitored?
- Where is monitoring done?
- How is the parameter to be monitored to ensure meaningful comparisons?
- When or how frequently is monitoring necessary or most effective?
- Why is the parameter being monitored (what does it tell us about environmental impact)?

In addition to these questions, it is necessary to identify the costs associated with monitoring and the institutional responsibilities. When a monitoring plan is developed and put in place in the context of project implementation, the PMU will request reports at appropriate intervals and include the findings in its periodic reporting to the World Bank and make the findings available to Bank staff during supervision missions.

The Consultant will be required to summarize the ESMP in accordance with the following matrix:

Environmental and Social Management Plan (ESMP matrix)

Construction Phase					
Activity	Expected Environmental Impact	Proposed Measure for Mitigation	Responsibility for Implementing Mitigation Measure	Period of Implementing Mitigation Measure	Cost estimate
1.					
2.					
...					
Operation Phase					
1.					
2.					
...					
Decommissioning					
1.					

Monitoring Plan

Construction Phase				
What	Where	How	When	By Whom
<i>parameter is to be monitored?</i>	<i>is the parameter to be monitored?</i>	<i>is the parameter to be monitored (what should be measured and how)?</i>	<i>is the parameter to be monitored (timing and frequency)?</i>	<i>is the parameter to be monitored (responsibility)?</i>
1.				
2.				
...				
Operation Phase				
1.				
2.				
...				

Indicative Content for a Biodiversity Management Plan

- (a) Objectives: Based on the findings of the biodiversity baseline and recommendations of the environmental and social assessment or similar document(s). These might include, for example, No Net Loss or Net Gain.
- (b) Activities to be carried out, along with any specific project requirements needed to achieve the intended BMP objectives. BMP activities may include, for example, new or expanded protected areas; site-specific habitat restoration, enhancement, or improved management; community benefit-sharing; livelihood restoration activities (to mitigate any negative socioeconomic impacts from newly restricted access to natural resources, in accordance with ESS5); species specific management interventions; monitoring of project implementation or biodiversity outcomes; or support for increased financial sustainability of conservation actions.
- (c) Project Requirements that the implementing entities follow to achieve BMP objectives, such as biodiversity-related prohibitions or specific restrictions for civil works contractors and project workers. These may cover, for example, the clearing or burning of natural vegetation; off-road driving; hunting and fishing; wildlife capture and plant collection; purchase of bushmeat or other wildlife products; free-roaming pets (which can harm or conflict with wildlife); and/or firearms possession. Seasonal or time-of-day restrictions may also be needed to minimize adverse biodiversity impacts during construction or operation. Examples include (i) limiting blasting or other noisy activities to the hours of the day when wildlife are least active; (ii) timing of construction to prevent disturbance during the nesting season for birds of conservation interest; (iii) timing of reservoir flushing to avoid harming key fish-breeding activities; or (iv) curtailment of wind turbine operation during peak bird migration periods.
- (d) An Implementation Schedule for the key BMP activities, taking into account the planned timing of construction and other project activities.
- (e) Institutional Responsibilities for BMP implementation.
- (f) Cost Estimate for BMP implementation, including up-front investment costs and long-term recurrent costs. The BMP also specifies the funding sources for plan implementation as well as recurrent operating costs.

ANNEX 3: TEMPLATE FOR THE STAKEHOLDER ENGAGEMENT PLAN

This template provides guidance for the Borrower on specific aspects of the application of the Environmental and Social Standards (ESSs), which form part of the World Bank's 2016 Environmental and Social Framework. Templates help to illustrate the requirements of the ESSs and propose sample approaches to fulfilling the requirements; they are not Bank policy and are meant to be a useful and voluntary tool. In case of any inconsistency or conflict with the ESSs, the provisions of the ESSs prevail.

A. Stakeholder Engagement Plan (SEP)

The scope and level of detail of the plan should be commensurate and proportionate with the nature and scale, potential risks, and impacts of the project and the concerns of the stakeholders who may be affected by or are interested in the project. Depending on the nature of the scale of the risks and impacts of the project, the elements of an SEP may be included as part of the Environmental and Social Commitment Plan (ESCP), and preparation of a stand-alone SEP may not be necessary.

The SEP should be clear and concise and focus on describing the project and identifying its stakeholders. It is key to identify what information will be in the public domain, in what languages, and where it will be located. It should explain the opportunities for public consultation, provide a deadline for comments, and explain how people will be notified of new information or opportunities for comment. It should explain how comments will be assessed and taken into account. It should also describe the project's grievance mechanism and how to access this mechanism. The SEP should also commit to releasing routine information on the project's environmental and social performance, including opportunities for consultation and how grievances will be managed.

1. Introduction/Project Description

Briefly describe the project, the stage of the project, its purpose, and what decisions are currently under consideration on which public input is sought.

Describe location and, where possible, include a map of the project site(s) and surrounding area, showing communities and proximity to sensitive sites, and including any worker accommodation, lay-down yards, or other temporary activities that also may impact stakeholders. Provide a link to, or attach a nontechnical summary of, the potential social and environmental risks and impacts of the project.

2. Brief Summary of Previous Stakeholder Engagement Activities

If consultation or disclosure activities have been undertaken to date, including information disclosure and informal or formal meetings/or consultation, provide a summary of those activities (no more than half a page), the information disclosed, and where more detailed information on these previous activities can be obtained (for example, a link, or physical location, or make available on request).

3. Stakeholder identification and analysis

Identify key stakeholders who will be informed and consulted about the project, including individuals, groups, or communities that:

- Are affected or likely to be affected by the project (project-affected parties); and
- May have an interest in the project (other interested parties).

Depending on the nature and scope of the project and its potential risks and impacts, examples of other potential stakeholders may include government authorities, local organizations, NGOs, and companies, and nearby communities. Stakeholders may also include politicians, labor unions, academics, religious groups, national social and environmental public-sector agencies, and the media.

3.1. Affected parties

Identify individuals, groups, local communities, and other stakeholders that may be directly or indirectly affected by the project, positively or negatively. The SEP should focus particularly on those directly and adversely affected by project activities. Mapping the impact zones by placing the affected communities within a geographic area can help define or refine the project's area of influence. The SEP should identify others who think they may be affected, and who will need additional information to understand the limits of project impacts.

3.2. Other interested parties

Identify broader stakeholders who may be interested in the project because of its location, its proximity to natural or other resources, or because of the sector or parties involved in the project. These may be local government officials, community leaders, and civil society organizations, particularly those who work in or with the affected communities. While these groups may not be directly affected by the project, they may have a role in the project preparation (for example, government permitting) or be in a community affected by the project and have a broader concern than their individual household.

Moreover, civil society and nongovernmental organizations may have in-depth knowledge about the environmental and social characteristics of the project area and the nearby populations, and can help play a role in identifying risks, potential impacts, and opportunities for the Borrower to consider and address in the assessment process. Some groups may be interested in the project because of the sector it is in (for example, mining or health care), and others may wish to have information simply because public finance is being proposed to support the project. It is not important to identify the underlying reasons why people or groups want information about a project—if the information is in the public domain, it should be open to anyone interested.

3.3. Disadvantaged / vulnerable individuals or groups

It is particularly important to understand project impacts and whether they may disproportionately fall on disadvantaged or vulnerable individuals or groups, who often do not have a voice to express their concerns or understand the impacts of a project. The following can help outline an approach to understand the viewpoints of these groups:

- Identify vulnerable or disadvantaged individuals or groups and the limitations they may have in participating and/or in understanding the project information or participating in the consultation process.
- What might prevent these individuals or groups from participating in the planned process? (For example, language differences, lack of transportation to events, accessibility of venues, disability, lack of understanding of a consultation process).
- How do they normally get information about the community, projects, activities?
- Do they have limitations about time of day or location for public consultation?
- What additional support or resources might be needed to enable these people to participate in

the consultation process? (Examples are providing translation into a minority language, sign language, large print or Braille information; choosing accessible venues for events; providing transportation for people in remote areas to the nearest meeting; having small, focused meetings where vulnerable stakeholders are more comfortable asking questions or raising concerns.)

- If there are no organizations active in the project area that work with vulnerable groups, such as persons with disability, contact medical providers, who may be more aware of marginalized groups and how best to communicate with them.
- What recent engagement has the project had with vulnerable stakeholders and their representatives?

3.4. Summary of project stakeholder needs

Example

Community	Stakeholder group	Key characteristics	Language needs	Preferred notification means (e-mail, phone, radio, letter)	Specific needs (accessibility, large print, child care, daytime meetings)
Village A	Parents with young children	Approximately 180 households affected; 300 children	Official language	Written information, radio	Child care for meetings—late afternoon preferred timing
Village A	Refugees	38 extended families, poverty level	Language alternative	Visit with translator and civil society representative	Graphics, education on process

4. Stakeholder Engagement Program

4.1. Purpose and timing of stakeholder engagement program

Summarize the main goals of the stakeholder engagement program and the envisaged schedule for the various stakeholder engagement activities: at what stages throughout the project’s life they will take place, with what periodicity, and what decision is being undertaken on which people’s comments and concerns. If decisions on public meetings, locations, and timing of meetings have not yet been made, provide specific information on how people will be made aware of forthcoming opportunities to review information and provide their views. Include the ESCP as part of such information. For some projects, a stand-alone SEP may not be necessary and its elements may be incorporated into the ESCP.

