



## MINISTRY OF WATER



Project No: 160672

## CONTINGENT EMERGENCY RELIEF COMPONENT (CERC)

### SECTION OF THE ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF) - ADDENDUM

November 2021

## **Acronyms**

<b>AIDS</b>	Acquired Immune Deficiency Syndrome
<b>CERC</b>	Contingent Emergency Relief Component
<b>CLO</b>	Community Liaison Officer
<b>DMA</b>	Disaster Management Authority
<b>DRP</b>	Disaster Relief Plan
<b>DRWS</b>	Department of Rural Water Supply
<b>DSTI</b>	Daily Safe Task Instruction
<b>DWA</b>	Department of Water Affairs
<b>EAP</b>	Emergency Action Plan
<b>EHS</b>	Environment Health and Safety
<b>ESA</b>	Environment and Social Assessment
<b>ES</b>	Environment and Social
<b>ESMF</b>	Environment and Social Management Framework
<b>ESMP</b>	Environment and Social Management Plan
<b>ESS</b>	Environment Safeguards Specialist
<b>GBV</b>	Gender Based Violence
<b>GRM</b>	Grievance Redress Mechanism
<b>HIV</b>	Human Immunodeficiency Virus
<b>KPI</b>	Key Performance Indicators
<b>LLWDP II</b>	Lesotho Lowlands Water Development Project II
<b>MoDP</b>	Ministry of Development Planning
<b>MoF</b>	Ministry of Finance
<b>MoW</b>	Ministry of Water
<b>NDRTF</b>	National Disaster Relief Task Force
<b>OHS</b>	Occupational Health and Safety
<b>OP</b>	World Bank's Operational Policies
<b>PAP</b>	Project Affected People
<b>PIU</b>	Project Implementing Unit
<b>PM</b>	Project Manager
<b>RCCE</b>	Risk Communication & Community Engagement
<b>RPF</b>	Resettlement Policy Framework

**SEA** Sexual Exploitation and Abuse  
**SSS** Social Safeguards Specialist  
**WASCO** Water and Sewage Company

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## 2. Introduction

This document is prepared as an addendum to the existing Environmental and Social Management Framework (ESMF) of the Lesotho Lowlands Water Development Project-II (LLWDP II – 24<sup>th</sup> January 2019)<sup>1</sup>. It was developed to describe additional information on the environmental and social safeguards, as well as Occupational Health and Safety (OHS) and Sexual Exploitation and abuse/Sexual Harassment/Gender/GBV requirements for the implementation of the proposed activities to be carried out under Component 4 of the Project and in line with the relevant environmental and social regulations of the Lesotho legal framework as well as the World Bank’s Operational Policies.

An Environmental and Social Management Framework (ESMF) was prepared in November 2018 and disclosed on 24<sup>th</sup> January 2019 which established procedures for screening all proposed sub-projects/investments for their potential adverse environmental and social impacts; specified measures for managing, mitigating and monitoring environmental and social impacts during project operation; and outlined training and capacity building arrangements needed to implement the ESMF provisions. The ESMF proposed a generic Environmental and Social Management Plan (ESMP) to mitigate potential impacts during project implementation.

A Resettlement Policy Framework (RPF) was also prepared in May 2018 and disclosed in June 2018 to address any resettlement impacts and issues that may occur for sub-projects identified during implementation. Screening criteria and relevant protocols are included as part of the RPF. The RPF defines terms and provides guidance for involuntary acquisition of land or other assets (including restrictions on asset use) and establishes principles and procedures to be followed to ensure equitable treatment for, and rehabilitation of, any persons adversely affected.

The Ministry of Water (MoW) will be responsible for the development, implementation, and coordination of the water sector CERC. The Ministry of Finance (MoF) will be the key custodian of the financing arrangements, whilst the Ministry of Development (MoDP) will provide the overall performance monitoring of the proposed interventions. The Disaster Management Authority will be responsible for the assembly of the National Disaster Relief Task Force as well as the Disaster Relief Plan. The Lesotho Lowlands Water Development Project-II, as the funding body through the Ministry of Water, will be responsible for the overall preparedness and implementation of the CERC programme.

The principles of CERC, as provided by the World Bank’s policies and procedures, are: (i) it represents bridge financing for immediate emergency recovery needs while other more medium-term support is made available; and as such, (ii) it should focus on activities that help minimize emergency impacts on affected communities (for example, repairs to water systems, reconnecting roads temporarily, etc.), (iii) it should avoid activities with complex environmental and social aspects (for example resettlement), (iv) it should not include medium term institutional development, capacity building and reconstruction of infrastructure requiring complex engineering assessments, designs and execution.

An Eligible Crisis or Emergency is defined by the World Bank as an event that has caused or is likely to imminently cause a major adverse economic and/or social impact associated with natural or man-made crises or disasters. This may include: (i) cyclone; (ii) earthquake; (iii) storm; (iv) storm surge and strong waves; (v) tornado; (vi) tsunami; (vii) volcanic eruption; (viii) flood; (ix) landslides; (x) forest

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<sup>1</sup> <https://llwdp.co.ls/download/esmf-llwdp-ii-distribution/>

fires; (xi) drought; (xii) severe weather; (xiii) extreme temperature; (xiv) high winds; (xv) Dam break and (xvi) any natural disaster.

The guidance and procedures included in this CERC-ESMF should be considered in the Emergency Response Manual (ERM) that will be prepared during the project implementation, and will contain the environmental and social requirements, if the CERC is activated. The guidelines and procedures included in this CERC-ESMF addendum takes into account the Safeguards requirements for CERC as set out in the World Bank Directive *Contingent Emergency Response Components (CERC)* (October, 2017)<sup>2</sup>

### 3. Background

In February 2021, Lesotho experienced floods that resulted in damage to water supply infrastructure in both urban and rural water supply networks in all ten districts of the country. Therefore, the Right Honourable the Prime Minister of Lesotho, Dr. Moeketsi Majoro on the 16th February 2021 declared a state of National Emergency in Lesotho, as a result of these damages and losses to assets and lives caused by the recent heavy rainfall. Damages and losses of assets include wellpoints and surface abstraction pumps, distribution mains, gravity mains, boreholes that have been washed away, as well as silting of hydrometric stations.

The Government subsequently made a request to the World Bank for aid assistance. In line with the Financing Agreement of the Lesotho Lowlands Water Development Project, Phase II such a request triggered the Component IV of the project, the Contingent Emergency Relief Component. To this effect, the various departments and agencies in the water sector, under coordination of the Water Commissioner, have developed an Emergency Action Plan (EAP) (Appendix 3) that will be implemented over the (6) month period of October 2021 – March 2022.

### 4. Scope of CERC-ESMF

This CERC Environmental and Social Management Framework (CERC-ESMF) is developed to support the identification, avoidance, minimization and mitigation of adverse environmental and social impacts resulting from the implementation of the proposed CERC activities in line with the relevant environmental and social regulations of the Lesotho legal framework and the World Bank's Operational Policies, as detailed in the project's environmental and social safeguards instruments such as the ESMF, RPF<sup>3</sup> and ESMPs<sup>4</sup>.

Where risks and impacts of planned CERC activities overlap in nature and geographic scope with those identified in the existing ESMF, the environmental and social provisions for mitigating risks and impacts in the existing ESMF will apply. In the event that overlap is not established, new environmental and social provisions for mitigating risks and impacts associated with the proposed CERC activities are provided under this CERC-ESMF.

The CERC-ESMF presents the underlying environmental and social principles, rules, guidelines and procedures for implementing the planned CERC activities. It outlines proposed activities, defines eligible activities, establishes procedures to assess the environmental and social impacts associated with the eligible activities, and lays down measures to reduce, mitigate and/or offset potential

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<sup>2</sup> [Worldbank.org/en/projects-operations/products-and-services/brief/procurement-new-framework#framework](https://worldbank.org/en/projects-operations/products-and-services/brief/procurement-new-framework#framework).

<sup>3</sup> <https://llwdp.co.ls/download/llwssp-resettlement-policy-framework/>

<sup>4</sup> <https://llwdp.co.ls/publications/>

negative impacts. It also identifies implementation arrangements for environment and social safeguards.

## 5. Identification of Potential Activities the CERC could finance.

The activities to be carried out if the CERC Component is activated include: goods, services, and works as identified in Table 1 below.

The activities or subprojects that will be financed by the CERC Component will avoid activities or subproject with complex environmental and social aspects (for example resettlement), as indicated by section 1.5 above, because the CERC objective is to support immediate priority activities (less than 18 months). The subprojects with more environmental and social complexity could be financed with other specific sources of financing.

**Table 1: Positive list of goods, services and works**

<b>Item</b>
<b>Goods</b>
<ul style="list-style-type: none"> <li>• All goods related to the sourcing, supply, management, conservation and reticulation of water, both bulk and piped.</li> <li>• All goods related to the provision of sanitation. This shall include tools, fixtures and equipment necessary.</li> </ul>
<b>Services</b>
<ul style="list-style-type: none"> <li>• Design services related to the water and/or sanitation infrastructure as necessary to improve the supply of water or sanitation services.</li> <li>• Built/ Construction services related to water supply and/or sanitation services.</li> <li>• Technical Assistance services to improve and/or correct services provided by an institution in the water sector</li> <li>• Capacity building exercises to provide improved skills and knowledge for sustainable management of the water and/or sanitation services.</li> </ul>
<b>Works</b>
<ul style="list-style-type: none"> <li>• Repair of damaged infrastructure including, but not limited to: water supply and sanitation systems, dams, reservoirs, canals, roads, bridges and other water related-infrastructure damaged by the event</li> <li>• Re-establish of the urban and rural solid waste system, water supply and sanitation (including urban drainage)</li> <li>• Cleaning and drilling of collapsed boreholes, including re-equipping with the required fixtures and appliances for functionality, such as Data loggers and remote radar sensors.</li> </ul>
<b>Training</b>
<ul style="list-style-type: none"> <li>• Conduct necessary training related to emergency response including, but not limited to the Implementation of Emergency Action Plan (EAP)</li> <li>• Training on rapid needs assessment and other related assessments</li> </ul>
<b>Emergency Operating Costs</b>

- Incremental expenses by the Government for a defined period related to early recovery efforts arising as a result of the impact of an eligible emergency. This includes, but is not limited to: operational costs<sup>5</sup> and rental of equipment

Table 2 below provides the geographic scope, responsible agencies and estimated costing involved for the planned CERC activities under LLWDP-II Component 4.

**Table 2: Planned CERC Activities Under LLWDP-II Component 4**

Responsible Agency	Activities	Cost (Maluti)	Geographic Scope
Department of Water Affairs (DWA)	Construction of, and repair of Damages to Hydrometric Stations	1,455,809.00	Koma-Koma; Maseru; Masianokeng; Kolonyama; Quthing; Pont Main, Mokhotlong; Tele; Mantšonyane; Thabana-Li-‘Mele; Makhaleng and Mofolaneng.
	Water Resources & Flood Monitoring & Response Equipment	15,781,500.00	Hlotse at Ha setene, Mohokare at Maseru, Makhaleng at Makhaleng Bridge, Senqu at Seaka, Tsoelike at Tsoelike Bridge, Senqunyane at Ha Nkai Road Bridge, South Phuthiatsana at Masianokeng, North Phuthiatsana at Kolonyama, Senqu at Koma-Koma, Seapala at Seapala Bridge, Maphutseng at Maphutsaneng, Mohokare at Caledon Spoort, Mohokare at Maputsoe, Senqunyane at Marakabei, Senqunyane at Hloahloeng, Tele at Tele Bridge, Makhaleng at Mohale's Hoek Border Post, Tsoaing at Motsekuoa, North Phuthiatsana at Mapoteng, Senqu at Mohlapiso, North Phuthiatsana at Mapoteng
Water and Sewage Company (WASCO)	Repairing Water Systems	10,551,000.00	Maseru, Mohale’s Hoek, Semonkong, Quthing, Maputsoe, Mapoteng, Hlotse
Department of Rural Water Supply (DRWS)	Repairing of Gravity systems	13,672,995.98	Maseru, Mokhotlong, Thaba-Tseka, Botha-Bothe, Leribe, Berea, Mafeteng, Qacha’s Nek, Quthing
	Repairing of Solar and electric pumping systems	3,149,808.08	

<sup>5</sup> As per Financing Agreement, “Operating Costs” means the incremental operating cost including office supplies, vehicle operation and maintenance costs, utilities communication charges, per diems and travel allowances, but excluding salaries of the Recipient’s civil service and sitting allowances.”

	Repairing of Diesel Pumping	268,308.75	

## 6. Potential Environmental and Social (ES) Impacts

Implementation of the activities will be positive and urgently needed. The proposed emergency works and activities to be financed under the CERC between October 2021 to March 2022 (see Table 1) are small and medium scale works, or the provision of essential goods and services. The potential negative impacts are expected to be moderate, localized, and temporary that can be mitigated through the implementation of the existing safeguards instruments of the LLWDP II and close supervision by the site engineers and E&S safeguards specialists (DWA, DRWS, WASCO & LLWDP II). The required mitigation measures have been included as part of the Environment and Social Management Plan (ESMP) prepared.

In terms of social impacts, activities that will result in the involuntary taking of land, relocation of households, loss of assets or access to assets that leads to loss of income sources or other means of livelihoods, and interference with households' use of land and livelihoods will not be supported. Therefore, every effort has been made to eliminate activities that may result in such impacts.

Workers contracted to conduct civil or other works for contingency activities, will have to sign a worker's code of conduct, which covers issues such as preventing gender-based violence, as well as sexual assault and abuse. In addition, construction works or use of goods and equipment involving forced labour, child labour, or other harmful or exploitative forms of labour are prohibited.

The parent project's GRM procedures apply to CERC activities. However, there is no independent worker's GRM for the project, workers will utilize the common GRM in place.