4.2. Proposed strategy for information disclosure

Briefly describe what information will be disclosed, in what formats, and the types of methods that will be used to communicate this information to each of the stakeholder groups. Methods used may vary according to target audience. For each media example, identify the specific names (for example, *The Daily News* and *The Independent*, *Radio News 100.6*, television *Channel 44*). The selection of disclosure—both for notification and providing information—should be based on how most people in the vicinity of the

project routinely get information, and may include a more central information source for national interest. A variety of methods of communication should be used to reach the majority of stakeholders. The project should select those that are most appropriate and have a clear rationale for their choices. The plan should include a statement welcoming comments on the proposed engagement plan and suggestions for improvement. For remote stakeholders, it may be necessary to provide for an additional newspaper outlet or separate meeting, or additional documents that should be placed in the public domain. The public domain includes:

- Newspapers, posters, radio, television;
- Information centers and exhibitions or other visual displays;
- Brochures, leaflets, posters, nontechnical summary documents and reports;
- Official correspondence, meetings;
- Website, social media.

The strategy should include means to consult with project-affected stakeholders if there are significant changes to the project resulting in additional risks and impacts. Following such consultation, an updated ESCP will be disclosed.

Example

Project stage	List of information to be disclosed	Methods proposed	Timetable: Locations/ dates	Target stakeholders	Percentage reached	Responsibilities
Construction	Traffic management plan	Notification Radio News 100.6 and copy in village hall Poster on community bulletin board	Radio twice daily in weeks of disclosure	Villagers, including pedestrians and drivers	Radio News 100.6 reaches 60% of village Poster on bulletin board reaches another percentage of the population	Community Liaison Officer

4.3. Proposed strategy for consultation

Briefly describe the methods that will be used to consult with each of the stakeholder groups. Methods used may vary according to target audience, for example:

- Interviews with stakeholders and relevant organization
- Surveys, polls, and questionnaires
- Public meetings, workshops, and/or focus groups on specific topic
- Participatory methods
- Other traditional mechanisms for consultation and decision making.

Example

Project stage	Topic of consultation	Method used	Timetable: Location and dates	Target stakeholders	Responsibilities
Construction	Traffic safety	Discussion with village schools Public meeting	ABC elementary school September 4, 3:00 p.m. Village A town hall September 8, 5:30 p.m.	Parents and children in village Community	Community Liaison Officer (CLO) Transportation Engineer, Manager, CLO

4.4. Proposed strategy to incorporate the view of vulnerable groups

Describe how the views of vulnerable or disadvantaged groups will be sought during the consultation process. Which measures will be used to remove obstacles to participation? This may include separate mechanisms for consultation and grievances, developing measures that allow access to project benefits, and so forth.

4.5. Timelines

Provide information on timelines for project phases and key decisions. Provide deadlines for comments.

4.6 Review of Comments

Explain how comments will be gathered (written and oral comments) and reviewed, and commit to reporting back to stakeholders on the final decision and a summary of how comments were taken into account.

4.7 Future Phases of Project

Explain that people will be kept informed as the project develops, including reporting on project environmental and social performance and implementation of the stakeholder engagement plan and grievance mechanism. Projects should report at least annually to stakeholders, but often will report more frequently during particularly active periods, when the public may experience more impacts or when phases are changing (for example, quarterly reports during construction, then annual reports during implementation).

5. Resources and Responsibilities for implementing stakeholder engagement activities

5.1. Resources

Indicate what resources will be devoted to managing and implementing the Stakeholder Engagement Plan, in particular:

- What people are in charge of the SEP
- Confirm that an adequate budget has been allocated toward stakeholder engagement
- Provide contact information if people have comments or questions about the project or the consultation process; that is, phone number, address, e-mail address, title of responsible person

(individual names may change).

5.2. Management functions and responsibilities

Describe how stakeholder engagement activities will be incorporated into the project's management system and indicate what staff will be devoted to managing and implementing the Stakeholder Engagement Plan:

- Who will be responsible for carrying out each of the stakeholder engagement activities and what are the qualifications of those responsible?
- How involved will management be in stakeholder engagement?
- How will the process be documented, tracked, and managed (for example, stakeholder database, commitments register, and so forth)?

6. Grievance Mechanism

Describe the process by which people affected by the project can bring their grievances and concerns to the project management's attention, and how they will be considered and addressed:

- Is there an existing formal or informal grievance mechanism, and does it meet the requirements of ESS10? Can it be adapted or does something new need to be established?
- Is the grievance mechanism culturally appropriate, that is, is it designed to take into account culturally appropriate ways of handling community concerns? For example, in cultures where men and women have separate meetings, can a woman raise a concern to a woman in the project grievance process?
- What process will be used to document complaints and concerns? Who will receive public grievances? How will they be logged and monitored?
- What time commitments will be made to acknowledge and resolve issues? Will there be ongoing communication with the complainant throughout the process?
- How will the existence of the grievance mechanism be communicated to all stakeholder groups? Are separate processes needed for vulnerable stakeholders?
- If a complaint is not considered appropriate to investigate, will an explanation be provided to the complainant on why it could not be pursued?
- Will there be an appeals process if the complainant is not satisfied with the proposed resolution of the complaint? Not all projects will necessarily have an appeals process, but it is advisable to include one for more complex projects. In all cases, complainants need to be reassured that they still have all their legal rights under their national judicial process.
- A summary of implementation of the grievance mechanism should be provided to the public on a regular basis, after removing identifying information on individuals to protect their identities. How often will reports go into the public domain to show that the process is being implemented?

7. Monitoring and Reporting

7.1. Involvement of stakeholders in monitoring activities

Some projects include a role for third parties in monitoring the project or impacts associated with the project. Describe any plans to involve project stakeholders (including affected communities) or third-party monitors in the monitoring of project impacts and mitigation programs. The criteria for selection of third parties should be clear. For further information, see the World Bank's Good Practice Note on Third-Party Monitoring.

7.2. Reporting back to stakeholder groups

Describe how, when, and where the results of stakeholder engagement activities will be reported back to both affected stakeholders and broader stakeholder groups. It is advised that these reports rely on the same sources of communication that were used earlier to notify stakeholders. Stakeholders should always be reminded of the availability of the grievance mechanism.

B. Stakeholder Engagement Framework

Please read this in conjunction with the Stakeholder Engagement Plan Template

In certain instances where the specifics for creating a detailed Stakeholder Engagement Plan are not available, a stakeholder engagement framework (SEF) may be adopted. The SEF will guide the development of an SEP, as soon as the specific locations, stakeholder groups, and schedule of activities are known. The scope and level of detail of the framework SEP should be commensurate with the nature and scale, potential risks, and impacts of the project and the level of concern in the project area. However, since adequate information is not yet available on which people can comment, more detail is needed on the range of issues under consideration than in a specific SEP, which is often attached to or accompanied by a nontechnical summary of the project.

It is important to remember that people make their minds up about a project, whether positive or negative, at an early stage. If only limited information is provided to people from the project, they will form opinions based on their own informal discussions, and perhaps on the basis of less credible information. While it is important to manage expectations, it is typically a mistake to delay providing information to stakeholders, as opinions can be quite firmly established, even when more information is later provided.

When the details of the project location, technology, or other key factors are not known and will be decided at a future date, the Stakeholder Engagement Plan should be presented as the approach to stakeholder engagement that is envisaged, following the information note above, but with the following changes:

- The stakeholder identification may expand to a wider area than the project will affect, if a location has not yet been identified. Be careful to provide information on the range of options under consideration and how these options will be narrowed down.
- Provide information on the process that will be followed in developing a specific stakeholder engagement plan and the objectives of the consultation.
- Provide details on the early stages of consultation, when more information will be gathered to draft the Stakeholder Engagement Plan, and welcome input on the best methods of notification, information disclosure, and consultation.
- The framework needs to be specific about the way people will be informed when more information is known, including specific names of media and websites. It should outline the general process that will be followed, and the number of days/weeks/months that people will have to comment on information when it is available.
- When locations and dates of meetings are not known, provide a general range of the number of meetings planned and the approach to consultation.
- The contact information for the project needs to be provided in full in the framework for people who have more questions or concerns.
- The grievance mechanism needs to be provided in full in the framework. Stakeholders can have problems even during the project planning stage.

ANNEX 4: CONTENT OUTLINE FOR A RESETTLEMENT ACTION PLAN AND A RESETTLEMENT POLICY FRAMEWORK

RESETTLEMENT ACTION PLAN

The scope of requirements and level of detail of the resettlement plan vary with the magnitude and complexity of resettlement. The plan is based on up-to-date and reliable information about i) the proposed project and its potential impacts on the displaced persons and other adversely affected groups, ii) appropriate and feasible mitigation measures, and iii) the legal and institutional arrangements required for effective implementation of resettlement measures.

Minimum elements of a resettlement plan

- a. **Description of the project.** General description of the project and identification of the project area.
- b. **Potential impacts.** Identification of:
 - the project components or activities that give rise to displacement, explaining why the selected land must be acquired for use within the timeframe of the project.
 - the zone of impact of such components or activities.
 - the scope and scale of land acquisition and impacts on structures and other fixed assets.
 - any project-imposed restrictions on use of, or access to, land or natural resources.
 - alternatives considered to avoid or minimize displacement and why those were rejected; and
 - the mechanisms established to minimize displacement, to the extent possible, during project implementation.
- c. **Objectives.** The main objectives of the resettlement program.
- d. **Census survey and baseline socioeconomic studies.** The findings of a household-level census identifying and enumerating affected persons, and, with the involvement of affected persons, surveying land, structures, and other fixed assets to be affected by the project. The census survey also serves other essential functions:
 - identifying characteristics of displaced households, including a description of production systems, labor, and household organization; and baseline information on livelihoods (including, as relevant, production levels and income derived from both formal and informal economic activities) and standards of living (including health status) of the displaced population.
 - information on vulnerable groups or persons for whom special provisions may have to be made.
 - identifying public or community infrastructure, property or services that may be affected.
 - providing a basis for the design of, and budgeting for, the resettlement program.
 - in conjunction with establishment of a cutoff date, providing a basis for excluding ineligible people from compensation and resettlement assistance; and
 - establishing baseline conditions for monitoring and evaluation purposes.