The implementing agencies will follow the ongoing citizen engagement and stakeholder consultation procedures of the parent project, as stipulated in the RPF-Chapter 6: Consultation, ESMF-7.2.3 Public Consultations, ESIA-Chapter 7 Stakeholders/Public Participation<sup>6</sup>. Training, communication and public-awareness activities will follow Covid 19 protocols and include special provisions to ensure that they meet requirements established at the project's safeguards instruments and the guidance from Risk communication and community engagement (RCCE) readiness and response to the 2019 novel coronavirus (2019-nCoV).

Table 3 below identifies potential impacts of the proposed activities/subprojects. Due consideration will be given to ensure compliance with the WB Group's Environmental, Health and Safety (EHS) Guidelines (General and Specific) and ESF/safeguards interim note: COVID-19 considerations in construction/civil works projects.

<sup>6</sup> <https://llwdp.co.ls/download/final-esia-zones-2-and-3/>

**Table 3. Potential impacts of the proposed activities to be carried out under Component 4 (CERC)**

No	Subprojects/Activities (nationwide)	Potential ES impact issues (risks)	Expected Significance
1	Construction of and repairs of Damages to Hydrometric Stations <ul style="list-style-type: none"> <li>- De-siltation of towers</li> <li>- Erosion repairs (gabion installation)</li> <li>- Relocation of hydrometric stations</li> </ul>	Increase dust, noise, water pollution, solid/hazardous/toxic waste, waste oils/fuel, construction debris, public and occupational health and safety.	Moderate
2	Repair of damaged Water Supply and Resource Monitoring infrastructure damaged by the event. <ul style="list-style-type: none"> <li>- Cleaning and refurbishment of collapsed boreholes</li> <li>- Replacement of gauge plates</li> <li>- Installation of flood monitoring sensors</li> </ul>	Increase dust, noise, water pollution, solid/hazardous/toxic wastes, waste oil/fuels, public health and safety; workers occupational health & Safety, community health and safety and impacts on vulnerable groups.	Moderate
3	Re-establishment of the urban and rural water supply systems. <ul style="list-style-type: none"> <li>- Installation of gravity feed systems</li> <li>- Solar and electrical pumps</li> <li>- Diesel pumps</li> </ul>	Increase dust, noise, water pollution, solid/hazardous/toxic wastes, waste oil/fuels, public health and safety; workers occupational health & Safety and impacts on vulnerable groups.	Moderate
4	Removal and disposal of debris associated with any eligible activity	Waste management and disposal	Moderate
5	Temporary construction mobile toilets	Hygiene, workers occupational health & Safety waste management	Moderate

To ensure that adverse impacts will not occur given the nature of emergency, the items and activities identified in Table 4 are prohibited.

**Table 4. Prohibited Activities for CERC**

AREA	SOCIAL	ENVIRONMENT
Water Infrastructure	<ul style="list-style-type: none"> <li>• Sub-projects requiring permanent land acquisition will be avoided for CERC activities if possible.</li> <li>• Sub projects that will have permanent impacts on assets and livelihoods of people.</li> <li>• Use of land that has disputed ownership, tenure or user rights.</li> </ul>	Sub-projects that: <ul style="list-style-type: none"> <li>• Activities of any type classifiable as Category A.</li> <li>• Involve a significant conversion, clearance or degradation of critical natural habitats, forests, environmentally sensitive areas, significant biodiversity and/or protected conservation zones.</li> </ul>

	<ul style="list-style-type: none"> <li>• All Category A sub-projects requiring large scale land acquisition; and</li> <li>• Any projects that are known to lead to GBV, SEA, and/or child labour.</li> <li>• Construction works, or the use of goods and equipment on lands abandoned due to social tension / conflict, or the ownership of the land is disputed or cannot be ascertained</li> <li>• Construction works, or the use of goods and equipment to demolish or remove assets, unless the ownership of the assets can be ascertained, and the owners are consulted</li> <li>• Construction works, or the uses of goods and equipment involving forced labor, child labor, or other harmful or exploitative forms of labor.</li> </ul>	<ul style="list-style-type: none"> <li>• Will negatively affect rare or/and endangered species.</li> <li>• Purchase, apply or store pesticides or hazardous material (e.g., asbestos); and</li> <li>• Activities affecting protected areas (or buffer zones thereof) other than to rehabilitate areas damaged by natural disasters.</li> <li>• Sand mining or land reclaiming (Draining or in-filling of wetlands or water courses to create land).</li> <li>• Land clearance and levelling in areas that are not affected by debris resulting from eligible crisis or emergency.</li> <li>• Activities which, when being carried out, would affect, or involve the use of, water of rivers or of other bodies of water (or their tributaries) which flow through or are bordered by countries other than the Borrower/Recipient, in such a manner as to in any way adversely change the quality or quantity of water flowing to or bordering said countries.</li> <li>• Use of asbestos-based construction materials for reconstruction works</li> </ul>
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## 7. Environmental and Social Management Framework Process

When the CERC component is activated, LLWDP II will carry out the following steps:

- ✓ **Step 1: Application of the ES Screening Form.** The ESMF includes a template to screen the subprojects from an ES point of view. This form will be used also for the CERC subprojects. The prohibited activities for CERC in Table 4 will also be applied. Given that the CERC objective is to support immediate priority activities (less than 18 months), the activities or subprojects with resettlement issues will be avoided.
- ✓ **Step 2: Identification of ES issues and preparation of mitigation plans.** Based on the results from Step 1, LLWDP II will prepare an ESMP for the CERC subprojects describing the works/activities and mitigation measures to be conducted during detailed design, bidding/contract, repair/restoration, and closure plans, taken into account the magnitude, scope, and nature of the emergency. The contractor will be required to ensure that all works are safe and that all hazardous materials and wastes are safely and appropriately managed during the implementation of the subproject. Consultation with local authorities and communities will be made during this stage.

- ✓ **Step 3: *WB clearance and GOL approval.*** The CERC ESMP - will be cleared by WB (pre or post) as agreed as well as approved by the Department of Environment.
- ✓ **Step 4: *Implementation and M&E.*** The approved ESMP - will be implemented according to the agreed implementation arrangement. The Ministry of Water (MoW) will monitor the implementation on the ground and report the results to Cabinet. Consultation with stakeholders will be made during the process.
- ✓ **Step 5: *Completion and Evaluation.*** Once the CERC subproject has been completed, LLWDP II will monitor and evaluate the results before closing the contract. Any pending issues and/or grievance must be solved before the subproject is considered fully completed. LLWDP II will submit the completion report describing the compliance of safeguard performance and submit it to WB when required.

## 8. Institutional Arrangement for Project Implementation

Ratified by Parliament of Lesotho the Disaster Management Act No.2 of 1997 sets out that the Disaster Management Authority (DMA) has the absolute rights, powers, and functions to make provisions with respect to emergencies arising out of disasters including prevention, mitigation, preparedness, response, and recovery measures for the protection of life and property from the effects of the disaster(s). The DMA shall be responsible to the Office of the Right Honourable the Prime Minister.

At any given declared State of Disaster/ Emergency, there shall be established a National Disaster Relief Task Force (NDRTF), that shall exist and provide policy guidance for the duration of the disaster declaration. This is a Minister's Task Force, chaired by the Right Honorable the Prime Minister. The responsibilities of this Task Force shall include amongst others to:

- Mobilize funds, manpower and other resources required to implement the National Disaster Relief Plan.
- Initiate the creation of appropriate institutional structures to support the implementation of the Disaster Relief Plan.
- Initiate and approve requests for foreign assistance.
- Supervise, Monitor and Oversee the implementation of the Disaster Relief Plan (DRP).

To undertake their work, the Disaster Management Authority (DMA) shall have in it six (6) permanent established working groups namely:

- the Executive Group.
- the Training Group.
- the Water & Sanitation Group.
- the Health & Nutrition Group.
- the Food & Logistics Group.
- the Agriculture Group.

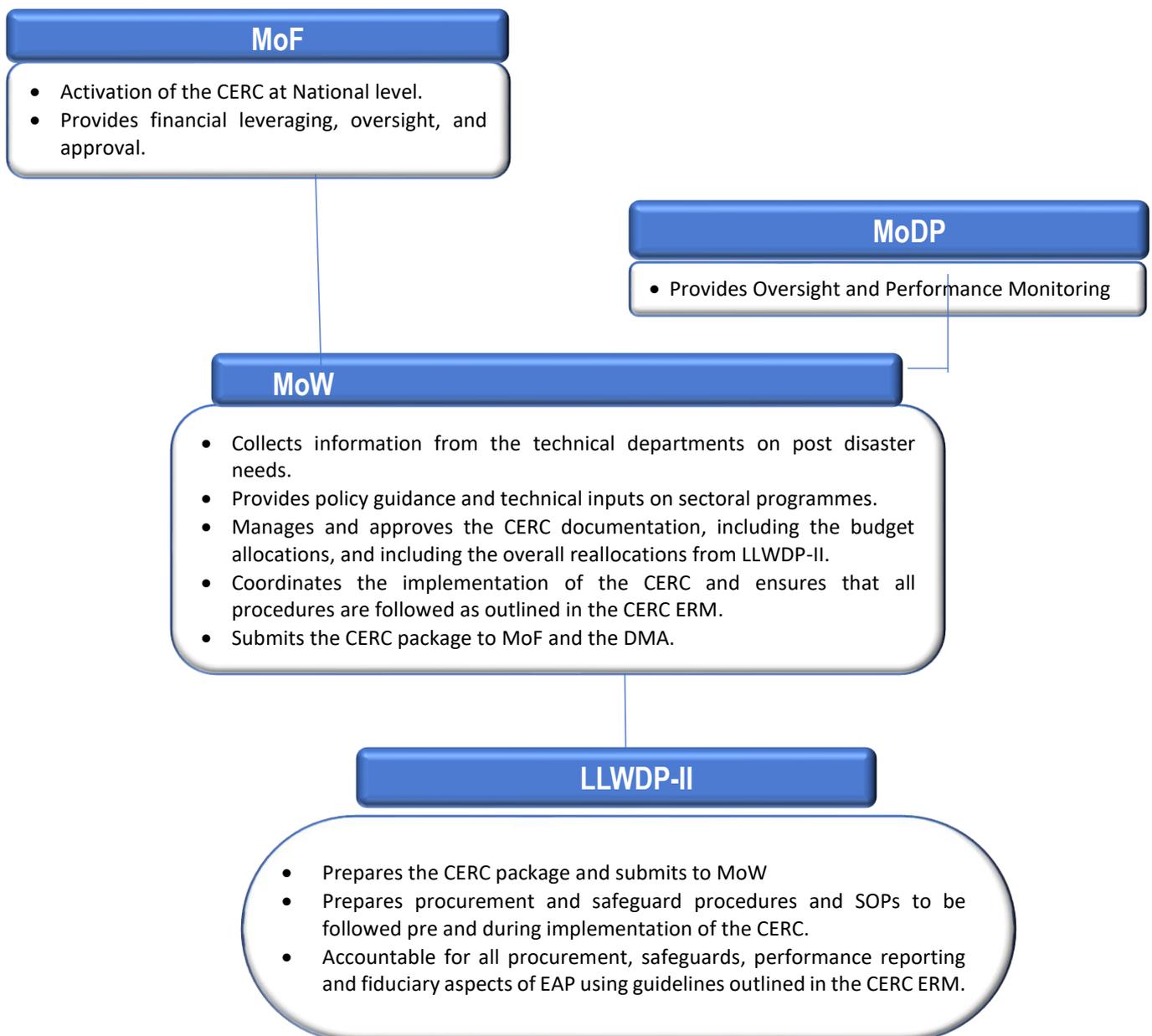
Falling under the Water & Sanitation Group, the Ministry of Water (MoW) shall be responsible for the development, implementation, and coordination of the water sector CERC.

The GoL shall include the Ministry of Finance (MoF) as the key custodian of the financing arrangements, whilst the Ministry of Development (MoDP) shall provide the overall performance monitoring of the proposed interventions.

The Lesotho Lowlands Water Development Project-II as the funding body through the Ministry of Water, shall be responsible for the overall preparedness and implementation of the CERC programme. The specific activities of the LLWDP-II shall include:

The Preparation of the CERC EAP documentation to:

- Provide guidance on the procurement procedures to be followed during implementation of the CERC.
- Provide a financial management platform for all CERC activities, including the recording and audit of all transactions.
- Provide Environmental and Social Safeguards framework for the preparation and implementation of the CERC activities.
- Provide detailed monitoring and reporting of all activities including compliance with the Environmental and Social Management Plan (Annexure 5) implemented under CERC.



**Figure 1: Implementation Arrangements for CERC**

The Lesotho Lowlands Water Development Project Phase II (LLWDP II) will be responsible for the overall procurement issues and preparation of the safeguard's instruments ensuring that the project is screened, stakeholder engagement is done, safeguards documents are prepared, cleared and disclosed prior to approval and implemented throughout the project cycle.

To enhance monitoring, three monitoring instruments have been developed namely Weekly Environmental and Social Monitoring Sheet, Monthly ESMP Compliance Monitoring and Evaluation Checklist as well as Monthly Reporting Template. On a weekly basis, the PIU Environmental and Social Specialist (ESS) S will undertake inspection of environmental and social issues on-site to measure their performance against given key performance indicators (KPI). This exercise will be done in the presence of the PIU-CLO for them to sign-off the monitoring sheets. The PIU-CLO will in turn perform daily and weekly monitoring in the absence of the ESS using the monthly monitoring checklist. Using the collected data, the PIU-CLO will generate information to draw up the monthly report to the SSS following the Monthly Reporting Template.

The Department of Water Affairs (DWA), Department of Rural Water Supply (DRWS) and Water and Sanitation Company (WASCO) will prepare the structural designs, will appoint the Contractor and ensure smooth implementation of construction activities.

## 9. Grievance Redress Mechanism

Grievances may take the form of specific complaints for actual damages or injury, general concerns about project activities, incidents and impacts, or perceived impacts. Therefore, the grievance may either be negative or positive. The IFC standards require Grievance Mechanisms to provide a structured way of receiving and resolving grievances. Complaints should be addressed promptly using an understandable and transparent process that is culturally appropriate and readily acceptable to all segments of affected communities and is at no cost and without retribution. The mechanism should be appropriate to the scale of impacts and risks presented by a project and beneficial for both the company and stakeholders. The mechanism must not impede access to other judicial or administrative remedies. Therefore, the GRM is an effective tool for early identification, assessment, and resolution of complaints on projects.