As the Bank may deem relevant, additional studies on the following subjects may be required to supplement or inform the census survey:

- land tenure and transfer systems, including an inventory of common property natural resources from which people derive their livelihoods and sustenance, non-title-based usufruct systems (including fishing, grazing, or use of forest areas) governed by local recognized land allocation mechanisms, and any issues raised by different tenure systems in the project area.
 - the patterns of social interaction in the affected communities, including social networks and social support systems, and how they will be affected by the project; and
 - social and cultural characteristics of displaced communities, including a description of formal and informal institutions (e.g., community organizations, ritual groups, nongovernmental organizations (NGOs)) that may be relevant to the consultation strategy and to designing and implementing the resettlement activities.
- e. **Legal framework.** The findings of an analysis of the legal framework, covering:
- the scope of the power of compulsory acquisition and imposition of land use restriction and the nature of compensation associated with it, in terms of both the valuation methodology and the timing of payment.
 - the applicable legal and administrative procedures, including a description of the remedies available to displaced persons in the judicial process and the normal timeframe for such procedures, and any available grievance redress mechanisms that may be relevant to the project.
 - laws and regulations relating to the agencies responsible for implementing resettlement activities; and
 - gaps, if any, between local laws and practices covering compulsory acquisition, imposition of land use restrictions and provision of resettlement measures and ESS5, and the mechanisms to bridge such gaps.
- f. **Institutional framework.** The findings of an analysis of the institutional framework covering:
- the identification of agencies responsible for resettlement activities and NGOs/CSOs that may have a role in project implementation, including providing support for displaced persons.
 - an assessment of the institutional capacity of such agencies and NGOs/CSOs; and
 - any steps that are proposed to enhance the institutional capacity of agencies and NGOs/CSOs responsible for resettlement implementation.
- g. **Eligibility.** Definition of displaced persons and criteria for determining their eligibility for compensation and other resettlement assistance, including relevant cutoff dates.
- h. **Valuation of and compensation for losses.** The methodology to be used in valuing losses to determine their replacement cost; and a description of the proposed types and levels of compensation for land, natural resources and other assets under local law and such supplementary measures as are necessary to achieve replacement cost for them.
- i. **Community participation.** Involvement of displaced persons (including host communities, where relevant):

- a description of the strategy for consultation with, and participation of, displaced persons in the design and implementation of the resettlement activities.
 - a summary of the views expressed and how these views were taken into account in preparing the resettlement plan.
 - a review of the resettlement alternatives presented and the choices made by displaced persons regarding options available to them; and
 - institutionalized arrangements by which displaced people can communicate their concerns to project authorities throughout planning and implementation, and measures to ensure that such vulnerable groups as vulnerable groups, ethnic minorities, the landless, and women are adequately represented.
- j. **Implementation schedule.** An implementation schedule providing anticipated dates for displacement, and estimated initiation and completion dates for all resettlement plan activities. The schedule should indicate how the resettlement activities are linked to the implementation of the overall project.
- k. **Costs and budget.** Tables showing categorized cost estimates for all resettlement activities, including allowances for inflation, population growth, and other contingencies; timetables for expenditures; sources of funds; and arrangements for timely flow of funds, and funding for resettlement, if any, in areas outside the jurisdiction of the implementing agencies.
- l. **Grievance redress mechanism.** The plan describes affordable and accessible procedures for third-party settlement of disputes arising from displacement or resettlement; such grievance mechanisms should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.
- m. **Monitoring and evaluation.** Arrangements for monitoring of displacement and resettlement activities by the implementing agency, supplemented by third-party monitors as considered appropriate by the Bank, to ensure complete and objective information; performance monitoring indicators to measure inputs, outputs, and outcomes for resettlement activities; involvement of the displaced persons in the monitoring process; evaluation of results for a reasonable period after all resettlement activities have been completed; using the results of resettlement monitoring to guide subsequent implementation.
- n. **Arrangements for adaptive management.** The plan should include provisions for adapting resettlement implementation in response to unanticipated changes in project conditions, or unanticipated obstacles to achieving satisfactory resettlement outcomes.

RESETTLEMENT POLICY FRAMEWORK

I. BACKGROUND

1. The RPF will meet the requirements of Environmental and Social Standard (ESS) 5 (Land Acquisition, Restrictions on Land Use and Involuntary Resettlement) of the World Bank's Environmental and Social Framework. The RPF is a statement of the policy, principles, institutional arrangements and procedures that the Borrower will follow in each subproject involving resettlement. Preparing it allows the Bank and the Borrower to agree on principles and processes, so that these need not be discussed for every subproject and site-specific RAP. An RPF is prepared as an overall guide to facilitate the development of several site-specific RAPs or when the exact impacts of a subproject cannot be determined prior to project appraisal. As the sites and impacts become known, site-specific Resettlement Action Plans are developed as necessary.

2. Project-affected persons may be classified as persons: (a) Who have formal legal rights to land or assets; (b) Who do not have formal legal rights to land or assets but have a claim to land or assets that is recognized or recognizable under national law; or (c) Who have no recognizable legal right or claim to the land or assets they occupy or use.

3. As indicated above, ESS 5 applies to the project, as there may be permanent or temporary physical and economic displacement resulting from the following types of land acquisition or restrictions on “land use undertaken in connection with project implementation, including:

(a) Land rights or land use rights acquired or restricted through expropriation or other compulsory procedures in accordance with national law;

(b) Land rights or land use rights acquired or restricted through negotiated settlements with property owners or those with legal rights to the land, if failure to reach settlement would have resulted in expropriation or other compulsory procedures;

(c) Restrictions on land use and access to natural resources that cause a community or groups usage where they have traditional or customary tenure, or recognizable usage rights. This may include situations where legally designated protected areas, forests, biodiversity areas or buffer zones are established in connection with the project;

(d) Relocation of people without formal, traditional, or recognizable usage rights, who are occupying or utilizing land prior to a project-specific cut-off date;

(e) Displacement of people as a result of project impacts that render their land unusable or inaccessible;

(f) Restriction on access to land or use of other resources including communal property and natural resources such as marine and aquatic resources, timber and non-timber forest products, fresh water, medicinal plants, hunting and gathering grounds and grazing and cropping areas within a community to lose access to resources;

(g) Land rights or claims to land or resources relinquished by individuals or communities without full payment of compensation; and

(h) Land acquisition or land use restrictions occurring prior to the project, but which were undertaken or initiated in anticipation of, or in preparation for, the project.

4. As the project sites and works are not yet known the Borrower needs to prepare an RPF. When the detailed design of the subprojects are finalized through the pre-feasibility studies, and if any impacts on land, livelihoods or access as described under paragraph 2 are identified, the Borrower will also need to develop RAPs detailing the social impacts of the subproject and indicating how they will be mitigated. The RAPs will be covered in a separate Terms of Reference.

5. Under the proposed project, there may be some economic and/or physical displacement due to works financed by the project, but impacts should be manageable. Temporary land use for civil works could also have resettlement impacts that will have to be mitigated through site-specific RAPs. Where the impacts are known prior to appraisal, the site-specific RAPs will have to be reviewed and cleared by the Bank prior to appraisal. Any

subsequent RAPs will have to be cleared by the Bank and disclosed prior to commencing any displacement or civil works on the subprojects.

II. OBJECTIVE AND TASKS OF CONSULTING SERVICES

6. The purpose of the RPF is to clarify resettlement principles, organizational arrangements, and design criteria to be applied to subprojects or project components to be prepared during project implementation. Once the subproject or individual project components are defined and the necessary information becomes available, such a framework will be expanded into a specific RAP proportionate to potential risks and impacts. Project activities that will cause physical and/or economic displacement will not commence until such specific plans have been finalized and approved by the Bank.

7. The final report should be structured as summarized below (see Annex 2 for guidance on the key topics to be covered and the overall structure of the RPF):

- (a) a brief description of the project and components for which land acquisition and resettlement are required, and an explanation of why an RPF rather than a RAP is being prepared;
- (b) principles and objectives governing resettlement preparation and implementation;
- (b) a description of the process for preparing and approving resettlement plans;
- (c) estimated displacement impacts and estimated numbers and categories of displaced persons, to the extent feasible;
- (d) eligibility criteria for defining various categories of displaced persons;
- (e) a legal framework reviewing the fit between borrower laws and regulations and Bank policy requirements and measures proposed to bridge any gaps between them;
- (f) methods of valuing affected assets;
- (g) organizational procedures for delivery of compensation and other resettlement assistance, including, for projects involving private sector intermediaries, the responsibilities of the financial intermediary, the government, and the private developer;
- (h) a description of the implementation process, linking resettlement implementation to civil works;
- (i) a description of the project grievance redress mechanism;
- (j) a description of the arrangements for funding resettlement, including the preparation and review of cost estimates, the flow of funds, and contingency arrangements;
- (k) a description of mechanisms for consultations with, and participation of, displaced persons in planning, implementation, and monitoring; and
- (l) arrangements for monitoring by the implementing agency and, if required, by third-party

monitors.

8. In conducting this task the consultant should take into consideration the following relevant documents:

- National laws and/or regulations on expropriation, land valuation and other relevant regulations
- World Bank Environmental and Social Standard 5 on “Land Acquisition, Restrictions on Land Use and Involuntary Resettlement”, which can be found at the World Bank’s external web-site: <https://www.worldbank.org/en/projects-operations/environmental-and-social-framework/brief/environmental-and-social-standards>

ANNEX 5: TEMPLATE FOR LABOR MANAGEMENT PROCEDURES

How to Use this Template

Under ESS2 on Labor and Working Conditions, Borrowers are required to develop labor management procedures (LMP). The purpose of the LMP is to facilitate planning and implementation of the project. The LMP identify the main labor requirements and risks associated with the project, and help the Borrower to determine the resources necessary to address project labor issues. The LMP is a living document, which is initiated early in project preparation, and is reviewed and updated throughout development and implementation of the project.

The Template is designed to help Borrowers identify key aspects of labor planning and management. The content is indicative: where the issues identified are relevant in a project, Borrowers should capture them in the LMP. Some issues may not be relevant; some projects may have other issues that need to be captured from a planning perspective. Where national law addresses requirements of ESS2 this can be noted in the LMP, and there is no need to duplicate such provisions. The LMP may be prepared as a stand-alone document, or form part of other environmental and social management documents.

A concise and up to date LMP will enable different project-related parties, for example, staff of the project implementing unit, contractors and sub-contractors and project workers, to have a clear understanding of what is required on a specific labor issue. The level of detail contained in the LMP will depend on the type of project and information available. Where relevant information is not available, this should be noted and the LMP should be updated as soon as possible.

In preparing and updating the LMP, Borrowers refer to the requirements of national law and ESS2 and the Guidance Note to ESS2 (GN). The template includes references to both ESS2 and the GN.

1. OVERVIEW OF LABOR USE ON THE PROJECT

This section describes the following, based on available information:

Number of Project Workers: The total number of workers to be employed on the project, and the different types of workers: direct workers, contracted workers and community workers. Where numbers are not yet firm, an estimate should be provided.

Characteristics of Project Workers: To the extent possible, a broad description and an indication of the likely characteristics of the project workers e.g. local workers, national or international migrants, female workers, workers between the minimum age and 18.

Timing of Labor Requirements: The timing and sequencing of labor requirements in terms of numbers, locations, types of jobs and skills required.

Contracted Workers: The anticipated or known contracting structure for the project, with numbers and types of contractors/subcontractors and the likely number of project workers to be employed or engaged by each contractor/subcontractor. If it is likely that project workers will be engaged through brokers, intermediaries or agents, this should be noted together with an estimate how many workers are expected to be recruited in this way.

Migrant Workers: If it is likely that migrant workers (either domestic or international) are expected to work on the project, this should be noted and details provided.

2. ASSESSMENT OF KEY POTENTIAL LABOR RISKS

This section describes the following, based on available information:

Project activities: The type and location of the project, and the different activities the project workers will carry out.

Key Labor Risks: The key labor risks which may be associated with the project (see, for example, those identified in ESS2 and the GN). These could include, for example:

- The conduct of hazardous work, such as working at heights or in confined spaces, use of heavy machinery, or use of hazardous materials
- Likely incidents of child labor or forced labor, with reference to the sector or locality
- Likely presence of migrants or seasonal workers
- Risks of labor influx or gender based violence
- Possible accidents or emergencies, with reference to the sector or locality
- General understanding and implementation of occupational health and safety requirements

3. BRIEF OVERVIEW OF LABOR LEGISLATION: TERMS AND CONDITIONS

This section sets out the **key aspects** of national labor legislation with regards to term and conditions of work, and how national legislation applies to different categories of workers identified in Section 1. The overview focuses on legislation which relates to the items set out in ESS2, paragraph 11 (i.e. wages, deductions and benefits).

4. BRIEF OVERVIEW OF LABOR LEGISLATION: OCCUPATIONAL HEALTH AND SAFETY

This section sets out the *key aspects* of the national labor legislation with regards to occupational health and safety, and how national legislation applies to the different categories of workers identified in Section 1. The overview focuses on legislation which relates to the items set out in ESS2, paragraphs 24 to 30.

5. RESPONSIBLE STAFF

This section identifies the functions and/or individuals within the project responsible for (as relevant):

- engagement and management of project workers
- engagement and management of contractors/subcontractors
- occupational health and safety (OHS)
- training of workers
- addressing worker grievances

In some cases, this section will identify functions and/or individuals from contractors or subcontractors, particularly in projects where project workers are employed by third parties.

6. POLICIES AND PROCEDURES

V. This section sets out information on OHS, reporting and monitoring and other general project policies. Where relevant, it identifies applicable national legislation.

Where significant safety risks have been identified as part of Section 2, this section outlines how these will be addressed. Where the risk of forced labor has been identified, this section outlines how these will be addressed (see ESS2, paragraph 20 and related GNs). Where risks of child labor have been identified, these are addressed in Section 7.

Where the Borrower has stand-alone policies or procedures, these can be referenced or annexed to the LMP, together with any other supporting documentation.

7. AGE OF EMPLOYMENT

This section sets out details regarding:

- The minimum age for employment on the project
- The process that will be followed to verify the age of project workers
- The procedure that will be followed if underage workers are found working on the project
- The procedure for conducting risk assessments for workers aged between the minimum age and 18

See ESS2, paragraphs 17 to 19 and related GNs.

8. TERMS AND CONDITIONS

This section sets out details regarding:

- Specific wages, hours and other provisions that apply to the project
- Maximum number of hours that can be worked on the project
- Any collective agreements that apply to the project. When relevant, provide a list of agreements and describe key features and provisions
- Other specific terms and conditions

9. GRIEVANCE MECHANISM

This section sets out details of the grievance mechanism that will be provided for direct and contracted workers, and describes the way in which these workers will be made aware of the mechanism.

Where community workers are engaged in the project, details of the grievance mechanism for these workers is set out in Section 11.

10. CONTRACTOR MANAGEMENT

This section sets out details regarding:

- The selection process for contractors, as discussed in ESS2, paragraph 31 and GN 31.1.
- The contractual provisions that will put in place relating to contractors for the management of labor issues, including occupational health and safety, as discussed in ESS2, paragraph 32 and GN 32.1
- The procedure for managing and monitoring the performance of contractors, as discussed in ESS2, paragraph 32 and GN 32.1

11. COMMUNITY WORKERS

Where community workers will be involved in the project, this section sets out details of the terms and conditions of work, and identifies measures to check that community labor is provided on a voluntary basis. It also provides details of the type of agreements that are required and how they will be documented. See GN 34.4.

This section sets out details of the grievance mechanism for community workers and the roles and responsibilities for monitoring such workers. See ESS2, paragraphs 36 and 37.

12. PRIMARY SUPPLY WORKERS

Where a significant risk of child or forced labor or serious safety issues in relation to primary suppliers has been identified, this section sets out the procedure for monitoring and reporting on primary supply workers.

**[Borrower name³/Project Implementing Entity]
[Project Title and P Number]**

**[Draft/Negotiated⁴/Updated]
ENVIRONMENTAL AND SOCIAL
COMMITMENT PLAN (ESCP)**

[Date]

³ The name of the Borrower or Recipient should always be included on the cover page.

⁴ Once the draft ESCP is disclosed (before appraisal), the version that will be part of the negotiations package can be titled “for negotiations”. Once the ESCP is agreed at negotiations, the reference must be changed to “negotiated” and dated the day of negotiations. If the ESCP is updated during implementation, then indicate it has been “updated” and revise the date. ESCPs should always be dated and properly labelled.

ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN

[The below paragraphs contain general undertakings about the ESCP that are standard. They are to be used verbatim across all projects. Any adjustment should be minor and drafted in consultation with the project lawyer and LEGEN.]

1. The [Borrower/Recipient name] (the [Borrower/Recipient]) [will implement][is implementing]⁵ the [name] Project (the Project), with the involvement of the [name of the Project Implementing Entity(ies)/ministries/agencies involved], as set out in the [Loan Agreement] [Financing Agreement] [Grant Agreement] [and the Project Agreement].⁶ The [International Bank for Reconstruction and Development/International Development Association] (the [World Bank/Bank/ Association])⁷ [, acting as the] [administrator/implementing agency/accredited entity/implementing entity/other] [of] [name the trust fund], has agreed to provide [the original] financing [(P____)] [and additional financing (P____)] for the Project, as set out in the referred agreement(s). [This ESCP supersedes previous versions of the ESCP for the Project and shall apply both to the original and the additional financing for Project referred to above.]^{8 9}
2. The [Borrower/Recipient] shall ensure that the Project is carried out in accordance with the Environmental and Social Standards (ESSs) and this Environmental and Social Commitment Plan (ESCP), in a manner acceptable to the [World Bank/Bank/Association]. The ESCP is a part of the [Loan Agreement] [Financing Agreement] [Grant Agreement] [and the Project Agreement]. Unless otherwise defined in this ESCP, capitalized terms used in this ESCP have the meanings ascribed to them in the referred agreement(s).
3. Without limitation to the foregoing, this ESCP sets out material measures and actions that the [Borrower/Recipient] shall carry out or cause to be carried out, including, as applicable, the timeframes of the actions and measures, institutional, staffing, training, monitoring and reporting arrangements, and grievance management. The ESCP also sets out the environmental and social (E&S) instruments that shall be adopted and implemented under the Project, all of which shall be subject to prior consultation and disclosure, consistent with the ESS, and in form and substance, and in a manner acceptable to the [World

⁵ You can use this bracketed text in cases where the ESCP is updated during Project implementation or in cases where additional financing is being processed for a Project under implementation and the ESCP will cover both the original loan/credit/grant and the additional financing.