The GRM will ensure that community members or any stakeholders are able to raise their concerns regarding project-related activities, including the application of relevant social and environmental safeguards and mitigation measures. The GRM, once fully functional, will help to safeguard LLWDP-II funds and reputation in that it gives the LLWDP-II a method of effectively collecting and responding to key stakeholders' inquiries, suggestions (positive or/and negative), concerns, and complaints that, if left unresolved, may result in the derailment of the whole project (Figure 2 illustrates).



**Figure 2: Purpose and objectives of GRM for LLWDP II**

### **Grievance Process**

The process used to lodge a complaint follows World Bank Guidelines which state that a GRM should establish a recording and reporting system under which grievances can be filed verbally or in written form. The process is done in the following steps:

- The complainant will fill in a grievance form.
- The grievance will be received and recorded.
- The grievance will be assessed and assigned to the level at which it will be dealt with.
- The LLWDP II Community Liaison Officer (CLO) will acknowledge the grievance.
- The LLWDP II CLO will investigate the grievance.
- The LLWDP II CLO will respond to the grievance.
- The grievance will be resolved.
- If not, the complainant can appeal to the Project Grievances Committee which comprises Project representatives, community representatives, Community or local Council.
- If a resolution is made, the matter is recorded and closed off.
- Any complainant who still dissatisfied after the processes have been followed can seek redress in the courts of law.

### **GRM Structure**

A three-tier structure for the GRM is proposed to address all complaints during project and sub-project implementation.

#### **First Tier Redress: Community Tier**

The main target group at this level are communities and project beneficiaries. At every community unit, three community leaders will be selected by the communities themselves and trained to handle complaints. The three community leaders and one village chief will work under the supervision of the Community Council Secretary. All project beneficiaries will be informed of the designated complaints

recipients. These three community leaders will dedicate days when they are available to receive and resolve complaints.

Once they receive a complaint, they will register it in the appropriate form (**Form LLWDP/GRM/001**), investigate it and recommend action.

If the complainant is not satisfied with the recommendation, they should be advised to report to the second-tier redress. The selected community leaders shall submit a quarterly report using standardized **LLWDP-II/GRM/005** format attached in the appendix. The report shall be submitted to the CLO for onward submittal to the PIU.

#### ***Membership of the Community Level GRM Committee***

- Community Council Secretary
- Representative of the PAPs
- Women representative from the PAPs
- Youth representative from the PAPs
- Representative of Vulnerable Groups
- Village Chief
- Community Liaison Officer- Secretariat

#### **Second Tier Redress: District Level**

The main target group at this level are the project implanting agencies, executers, contractors, communities, project beneficiaries and their related institutions. A district level grievance handling committee shall be appointed and trained to handle complaints. This committee will work under the supervision of the District Council Secretary. All stakeholders will be informed of the existence of the committee. This committee shall dedicate days when they are available to receive and resolve complaints.

Once they receive a complaint, they will register it in the appropriate form (**Form LLWDP-II/GRM/001**), investigate it and recommend action.

If the complainant is not satisfied with the recommendation, they should be advised to report to the third-tier redress. The committee shall submit a quarterly report using standardized **LLWDP-II/GRM/005** format attached in the appendix. The report shall be submitted to the CLO for onward submittal to the PIU.

#### ***Membership of the District Level GRM Committee***

- District Council Secretary
- District Officer (Ministry of Water)
- District Officer (Ministry of Environment)
- District Officer (Department of Roads)
- Representative of the Community Level Committee
- Community Liaison Officer- Secretary
- Non-Governmental Organizations represented by LCN

### **Third Tier Redress: National Level**

The main targets at this level are the funding agencies, project implementers, communities and project beneficiaries. A national level grievance handling committee shall be made up of Environmental and Social safeguards Specialists and the Legal Manager of LLWDP-II.

Once they receive a complaint, they will register it in the appropriate form (**Form LLWDP-II/GRM/001**), investigate it and recommend action.

If the complainant is not satisfied with the recommendation, they shall be advised to seek further recourse with the Ombudsman or the courts of law. The PIU GRM committee shall prepare a quarterly report using standardized **LLWDP-II/GRM/005** format attached in the appendix. The report will be shared with Commissioner of Water, World Bank and European Investment Bank.

After registering a complaint, the committee will set a date to investigate the matter after which they will make a recommendation. If necessary, meetings will be held with the complainants and the officers concerned to find a solution to the problem and make arrangements for grievance redress. The deliberations of the meetings and decisions will be recorded using LLWDP/GRM/003 format attached in the annex.

#### ***Membership of the National Level GRM Committee***

- Social Safeguards Specialist
- Community Liaison Officer
- Environment Safeguards Specialist
- Legal Services Manager
- Project Manager
- Monitoring and Evaluation Specialist

#### **Mode of submitting Grievances**

At all levels of the GRM Structure complaints can be filed verbally, in writing, over the phone, via email, LLWDP-II website and social media channels. As soon as a complaint is received, an acknowledgement form LLWDP-II/GRM/002 shall be issued.

#### **Timeline for processing Grievances**

**At First Tier: Community Level** resolution of a grievance will be done within ten (10) working days and notification of the fact will be sent through standardized Disclosure Form LLWDP-II/GRM/004. Should the grievance not be resolved within this period it will be referred to the next level redress. Also, if the complainant requests immediate transfer of an issue to the next level or is dissatisfied with the recommendation made, the issue will be taken to the next level redress.

**At Second Tier: District Level** resolution of a grievance will be done within fourteen (14) working days and notification of the fact will be sent through standardized Disclosure Form LLWDP-II/GRM/004. Should the grievance not be resolved within this period it will be referred to the next level redress. Also, if the complainant requests immediate transfer of an issue to the next level or is dissatisfied with the recommendation made, the issue will be taken to the next level redress.

**At Third Tier: National Level** resolution will take a maximum of twenty (20) working days and the concerned shall be notified through LLWDP-II/GRM/004. If the grievance is not solved within this

period, the complainant will be advised to seek recourse through the Ombudsman or the courts of law.

A comprehensive GRM<sup>7</sup> has been developed by LLWDP II and has been disclosed to the stakeholders after approval by the Ministry of Water.

## 10. Public Consultation and Disclosure

Consultation meetings with communities and stakeholders will form an integral part in the implementation of the CERC. These consultation meetings will provide an opportunity for stakeholders and communities to express their views on the proposed projects activities as well as to raise any issues relating to the Projects. Consultations will be done throughout the implementation of the CERC activities until decommissioning, thereafter the individual institutions (DWA, DRWS and WASCO) will be responsible.

The objectives of the Project's consultation and disclosure programme are as follows:

- To share fully the information about the proposed Project, its components and its activities, with potentially affected persons.
- To obtain information about the needs and priorities of affected persons, as well as information about their reactions to proposed policies and activities.
- To establish a clear, easily accessible and effective grievance procedure.
- To ensure inclusive meaningful participation of all groups of stakeholders including vulnerable groups.
- To provide feedback to participants on inclusion of their comments in the Project design/implementation.