⁶ Use “Financing Agreement” for IDA financing. Use “Loan Agreement” for IBRD financing. Use “Grant Agreement” for TF financing. Add a reference to “Project Agreement” where there is one. Consult with the Project Lawyer for correct references.

⁷ In case the project is financed by multiple financing sources (e.g. both an IBRD loan or IDA credit/grant and a TF grant), reference should be made to IBRD/IDA in all of these capacities, with a term like “World Bank” or the “Bank” used to refer to all of them collectively.

⁸ Use this bracketed text when the same, consolidated, and updated ESCP will apply both to the original and additional financing for the project.

⁹ In cases of additional financing where two different ESCPs will apply to the original and additional financing, you can replace paragraph 1 with the following:

The [Borrower/Recipient name] (the [Borrower/Recipient]) will implement additional activities under the [name] Project (the Project), with the involvement of the [name of the Project Implementing Entity(ies)/ministries/agencies involved], as set out in the [additional financing] [Loan Agreement] [Financing Agreement] [Grant Agreement] [and the Project Agreement]. The [International Bank for Reconstruction and Development/International Development Association] (the [World Bank/Bank/ Association]) [, acting as the] [administrator/implementing agency/accredited entity/implementing entity/other] [of] [name the trust fund], has agreed to provide additional financing for the implementation of the additional activities under the Project, as set out in the referred agreement(s). This ESCP shall apply solely to the additional activities under the Project referred to above, and the ESCP for the original financing of the Project, shall continue to apply to the original activities under the Project.

Bank/Bank/Association]. Once adopted, said E&S instruments may be revised from time to time with prior written agreement by the [World Bank/Bank/Association].

4. As agreed by the [World Bank/Bank/Association] and the [Borrower/Recipient], this ESCP will be revised from time to time if necessary, during Project implementation, to reflect adaptive management of Project changes and unforeseen circumstances or in response to Project performance. In such circumstances, the [Borrower/Recipient] [through] [name of the Project Implementing Entity, ministry or agency] and the [World Bank/Bank/Association] agree to update the ESCP to reflect these changes through an exchange of letters signed between the [World Bank/Bank/Association] and the [Borrower/Recipient] [name position of designated official, e.g. minister, director] of [name of the Project Implementing Entity, ministry or agency]. The [Borrower/Recipient] shall promptly disclose the updated ESCP.

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].		TIMEFRAME	RESPONSIBLE ENTITY
MONITORING AND REPORTING			
A	<p>REGULAR REPORTING [Environmental, social, health, and safety (ESHS) performance needs to be monitored and reported to the World Bank.]</p> <p>Prepare and submit to the [World Bank/Bank/Association] regular monitoring reports on the environmental, social, health and safety (ESHS) performance of the Project, including but not limited to the implementation of the ESCP, status of preparation and implementation of E&S instruments required under the ESCP, stakeholder engagement activities, and functioning of the grievance mechanism(s) [specify other aspects that the reporting would need to consider, as relevant].</p> <p>[NOTE: You can use the action above as written and fill out the bracketed language only unless the specifics of the project require changes to the language of the action or additional actions].</p>	<p>[Indicate frequency of reporting, e.g., Submit [monthly] [quarterly] [six-monthly] [annual] reports to the [World Bank/Bank/Association] throughout Project implementation, [commencing after the Effective Date]. Submit each report to the [World Bank/Bank/Association] no later than [XX] days after the end of each reporting period].</p>	
B	<p>INCIDENTS AND ACCIDENTS [notification of incidents and accidents is an important requirement of ESS1].</p> <p>Promptly notify the [World Bank/Bank/Association] of any incident or accident related to the Project which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers, including, inter alia, cases of sexual exploitation and abuse (SEA), sexual harassment (SH), and accidents that result in death, serious or multiple injury [specify other examples of incidents and accidents, as appropriate for the type of operation]. Provide sufficient detail regarding the scope, severity, and possible causes of the incident or accident, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any contractor and/or supervising firm, as appropriate.</p> <p>Subsequently, at the [World Bank/Bank/Association]’s request, prepare a report on the incident or accident and propose any measures to address it and prevent its recurrence.</p> <p>[NOTE: You can use the action above as written and fill out the bracketed language only unless the specifics of the project require changes to the language of the action or additional actions].</p>	<p>[Notify the [World Bank/Bank/Association] no later than 48 hours after learning of the incident or accident.</p> <p>Provide subsequent report to the [World Bank/Bank/Association] within a timeframe acceptable to the [World Bank/Bank/Association]</p>	

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].		TIMEFRAME	RESPONSIBLE ENTITY
C	<p>CONTRACTORS’ MONTHLY REPORTS [In contracts for works using the Bank’s standard procurement documents (SPDs), contractors and supervising firms are required to provide monthly monitoring reports. Consider including an action indicating that such monthly reports would be submitted to the Bank. See example below.]</p> <p>Require contractors and supervising firms to provide monthly monitoring reports on ESHS performance in accordance with the metrics specified in the respective bidding documents and contracts, and submit such reports to the [World Bank/Bank/Association].</p>	<p>[Indicate timeframe, e.g., Submit the monthly reports to the [World Bank/Bank/Association] [upon request] [as annexes to the reports to be submitted under action A above].</p>	
D	<p>NOTIFICATIONS RELATING TO DAAB COMPLIANCE REVIEW OF CONTRACTOR COMPLIANCE WITH SEA/SH PREVENTION AND RESPONSE OBLIGATIONS [This action is required for projects where use of the Bank’s applicable standard procurement documents (SPDs) for large works is mandated by the Bank and where there is High Risk of sexual exploitation and abuse (SEA)/sexual harassment (SH) in accordance with the Bank’s SEA/SH risk screening tool. In these cases, the action below shall be used without introducing changes.]</p> <p>Notify the [World Bank/Bank/Association] of any referral submitted to the Dispute Avoidance and Adjudication Board (DAAB) to initiate a process of compliance review in relation to a contractor’s obligations to prevent and respond to sexual exploitation and abuse (SEA), and/or sexual harassment (SH) specified in the respective works contract with such contractor; and, in the event of any such referral, notify the [World Bank/Bank/Association] of: (i) the DAAB’s decision on such referral; (ii) the contractor’s Notice of Dissatisfaction, if any, with such DAAB decision; (iii) any notification received on the commencement of an emergency arbitration proceeding or full arbitration proceeding in relation to the DAAB’s decision; and (iv) the resulting emergency arbitration order and/or full arbitration order, if any.</p> <p>[NOTE: Use the action above as written without introducing changes].</p>	<p>No later than 7 days after the issuance or receipt, as applicable, of the relevant document (i.e., referral to the DAAB, issuance of DAAB decision, Notice of Dissatisfaction, notice of commencement of emergency/full arbitration, emergency/full arbitration order, as applicable).</p>	
ESS 1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS			

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].		TIMEFRAME	RESPONSIBLE ENTITY
1.1	<p>ORGANIZATIONAL STRUCTURE [Specify whether additional staff need to be assigned/hired to work on the Project.]</p> <p>[Establish and] maintain a [name of unit within the entity implementing the project that is tasked with ESHS management, e.g. PIU, PMU, PCU] with qualified staff and resources to support management of ESHS risks and impacts of the Project [including] [identify specific positions for ESHS management that are relevant, if any, e.g., a health and safety specialist, an environmental specialist, a social specialist, a stakeholder engagement specialist].</p> <p>[NOTE: You can use the action above as written and fill out the bracketed language only unless the specifics of the project require changes to the language of the action or additional actions].</p>	<p>[Specify by when organizational structure/staff need to be in place e.g. Establish and maintain a [PIU, PMU, PCU] as set out in the [name legal agreement]. [if some specific positions will be hired or engaged in a different timeframe, specify separately e.g. [Hire or appoint the [identify specific positions needed] [prior to] [no later than] [insert date or milestone], and thereafter maintain these positions throughout Project implementation.]</p>	
1.2	<p>ENVIRONMENTAL AND SOCIAL INSTRUMENTS [Specify any E&S instruments developed or to be developed under ESS1, such as ESIA, ESMF, ESMPs, etc. See a few examples of actions below.]</p> <p>1. Adopt and implement an Environmental and Social Impact Assessment (ESIA), and corresponding Environmental and Social Management Plan (ESMP) [you can specify infrastructure/works or part of the Project for which the ESIA/ESMP is required, e.g., for Part 1] [of][for] the Project, consistent with the relevant ESSs.</p> <p>2. Adopt and implement an Environmental and Social Management Framework (ESMF) for the Project, consistent with the relevant ESSs.</p> <p>3. [cause] [name entities that would need to adopt the ESMPs if applicable., e.g. subproject entities] [to] adopt and implement the [subproject] [site-specific] [Environmental and Social Impact Assessment (ESIA)] [and] [Environmental and Social Management Plan (ESMP)], as set out in the ESMF. [The proposed [subprojects] [activities] described in the exclusion list set out in the ESMF shall be ineligible to receive financing under the Project.]</p>	<p>[Indicate timing for instruments preparation.¹⁰ See examples below].</p> <p>1. Adopt the ESIA and ESMP [prior to] [no later than] [insert date or milestone], and thereafter implement the ESIA and ESMP throughout Project implementation.</p> <p>2. Adopt the ESMF [prior to] [no later than] [insert date or milestone], and thereafter implement the ESMF throughout Project implementation.</p>	

¹⁰ Consult with the project lawyer to ensure consistency with the legal agreement in cases where some actions need to be completed before the project becomes effective (effectiveness condition) or before certain disbursements can occur (disbursement condition).

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].		TIMEFRAME	RESPONSIBLE ENTITY
		3. Adopt the ESMP [before launching the bidding process for the respective [subproject] [Project activity]] [prior to the carrying out of [subproject] [Project activity] that requires the adoption of such ESMP]. Once adopted, implement the respective ESMP throughout Project implementation.	
1.3	<p>MANAGEMENT OF CONTRACTORS [Consider an action for projects that involve contractors/subcontractors to carry out physical works, and supervising firms to supervise works. See example below].</p> <p>Incorporate the relevant aspects of the ESCP, including, inter alia, the relevant E&S instruments, the Labor Management Procedures, and code of conduct, into the ESHS specifications of the procurement documents and contracts with contractors and supervising firms. Thereafter ensure that the contractors and supervising firms comply and cause subcontractors to comply with the ESHS specifications of their respective contracts.</p>	[Indicate timing: e.g., As part of the preparation of procurement documents and respective contracts. Supervise contractors throughout Project implementation].	
1.4	<p>TECHNICAL ASSISTANCE [Include the action below for projects that include TA activities with potential direct or indirect/downstream E&S impacts. This action could also specify the E&S instruments, if any, to be supported under the technical assistance activities].</p> <p>Ensure that the consultancies, studies (including feasibility studies, if applicable), capacity building, training, and any other technical assistance activities under the Project [, including, inter alia,] [specify the environmental and social instruments to be supported under the TA] are carried out in accordance with terms of reference acceptable to the [World Bank/Bank/Association], that are consistent with the ESSs. Thereafter ensure that the outputs of such activities comply with the terms of reference.</p> <p>[NOTE: You can use the action above as written and fill out the bracketed language only unless the specifics of the project require changes to the language of the action or additional actions].</p>	Throughout Project implementation.	

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].	TIMEFRAME	RESPONSIBLE ENTITY
<p>1.5 CONTINGENT [EMERGENCY] [EARLY] RESPONSE FINANCING [Activities carried out under Contingent Emergency Response Components also must meet ESS requirements].</p> <p>a) Ensure that the [insert name of CERC Manual as specified the legal agreement] includes a description of the ESHS assessment and management arrangements [including, if applicable, insert name of any CERC-ESMF/ESMF Addendum that will be included or referred to in the CERC Manual] for the implementation of [name of CERC component, e.g., CERC Part], in accordance with the ESSs.</p> <p>b) Adopt any environmental and social (E&S) instruments which may be required for activities under [name CERC component, e.g., CERC Part] of the Project, in accordance with the [insert name of CERC Manual and, if applicable, CERC-ESMF or CERC-ESMF Addendum] and the ESSs, and thereafter implement the measures and actions required under said E&S instruments, within the timeframes specified in said E&S instruments.</p> <p>[NOTE: You can use the language of this action as relevant to the design of the CER component unless additional actions are required based on the specifics of the project. In some cases, a CERC-ESMF may be requested in a specific timeframe that is different from the CERC Manual. Coordinate with the project lawyer for consistency with the legal agreement].</p>	<p>a) The adoption of the [insert name of manual and, if applicable, other instruments, as relevant] in form and substance acceptable to the [World Bank/Bank/Association] is a withdrawal condition under Section [XX] of Schedule 2 of the [name of legal agreement] for the Project.</p> <p>b) Adopt any required E&S instrument and include it as part of the respective bidding process, if applicable, and in any case, before the carrying out of the relevant Project activities for which the E&S instrument is required. Implement the E&S instruments in accordance with their terms, throughout Project implementation.</p>	<p>[When indicating the responsible entity, remember that the designated authority for a CERC may be different from the entity responsible for the other Project components]</p>
<p>1.6 ASSOCIATED FACILITIES [If Associated Facilities are identified, consider whether actions need to be reflected in the ESCP. See example action below].</p> <p>[Cause] [name of owner/operator of the associated facility if different from the Borrower] [to ensure] [Ensure] that the activities in the [identify associated facility] are carried out in accordance with the applicable requirements of this ESCP and the ESSs [, including, inter alia,] [specify key actions and/or instruments, e.g., the ESIA, ESMP, LMP, management of contractors, RAP, SEP, etc.].</p>	<p>[Indicate timeframe].</p>	
<p>1.7 ACTIVITIES SUBJECT TO RETROACTIVE FINANCING</p>		

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].		TIMEFRAME	RESPONSIBLE ENTITY
	[As noted by ESS1 para. 17, a project may comprise or include existing facilities or activities. Some of these activities may be subject to retroactive financing under the project. These activities should be identified during project preparation, and due diligence must be conducted to identify any required actions to ensure that such activities meet the requirements of the ESSs. In some cases, an E&S audit may be needed, which normally would be completed during project preparation. In others, amendment to existing work contracts, or a corrective action plan may be needed. Accordingly, this action should reflect the due diligence requirements applicable to the retroactive financing and their timeframe]		
ESS 2: LABOR AND WORKING CONDITIONS			
2.1	<p>LABOR MANAGEMENT PROCEDURES [LMP may have been developed or may need to be developed by the Borrower within a specified timeframe. This should be reflected in the ESCP. See example below]</p> <p>Adopt and implement the Labor Management Procedures (LMP) for the Project, including, inter alia, provisions on working conditions, management of workers relationships, occupational health and safety (including personal protective equipment, and emergency preparedness and response), code of conduct (including relating to SEA and SH), forced labor, child labor, grievance arrangements for Project workers, and applicable requirements for contractors, subcontractors, and supervising firms.</p>	[Indicate timing. e.g., Adopt the LMP [prior to] [no later than] [insert date or milestone], and thereafter implement the LMP throughout Project implementation].	
2.2	<p>GRIEVANCE MECHANISM FOR PROJECT WORKERS [The grievance mechanism required under ESS2 should be described in the LMP. See example below].</p> <p>Establish and operate a grievance mechanism for Project workers, as described in the LMP and consistent with ESS2.</p>	[Indicate timing – e.g. Establish grievance mechanism prior engaging Project workers and thereafter maintain and operate it throughout Project implementation].	
ESS 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT [the relevance of ESS3 is established during the ESA process. ESS3 may require the adoption of specific measures to cover energy, water (e.g. water balance) and raw materials use, management of air pollution, hazardous and nonhazardous wastes, chemicals and hazardous materials and pesticides. Depending on the project, these measures may be set out in an E&S instrument (e.g. ESMP) already mentioned in the section under ESS1 above or as a stand-alone instrument or as a separate measure or action. See examples below].			
3.1	<p>WASTE MANAGEMENT PLAN Adopt and implement a Waste Management Plan (WMP), to manage hazardous and non-hazardous wastes, consistent with ESS3.</p>	[Indicate timing e.g., Adopt the WMP [prior to] [no later than] [insert date or milestone], and thereafter implement the WMP throughout Project implementation].	

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].		TIMEFRAME	RESPONSIBLE ENTITY
3.2	RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT Incorporate resource efficiency and pollution prevention and management measures in the ESMP to be prepared under action [XX] above.	[Indicate timing e.g. Same timeframe as for the adoption and implementation of the ESMP]	
ESS 4: COMMUNITY HEALTH AND SAFETY [the relevance of ESS4 is established during the ESA process. As with other ESSs, ESS4 may require the adoption of specific measures to cover community health and safety risks, including, inter alia, on infrastructure and equipment design and safety, safety of services, traffic and road safety, community exposure to health issues, ecosystem services, management and safety of hazardous materials, emergency preparedness and response, security (including engagement of security personnel), and safety of dams. Depending on the project, these measures may be set out in an E&S instrument (e.g. ESMP) already mentioned in the section under ESS1 above or as a stand-alone instrument or as a separate measure or action. See examples below].			
4.1	TRAFFIC AND ROAD SAFETY Incorporate measures to manage traffic and road safety risks as required in the ESMP to be prepared under action [XX] above.	[Indicate timing e.g., Same timeframe as for the adoption and implementation of the ESMP].	
4.2	COMMUNITY HEALTH AND SAFETY Assess and manage specific risks and impacts to the community arising from Project activities [, including, inter alia,] [specify any areas of risks that may require emphasis, e.g., behavior of Project workers, risks of labor influx, response to emergency situations], and include mitigation measures in the ESMPs to be prepared in accordance with the ESMF.	[Indicate timing e.g., Same timeframe as for the adoption and implementation of the ESMPs].	
4.3	SEA AND SH RISKS [where there is Moderate, Substantial, or High Risk of sexual exploitation and abuse (SEA)/sexual harassment (SH) in accordance with the Bank’s SEA/SH risk screening tool, it is recommended that a SEA/SH Action Plan is prepared. See example action below]. Adopt and implement a SEA/SH Action Plan [specify if part of another instrument, e.g. as part of the ESMP], to assess and manage the risks of SEA and SH.	[Indicate timing e.g., Adopt the SEA/SH Action Plan before [prior to] [no later than] [insert date or milestone, and thereafter implement the SEA/SH Action Plan throughout Project implementation].	
4.4	SECURITY MANAGEMENT [In assessing a project’s risks and impacts, ESS1 requires the potential threats to human security through personal, communal, or interstate conflict, crime or violence to be considered. If security personnel will be engaged to safeguard project workers, sites, assets, and activities, an assessment of the risks posed by these security arrangements must be carried out, and appropriate mitigation measures implemented. Consider the example action below].	[Indicate timing e.g., Prior to engaging security personnel and thereafter implemented throughout Project implementation].	