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<sup>7</sup> <https://llwdp.co.ls/download/grievance-redress-mechanism-for-lesotho-lowlands-water-development-project-phase-ii/>

## APPENDIX 1: ENVIRONMENTAL AND SOCIAL SCREENING FORM (ESSF)

### Environmental and Social Screening Form for the Screening of Potential Environmental and Social Impacts of LWDP Activities

#### 1. Introduction

This Environmental and Social Screening Form (ESSF) has been designed to assist in the evaluation of planned construction, rehabilitation and expansion activities under LLWDP II. The form will assist in the identification of any environmental and social impacts and their mitigation measures. It will also assist in the determination of requirements for further environmental and social work as needed. The form helps to determine the characteristics of the prevailing local bio-physical and social environment with the aim of assessing the potential impacts of the construction and rehabilitation activities on the environment by the activity.

The ESSF will also assist in identifying potential socio-economic impacts that will require mitigation measures.

#### 2. Guidelines for Screening

The evaluator should undertake the assignment after:

- Gaining adequate knowledge of baseline information of the area.
- Gaining knowledge of proposed project activities for the area.
- Having been briefed / trained in environmental and social screening.

The form is to be completed by the LLWDP II Environmental and Social Safeguards Specialists

#### PART A: GENERAL INFORMATION

Sub project Name	
Estimated Cost	
Project Site	
Project Objectives	
Proposed Main Activities	
Name of Evaluator/s	
Date of Field Appraisal	

#### PART B: BRIEF DESCRIPTION OF THE PROPOSED ACTIVITIES

Provide information on the type and scale of the construction/rehabilitation activity (e.g., area, land required and approximate size of structures)

Provide information on the construction activities including support/ancillary structures and activities required to build them, e.g., need to quarry or borrowing materials, water source, access roads, etc.

Describe how the construction/rehabilitation activities will be carried out. Include description of support/activities and resources required for the construction/rehabilitation.

**PART C: ENVIRONMENTAL AND SOCIAL BASELINE INFORMATION OF THE SUB PROJECT SITE BRIEF DESCRIPTION**

Category of Baseline Information	Brief Description
<b>GEOGRAPHICAL LOCATION</b> * Name of the Area (District, T/A, Village) * Proposed location of the project (Include a site map of at least 1:10,000 scale/or coordinates from GPS)	
<b>LAND RESOURCES</b> * Topography and Geology of the area * Soils of the area * Mainland uses and economic activities	
<b>BIOLOGICAL RESOURCES</b> * Flora (include threatened/endangered/endemic species) * Fauna (include threatened/endangered/endemic species) * Sensitive habitats including protected areas e.g., nature reserves and forest reserves.	
<b>CLIMATE</b> * Temperature * Rainfall	
<b>SOCIAL</b> * Number of people potentially impacted. * Type and magnitude of impacts (i.e., impact on land, structures, crops, standard of living) * Socio-economic overview of persons impacted	

**PART D: SCREENING CRITERIA FOR IMPACTS DURING SUBPROJECT IMPLEMENTATION, AREAS OF IMPACTS AND IMPACTS EVALUATION AND POTENTIAL MITIGATION MEASURES**

**Screening Criteria for Environmental and Social Impacts**

Item	Area of Impacts			Impact Evaluation						Potential Mitigation Measures
				Extent or coverage (on site, within 3-5km or beyond 5km)			Significance (Low, Medium, High)			
	Is this subproject site/activity within and/or will it affect the following environmentally sensitive areas?			On site	Within 3-5 km	Beyond 5 km	Low	Medium	High	
	No	Yes								
<b>1.0</b>	<b>Screening Criteria for Social and Environmental Impacts</b>									
1.1	Wetlands									
1.2	Productive traditional agricultural /grazing lands									
1.3	Areas with rare, endangered or other interest flora or fauna									
1.4	Areas with outstanding scenery/tourist site									
1.5	Within steep slopes									
1.6	Near industrial activities									

1.7	Near human settlements									
1.8	Near cultural heritage sites									
1.9	Within prime surface run off									
1.10	Will the project discharge to or otherwise impact water bodies?									
<b>2.0</b>	<b>Screening Criteria for Impacts during Implementation and Operation</b>									
	Will the implementation and operation of the subproject within the selected site generate the following externalities/ costs/impacts?									
2.1	Soil erosion									
2.2	Environmental degradation arising from mining of construction materials									
2.3	Damage to wildlife species and habitat									
2.4	Hazardous wastes, (pipes, etc.), PCB's, pollution from unspent PV batteries									
2.5	Nuisance - smell or noise									
2.6	Soil contamination									
<b>3.0</b>	<b>Screening Criteria for Social and Economic Impacts</b>									
3.1	Loss of assets, property, houses									
3.2	Loss of livelihood									
3.3	Disruption of social fabric									
3.4	Interference in marriages for local people by workers									
3.5	Spread of STIs and HIV and AIDS, due to migrant workers									
3.6	Increased incidence of communicable diseases									
3.7	Health hazards to workers and communities									
3.8	Changes in human settlement patterns									
3.9	Conflicts over use of natural resources e.g., water, land, etc.									
3.10	Disruption of important pathways, roads									
3.11	Increased population influx									
3.12	Loss of cultural identity									
3.14	Loss of income generating capacity									

3.15	Consultation (comments from beneficiaries and other project affected peoples)									
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**PART E: SCREENING CHECKLIST FOR WORLD BANK ENVIRONMENTAL AND SOCIAL SAFEGUARDS**

Questions	Answer		If Yes WB Policy triggered	Document requirement if Yes
	yes	no		
Are the project impacts likely to have significant adverse environmental impacts that are sensitive, diverse or unprecedented? <sup>8</sup> Please provide brief description:			<i>OP 4.01 Environmental Assessment</i> Category A	Environmental Impact Assessment (ESIA)
Do the impacts affect an area broader than the sites or facilities subject to physical works and are the significant adverse environmental impacts irreversible? Please provide brief description:			<i>OP 4.01 Environmental Assessment</i> Category A	ESIA
Is the proposed project likely to have minimal or no adverse environmental impacts? <sup>9</sup> Please provide brief justification:			<i>OP 4.01 Environmental Assessment</i> Category C	No action needed
Is the project neither a Category A nor Category C as defined above? <sup>10</sup> Please provide brief justification:			<i>OP 4.01 Environmental Assessment</i> Category B	ESIA or ESMP
Are the project impacts likely to have significant adverse Social impacts that are sensitive, diverse or unprecedented? Please provide brief description:			<i>OP 4.01 Environmental Assessment</i> Category A	ESIA Social Assessment

<sup>8</sup> Examples of projects where the impacts are likely to have significant adverse environmental impacts that are sensitive, diverse or unprecedented are large scale infrastructure such as construction of new roads, railways, power plants, major urban development, water treatment, wastewater treatment plants and solid waste collection and disposal etc.