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].	TIMEFRAME	RESPONSIBLE ENTITY
<p>Assess and implement measures to manage the security risks of the Project, including the risks of engaging security personnel to safeguard project workers, sites, assets, and activities, [specify plans or include a reference to the instrument where such measures are reflected, as needed, e.g. as set out in the ESMP or Security Management Plan], guided by the principles of proportionality and GIIP, and by applicable law, in relation to hiring, rules of conduct, training, equipping, and monitoring of such personnel.</p>		
<p>4.5 INVOLVEMENT OF THE MILITARY [Exceptionally, a Borrower’s military may be proposed to be engaged for carrying out of project activities (See paragraph 16 of the Bank Policy: Development Cooperation and Fragility, Conflict, and Violence) or to provide project security. Consider the example actions below to manage related social risks].</p> <p>Ensure the following measures are carried out before deploying the [Borrower/Recipient]’s [name military] [in the implementation of Project activities] [for the provision of security to Project workers, sites and/or assets], consistent with the ESSs:</p> <ol style="list-style-type: none"> a. Assess and implement measures to manage the security risks of engaging the [name military] [specify plans or reference to the instrument where such measures are reflected, as needed, e.g. as set out in the ESMP, MoU, or Security Management Plan], guided by the principles of proportionality and GIIP, and by applicable law, in relation to screening, hiring, rules of conduct, training, equipping, and monitoring of such [name military]; b. Adopt and implement standards, protocols, and codes of conduct for the selection and assignment of [name military] to the Project, and screen such [name military] to verify that they have not engaged in past unlawful or abusive behavior, including sexual exploitation and abuse (SEA), sexual harassment (SH) or excessive use of force; c. Enter into a memorandum of understanding (MoU), with the [line ministry in control of military] [and] [relevant name military], setting out the arrangements for the engagement of the [name military] in the Project, including the relevant actions and measures set out in this ESCP; 	<p>[Indicate timeframe, e.g. Carry out a, b), c), and d) before deploying [name military] under the Project and implement throughout Project implementation].</p> <p>e) and f) as set out under actions 10.1 and 10.2 respectively. Notify the [World Bank/Bank/Association] after receiving the concern or grievance in the timeframe specified in action B above.</p> <p>[g) within the timeframes requested by the [World Bank/Bank/Association]].</p>	

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].	TIMEFRAME	RESPONSIBLE ENTITY
<p>d. Provide adequate instruction and training to the [name military], prior to deployment and on a regular basis, on the use of force and appropriate conduct (including in relation to civilian-military engagement, SEA and SH, and other relevant areas) [, as set out in the [, [ESMP], [Security Management Plan], [MoU]];</p> <p>e. Ensure that the stakeholder engagement activities under the Stakeholder Engagement Plan (SEP) include communication on the involvement of [name military] in the Project;</p> <p>f. Ensure that any concerns or grievances regarding the conduct of [name military] are received, monitored, and documented (taking into account the need to protect confidentiality) by the Project’s grievance mechanism (see action 10.2 below), which shall facilitate its resolution, in accordance with ESS4 and ESS10. Notify the [World Bank/Bank/Association] after receiving the concern or grievance, as set out under action B above; and</p> <p>g. Where the [World Bank/Bank/Association] so request in writing, after consultation with the [Borrower/Recipient]: (i) promptly appoint a third- party monitor consultant, with terms of reference, qualifications and experience acceptable to the [World Bank/Bank/Association], to visit and monitor the Project area where [name military] are deployed, collect relevant data and communicate with Project stakeholders and beneficiaries; (ii) require the third-party monitor consultant to prepare and submit monitoring reports, which shall be promptly made available to and discussed with the [World Bank/Bank/Association]; and (iii) promptly take any actions, as may be requested by the [World Bank/Bank/Association] upon its review of the third-party monitor consultant reports.</p>		
<p>4.6 DAM SAFETY (FOR ANNEX A, PARA. 2. ESS4) [Annex A of ESS4 on Safety of Dams is relevant when a project supports a new dam, a dam under construction (DUC), or rehabilitation/upgrade of an existing dam, or if a project relies on a DUC or an existing dam. Dam safety measures depend on the specific circumstances of the project, as noted under paragraph 4 of Annex A of ESS4. A few example actions are provided below, which could be used or adapted depending on such circumstances. Consult with the Bank’s dam safety specialists in each case.]</p> <p>1. Establish and maintain an independent panel of experts (Panel), with terms of reference and composition acceptable to the [World Bank/Bank/Association], to, inter</p>	[Indicate timing]	

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].	TIMEFRAME	RESPONSIBLE ENTITY
<p>alia, review and advise on matters related to safety and other critical aspects of the [name of the dam] dam, its appurtenant structures, the catchment area, the area surrounding the reservoir, and downstream areas, as relevant. [Implement the recommendations made by the Panel, unless otherwise agreed to in writing by the [World Bank/Bank/Association]].</p> <p>2. Engage [one or more independent dam specialists] with terms of reference acceptable to the [World Bank/Bank/Association] to, inter alia: (a) inspect and evaluate the safety status of the [name existing dam or DUC] dam, its appurtenances, and its performance history; (b) review and evaluate the owner's operation and maintenance procedures; and (c) provide a written report of findings and recommendations for any remedial work or safety related measures necessary to upgrade the [name existing dam or DUC] dam to an acceptable standard of safety.</p> <p>3. Engage experienced and competent professionals for the supervision of the design and construction of [name of the dam] dam, and [require the owner of the dam to] adopt and implement dam safety measures during the design, bid tendering, construction, operation, and maintenance of the [name of the dam] dam and associated works.</p> <p>4. Adopt and implement the following Dam Safety Plans: (i) a plan for construction supervision and quality assurance; (ii) an instrumentation plan; (iii) an operation and maintenance plan; and (iv) an emergency preparedness plan.</p> <p>5. [Engage the Panel to] carry out a safety inspection of the [name of the dam] dam at intervals of not less than once every [insert frequency] during Project implementation, [by independent experts whose terms of reference shall be acceptable to the [World Bank/Bank/Association],] the first of said safety inspections to be carried out no later than [date/milestone].</p> <p>6. Enter into an agreement with [name owner of the dam], subject to terms and conditions acceptable to the [World Bank/Bank/Association], pursuant to which [name owner of the dam] shall be required to adopt and implement the following dam safety measures, in accordance with the ESSs: [specify key measures and/or dam safety plans].</p>		
<p>4.7 DAM SAFETY (FOR ANNEX A, PARA. 5. ESS4)</p>	<p>[Indicate timing]</p>	

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].		TIMEFRAME	RESPONSIBLE ENTITY
	<p>[For dams that do not fall under paragraph 2 of Annex A of ESS4, paragraph 5 of said Annex applies. See example action below]</p> <p>Engage qualified engineers to design dam safety measures for the [name of the dam] dam, in accordance with good international industry practice, and thereafter adopt and implement such measures.</p>		
ESS 5: LAND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT [the relevance of ESS5 is established during the ESA process. If resettlement instruments need to be prepared (e.g. resettlement process frameworks, resettlement action plans, process frameworks) this should be reflected in the ESCP. See examples below]			
5.1	<p>RESETTLEMENT POLICY FRAMEWORK [In cases where a Resettlement Policy Framework will be prepared, see example action below].</p> <p>Adopt and implement a Resettlement Policy Framework (RPF) for the Project, consistent with ESS5.</p>	[Indicate timing e.g. Adopt the RPF [prior to] [no later than] [insert date or milestone], and thereafter implement the RPF throughout Project implementation.].	
5.2	<p>RESETTLEMENT PLANS [As noted in Annex 1 para. 1 of ESS5, projects may use alternative nomenclature, depending on the scope of the resettlement plan—for example, where a project involves only economic displacement, the resettlement plan may be called a “livelihood plan” or where restrictions on access to legally designated parks and protected areas are involved, the plan may take the form of a “process framework”. See example action below]</p> <p>Adopt and implement a resettlement action plan (RAP) [for each activity under the Project for which the RPF requires such RAP], [as set out in the RPF,] [and] consistent with ESS5.</p>	[Indicate timing e.g. Adopt and implement the respective RAP, including ensuring that before taking possession of the land and related assets, full compensation has been provided and [as applicable] displaced people have been resettled and moving allowances have been provided.	
5.3	<p>GRIEVANCE MECHANISM [The grievance mechanism (GM) to address resettlement related complaints should be described in the RPF, RAPs and SEP. If there is a distinctive feature as to how ESS5 related grievances will be handled, this can be specified as a separate action in the ESCP under this row].</p>		
ESS 6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES [the relevance of ESS6 is established during the ESA process. As with other ESSs, ESS6 may require the adoption of specific measures that may be set out in an E&S instrument (e.g. ESMP) already mentioned in the section under ESS1 above or as a stand-alone instrument or a separate measure or action. See examples below].			

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].		TIMEFRAME	RESPONSIBLE ENTITY
6.1	<p>BIODIVERSITY RISKS AND IMPACTS [Where significant risk and adverse impacts on biodiversity have been identified, a Biodiversity Management Plan should be developed (paragraph 9 ESS6). See example action below]</p> <p>[Adopt and implement a Biodiversity Management Plan (BMP) [specify if part of another instrument, e.g., as part of the [ESMF] [ESMP]], [in accordance with the guidelines of the ESIA prepared for the Project, and] consistent with ESS6.</p>	[Indicate timing e.g., Adopt the BMP [prior to] [no later than] [insert date or milestone], and thereafter implement the BMP throughout Project implementation.]	
ESS 7: INDIGENOUS PEOPLES/SUB-SAHARAN AFRICAN HISTORICALLY UNDERSERVED TRADITIONAL LOCAL COMMUNITIES [See examples of possible actions below that can be used if determined that ESS7 is relevant, as set out in paragraph 54 of the E&S Policy and paragraphs 8-10 of ESS7].			
7.1	<p>INDIGENOUS PEOPLES PLANNING FRAMEWORK [In cases where an Indigenous Peoples Planning Framework is going to be prepared, see example action below. Remember that, as per paragraph 6 of ESS7, the name of the framework may be adjusted if needed].</p> <p>Adopt and implement an Indigenous Peoples Planning Framework (IPPF) for the Project, consistent with ESS7.</p>	[Indicate timing e.g., Adopt the IPPF [prior to] [no later than] [insert date or milestone], and thereafter implement the IPPF throughout Project implementation.]	
7.2	<p>INDIGENOUS PEOPLES PLAN [An indigenous peoples plan may or may not be preceded by a framework. In some circumstances, a broader integrated community development plan could be prepared (see para. 16-17 of ESS7). See example action below].</p> <p>Adopt and implement an Indigenous Peoples Plan (IPP) [for each activity under the Project for which the IPPF requires such IPP], [as set out in the IPPF,] [and] consistent with ESS7.</p>	[Indicate timing e.g., Adopt the IPP prior to the carrying out of any activity that requires the preparation of such IPP. Once adopted, implement the respective IPP throughout Project implementation.]	
7.3	<p>GRIEVANCE MECHANISM [The grievance mechanism to address complaints submitted by indigenous peoples should be described in the IPPF, IPPs, and SEP. If there is a distinctive feature as to how ESS7 related grievances will be handled, this can be specified as a separate action in the ESCP in this row].</p>		
ESS 8: CULTURAL HERITAGE [the relevance of ESS8 is established during the ESA process. As with other ESSs, ESS8 may require the adoption of specific measures that may be set out in an E&S instrument (e.g. ESMP) already mentioned in the section under ESS1 above or as a stand-alone instrument or a separate measure or action. See examples below].			

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].		TIMEFRAME	RESPONSIBLE ENTITY
8.1	<p>CULTURAL HERITAGE RISKS AND IMPACTS [Depending on the Project, it may be necessary for a Borrower to develop a Cultural Heritage Management Plan (paragraph 9 of ESS8). See example action below]</p> <p>Adopt and implement a Cultural Heritage Management Plan (CHMP) [specify if part of another instrument, e.g., as part of the [ESMF] [ESMP]], [in accordance with the guidelines of the ESIA prepared for the Project, and] consistent with ESS8.</p>	[Indicate timing e.g., Adopt the CHMP [prior to] [no later than] [insert date or milestone], and thereafter implement the CHMP throughout Project implementation.]	
8.2	<p>CHANCE FINDS Describe and implement the chance finds procedures, [specify the instrument that describes these procedures, e.g. as part of the [ESMF] [ESMP]] of the Project.</p>	[Indicate timing e.g. Describe the chance find procedures in the [ESMF] [ESMP]. Implement the procedures throughout Project implementation].	
ESS 9: FINANCIAL INTERMEDIARIES [This standard is only relevant for Projects involving Financial Intermediaries (FIs).]			
9.1	<p>ENVIRONMENTAL AND SOCIAL MANAGEMENT SYSTEM (ESMS) [ESS9 applies to all FIs that receive support from the Project, including Participating FIs. As per paragraph 13 of ESS9, the relevant aspects of ESS2 apply to FIs. See below a couple of examples actions that can be considered when FIs are involved].</p> <p>Develop, maintain, and implement an ESMS to identify, assess, manage, and monitor the environmental and social risks and impacts of [FI subprojects] [that receive support from the Project] [the Project]. The ESMS shall include, inter alia, the following elements:</p> <ul style="list-style-type: none"> • Identification of the [FI subprojects] that may receive support from the Project]. • An environmental and social policy endorsed by [name of the FI] senior management [, including] [specify any details on the E&S policy that may be relevant]. • Clearly defined procedures for the identification, assessment and management of the environmental and social risks and impacts of [FI subprojects], in accordance with ESS9, including, inter alia, stakeholder engagement and disclosure requirements [applicable to FI subprojects]. • Exclusion list with the [activities] [FI subprojects] that are not eligible for financing, • An organizational capacity and competency for implementing the ESMS with clearly defined roles and responsibilities [specify details, as needed, or cross-references to other relevant ESCP actions, e.g., as set out in actions 9.3 and 9.4 below]. • Monitoring and reporting of environmental and performance of [FI subprojects] and the effectiveness of the ESMS. 	[Indicate timing e.g. the Establish and operationalize ESMS before carrying out screening of any proposed [FI subproject]. Once established, maintain and implement the ESMS throughout Project implementation].	

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].		TIMEFRAME	RESPONSIBLE ENTITY
	<ul style="list-style-type: none"> Incidents and accidents notification and subsequent reporting requirements [consider a cross-reference to action B above e.g. as set out in action B above]. An external communications mechanism, including measures to respond to public enquiries and concerns in a timely manner. [specify other relevant elements or characteristics as relevant]. <p>Disclose a summary of each of the elements of the ESMS through the relevant website.</p>		
9.2	<p>EXCLUSIONS</p> <p>Screen all proposed [activities] [FI subprojects] against the exclusion list set out in the [name document where the exclusions are detailed, e.g Operations Manual].</p>	Screen [FI subprojects] before determining whether they are eligible to receive support from the Project.	
9.3	<p>FI ORGANIZATIONAL CAPACITY</p> <p>Establish and maintain an organizational capacity and competency for implementing the ESMS with clearly defined roles and responsibilities [where relevant, identify specific positions/resources for E&S management that are a part of the organizational structure].</p>	[Specify date/milestone by when organizational capacity needs to be in place, including specific positions/resources].	
9.4	<p>SENIOR MANAGEMENT REPRESENTATIVE</p> <p>Designate a senior management representative to have overall accountability for environmental and social performance of [FI subprojects] that receive support from the Project.</p>	[Specify date/milestone by when the senior management representative needs to be designated].	
ESS 10: STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE			
10.1	<p>STAKEHOLDER ENGAGEMENT PLAN PREPARATION AND IMPLEMENTATION</p> <p>[See example below].</p> <p>Adopt and implement a Stakeholder Engagement Plan (SEP) for the Project, consistent with ESS10, which shall include measures to, inter alia, provide stakeholders with timely, relevant, understandable and accessible information, and consult with them in a culturally appropriate manner, which is free of manipulation, interference, coercion, discrimination and intimidation.</p>	[Indicate timing: e.g. Adopt the SEP [prior to] [no later than] [insert date or milestone], and thereafter implement the SEP throughout Project implementation.]	
10.2	<p>PROJECT GRIEVANCE MECHANISM</p> <p>[All projects should have a grievance mechanism proportionate to the potential risks and impacts of the respective project, as per ESS10 para. 26-27. see an example action below, which can be adapted based on the project’s risks, including SEA/SH risks.]</p>	[Indicate timing: e.g. Establish the grievance mechanism [prior to] [no later than] [insert date or milestone], and thereafter maintain and operate the mechanism throughout Project implementation.]	

MATERIAL MEASURES AND ACTIONS [The actions listed below are illustrative (unless otherwise explicitly specified with a “NOTE”) – delete or adjust them, or add new actions as needed].		TIMEFRAME	RESPONSIBLE ENTITY
	<p>Establish, publicize, maintain, and operate an accessible grievance mechanism, to receive and facilitate resolution of concerns and grievances in relation to the Project, promptly and effectively, in a transparent manner that is culturally appropriate and readily accessible to all Project-affected parties, at no cost and without retribution, including concerns and grievances filed anonymously, in a manner consistent with ESS10.</p> <p>The grievance mechanism shall be equipped to receive, register, and facilitate the resolution of SEA/SH complaints, including through the referral of survivors to relevant gender-based violence service providers, all in a safe, confidential, and survivor-centered manner.</p>		
CAPACITY SUPPORT			
CS1	<p>[Specify Training to be provided and targeted groups For example, training may be required for [e.g. PIU staff, stakeholders, communities, Project workers] on:</p> <ul style="list-style-type: none"> • stakeholder mapping and engagement • specific aspects of environmental and social assessment • emergency preparedness and response • community health and safety.] 		
CS2	<p>[Specify training for Project workers on occupational health and safety including on emergency prevention and preparedness and response arrangements to emergency situations.]</p>		