<sup>9</sup> Examples of projects likely to have minimal or no adverse environmental impacts are supply of goods and services, technical assistance, simple repair of damaged structures etc.,

<sup>10</sup> Projects that do not fall either within OP 4.01 as a Category A or Category C can be considered as Category B. Examples of category B sub-projects include small scale *in-situ* reconstruction of infrastructure projects such as road rehabilitation and rural water supply and sanitation, small schools, rural health clinics etc.

Will the project adversely impact physical cultural resources? <sup>11</sup> Please provide brief justification:			<i>OP 4.11 Physical Cultural Resources</i>	Address in ESIA
Will the project involve the conversion or degradation of critical <sup>12</sup> or non-critical natural habitats? Please provide brief justification:			<i>OP 4.04 Natural Habitats</i>	Address in ESIA
Will the project involve the significant conversion or degradation of critical natural habitats?			<i>OP 4.04 Natural Habitats</i>	No eligible
Does the project procure pesticides (either directly through the project, or indirectly through on-lending, co-financing, or government counterpart funding), or may affect pest management in a way that harm could be done, even though the project is not envisaged to procure pesticides?			<i>OP4.09 Pest Management</i>	Address in ESIA (Pest Management Plan)
Does the sub-project involve involuntary land acquisition, loss of assets or access to assets, or loss of income sources or means of livelihood? Please provide brief justification:			<i>OP 4.12 Involuntary Resettlement</i>	Resettlement Action Plan
Are there any ethnic minority communities present in the project area and are likely to be affected by the proposed sub-project negatively or positively? Please provide brief justification:			<i>OP 4.10 Indigenous People</i>	Ethnic Minority Development Plan
Will the project have the potential to have impacts on the health and quality of forests or the rights and welfare of people and their level of dependence upon or interaction with forests; or aims to bring about changes in the management, protection or utilization of natural forests or plantations? Please provide brief justification:			<i>OP4.36 Forestry</i>	Address in ESIA

<sup>11</sup> Examples of physical cultural resources are archaeological or historical sites, including historic urban areas, religious monuments, structures and/or cemeteries particularly sites recognized by the government.

<sup>12</sup> Critical natural habitats include those habitats that are legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, or recognized as protected by traditional local communities.

Will the project have the potential to have impacts on significant conversion or degradation of critical forest areas or other natural habitats?			<i>OP4.36 Forestry</i>	No eligible
Will the project develop feasibility studies for projects in disputed areas?			<i>OP7.60 Projects in Disputed Areas</i>	Governments concerned agree
Will the project involve any river, canal, lake or similar body of water that forms a boundary between, or any river or surface water that flows through two or more states? Or any tributary of above-mentioned waterways?			<i>OP7.50 Projects on International Waterways</i>	Notification (or exceptions)

**Conclusion and Safeguards Instruments Required:**

The project is classified as a Category \_\_\_\_\_ project as per World Bank OP4.01, and the following safeguards documents will be prepared:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

<b>Initial Screening Completed by</b>		
LLWDP-II Environmental Safeguards Specialist		[date]
LLWDP-II Social Safeguards Specialist		[date]
<b>Confirmed by World Bank EAP Safeguards Specialist</b>		
Environmental Safeguards Specialist		[date]
Social Development Specialist		[date]
Task Team Leader		[date]

## APPENDIX 2: POSITIVE LIST OF GOODS, SERVICES AND WORKS

Table 1 present a positive list that should be used for the procurement or upon Bank’s review and agreement reimbursement of already procured goods that might be required for the Government’s immediate emergency response, as well as services, works and operating costs. The Government of Lesotho (GoL) and the World Bank may reach agreement on the conditions for the release of the financial tranches and the required documentation and certifications, such as customs and tax certificates or invoices. The acceptable procedures and addressing any associated risks and mitigation measures should be agreed.

**Table 1: Positive list of goods, services and works**

<b>Item</b>
<b>Goods</b>
<ul style="list-style-type: none"> <li>• All goods related to the sourcing, supply, management, conservation and reticulation of water, both bulk and piped.</li> <li>• All goods related to the provision of sanitation. This shall include tools, fixtures and equipment necessary.</li> </ul>
<b>Services</b>
<ul style="list-style-type: none"> <li>• Design services related to the water and/or sanitation infrastructure as necessary to improve the supply of water or sanitation services.</li> <li>• Built/ Construction services related to water supply and/or sanitation services.</li> <li>• Technical Assistance services to improve and/or correct services provided by an institution in the water sector.</li> <li>• Capacity building exercises to provide improved skills and knowledge for sustainable management of the water and/or sanitation services.</li> </ul>
<b>Works</b>
<ul style="list-style-type: none"> <li>• Repair of damaged infrastructure including, but not limited to: water supply and sanitation systems, dams, reservoirs, canals, roads, bridges and other water related-infrastructure damaged by the event</li> <li>• Re-establish of the urban and rural solid waste system, water supply and sanitation (including urban drainage)</li> <li>• Cleaning and drilling of collapsed boreholes, including re-equipping with the required fixtures and appliances for functionality, such as Data loggers and remote radar sensors.</li> <li>• Hydrometric station construction and refurbishment</li> </ul>
<b>Training</b>
<ul style="list-style-type: none"> <li>• Conduct necessary training related to emergency response including, but not limited to the Implementation of EAP.</li> <li>• Training on rapid needs assessment and other related assessments</li> </ul>
<b>Emergency Operating Costs</b>
<ul style="list-style-type: none"> <li>• Incremental expenses by the Government for a defined period related to early recovery efforts arising as a result of the impact of an eligible emergency. This includes, but is not limited to: operational costs<sup>13</sup> and rental of equipment</li> </ul>

<sup>13</sup> As per Financing Agreement, “Operating Costs” means the incremental operating cost including office supplies, vehicle operation and maintenance costs, utilities communication charges, per diems and travel allowances, but excluding salaries of the Recipient’s civil service and sitting allowances.”

## **APPENDIX 3: CERC EMERGENCY ACTION PLAN**

#### APPENDIX 4: GRIEVANCES REDRESS FORMS

***The overall grievance reporting and process for the project is as detailed below, however, in the CERC only relevant measures will be applied based on the same rationale presented in the parent ESMF.***

##### LLWDP-II/GRM/001: Grievance/ Complaints Form

Name	Surname	Gender
Complaint Number	Date	Time
ID Number	Telephone Number	Address
Signature		
Category of Complaint (Tick as appropriate)	Compensation/Land-Access/Insufficient Notification/Disruption to Business or Amenity/Property Damage/Boundary Dispute/Environmental Damage/ Construction Activities/Safety Risk/Traffic/Other	
Location/Village/Community Council/District		
Nature of Complaint		
Required Action		
Action Taken and Date		
Close out		
Signature and Date		

**LLWDP-II/GRM/002: Acknowledgement of Grievance Receipt**

Date Complaint was received:	Complaint Number:
Details of the Complainant Name: Address: Contacts:	Age: Gender:
Supporting Documents Submitted:	
Summary of Complaint:	
Name of Officer Receiving Complaint:  Signature of Officer Receiving Complaint:	Date:

**Meeting Record Form: LLWDP-II/GRM/003**

Date of Meeting	Complaint No	Venue of Meeting
List of Participants		
Complainant Side	GRM Committee members	
1.	1.	
2.	2.	
3.	3.	
	4.	
	5.	
Summary of Grievance		
Key points of Discussion		
Decisions made/ Recommendations by GRC		
Status of Grievance	Solved	Unsolved
<b>Chairperson's Name:</b>  <b>Signature:</b>  <b>Date:</b>		

**Grievance Disclosure Form: LLWDP-II/GRM/004**

Village/ Town/Area:		District:	
Complaint No:			
Name of Complainant:		Contact Details:	
Date of Complaint:			
Summary of Complaint:			
Summary of Resolution or Feedback:			
<b>Category:</b> Compensation / Land Access / Inadequate Notification/ Disruption to Business or Property / Property Damage / Irrigation / Boundary Dispute / Environmental Damage / Construction Activities /Safety Risk /Traffic / Other			
Resolution Accepted:	YES	NO	
Reason for non- acceptance:			
Level of Redress ( <i>Tick as Appropriate</i> )	First/Community	Secondary/District	Third/National
Date of Grievance Redress (dd/mm/yyyy)			
Name of Complainant:			
Signature of Complainant:			
Name of Grievance Handling Officer:			
Signature of Grievance Handling Officer:			
Date:			

*Copy to be send to Complainant and PIU*

**LLWDP-II/GRM/005: Quarterly Report of Registered Complaints**

<b>Location:</b>		<b>Date:</b>	<b>Quarter ending:</b>	
<b>1.Details of Complaints Received:</b>				
<b>Place of issuing complaint</b>	<b>Name and Address of Complainant</b>	<b>Location of Complaint or Concern</b>	<b>Date of Receipt</b>	<b>Complaint No:</b>
<b>2.Details of Grievance</b>				
<b>Date of Complaint</b>	<b>Venue of Meeting</b>	<b>Name of participants</b>	<b>Decisions/Recommendations</b>	
<b>3.Details of Grievances Addressed</b>				
<b>Date of issue of complaint</b>	<b>Category of Complaint</b>	<b>Brief Description of Grievance</b>	<b>Date of Complete Resolution</b>	

*Copy to be send to Complainant and PIU*

**LLWDP-II/GRM/006: Grievance Redress Mechanism (GRM) Log Register**

<b>Grievance Number</b>	<b>Name of Complainant</b>	<b>Date Received</b>	<b>Date Acknowledge</b>	<b>Referred to</b>	<b>Reply Date</b>	<b>Date resolved</b>	<b>Status:</b> <i>Resolved</i> <i>Unresolved</i> <i>Abandoned</i> <i>Closed</i>

## APPENDIX : ENVIRONMENTAL AND SOCIAL MITIGATION/MONITORING PLAN

**Note: The environmental and social mitigation and monitoring plan contains mitigation measures for the LLWP project activities and must be applied to the CERC activities where relevant and commensurate with CERC activity scale and anticipated risks and impacts. Guidance on the implementation will be provide by the PIU ESS and PIU-CLO as required.**

### Pre-Construction Phase

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
Pre-construction planning and training	Ad-hoc environmental and social management	Moderate	<ul style="list-style-type: none"> <li>Develop site-specific plans to manage and monitor project impacts, as specified below, commensurate with project scale and sensitivity.</li> <li>Ensure E&amp;S management function is allocated to a competent individual</li> </ul>	Contractor  Project Manager (WASCO, DWA, DRWS)	As required by individual impact management plans	Low	<ul style="list-style-type: none"> <li>Documented site specific plans / procedures for environmental and social management</li> <li>Competent environmental and social manager</li> </ul>
	Risk of incidents and a affecting the health and safety of workers and project-affected communities	Moderate	<ul style="list-style-type: none"> <li>Prepare an OHS plan and public health and safety plan commensurate with the scale of the works and sensitivity of the area</li> </ul>	Contractor	Before commencement of any construction activities	Low	<ul style="list-style-type: none"> <li>OHS plan prepared</li> <li>Public health and safety plan prepared</li> </ul>
	Risk of water pollution caused by solid and sanitary wastes	Moderate	<ul style="list-style-type: none"> <li>Prepare a Waste Management Plan commensurate with the scale of the works and sensitivity of the area</li> </ul>	Contractor	Before commencement of any construction activities	Low	<ul style="list-style-type: none"> <li>Waste Management Plan prepared</li> </ul>
	Risk of increased HIV/AIDS transmission in the area	Moderate	<ul style="list-style-type: none"> <li>Undertake HIV/AIDS awareness and prevention training for all workers,</li> </ul>	Contractor	Before commencement of any	Low	<ul style="list-style-type: none"> <li>Training Manual prepared</li> <li>NGO engaged</li> </ul>

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
			<p>including sub-contractors, prior to construction.</p> <ul style="list-style-type: none"> <li>Engage a local NGO specialising in HIV-AIDS to continue HIV/Aids awareness training throughout the contract.</li> </ul>		construction activities		<ul style="list-style-type: none"> <li>Records of pre-construction awareness campaign and attendant list</li> </ul>
	Risks of Gender Based Violence and Incidents of Sexual Exploitation and Abuse	Moderate	<ul style="list-style-type: none"> <li>Prepare a Sexual Exploitation and Abuse Action Plan</li> <li>Undertake GBV/SEA awareness and prevention training for all workers, including sub-contractors, prior to construction.</li> <li>Engage a local NGO specializing in GBV/SEA to continue the awareness training throughout the contract</li> <li>Arrange for close cooperation with the CGPU to report incidents and support the affected.</li> <li>Arrange to work closely with local health facilities, and to report and offer support to victims.</li> <li>Include women, persons with disabilities and women's groups in the planning for surveillance of incidents of SEA.</li> </ul>	<p>Contractor</p> <p>Project Manager (WASCO, DWA, DRWS)</p> <p>LLWDP II</p>	Before commencement of any construction activities	Low	<ul style="list-style-type: none"> <li>Sexual Exploitation and Abuse Action Plan prepared</li> <li>Training Manual prepared</li> <li>NGO engaged</li> <li>Records of pre-construction awareness campaigns and attendant lists</li> <li>Arrangements for cooperation with CGPU and local health facilities in place</li> <li>Women included in planning for surveillance of SEA</li> </ul>
	Risk of poor relations with project-affected	Moderate	<ul style="list-style-type: none"> <li>Prepare a Stakeholder Engagement Plan (SEP), prior</li> </ul>	Contractor	Before commencement	Low	<ul style="list-style-type: none"> <li>Community Liaison Officer employed</li> </ul>

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
	communities, lack of sense of ownership in infrastructure by communities, vandalism of infrastructure		<p>to construction, commensurate with the scale of the works.</p> <ul style="list-style-type: none"> <li>• Appoint a community liaison officer to act as a link between the communities and contractor.</li> <li>• Engage with all stakeholders identified in the SEP prior to site establishment.</li> <li>• Prepare a Grievance Redress Mechanism before commencement of Works and inform stakeholders about how to use it.</li> </ul>		of any construction activities		<ul style="list-style-type: none"> <li>• List of stakeholders identified</li> <li>• Records of pre-implementation stakeholder meetings held</li> <li>• GRM in place and stakeholders informed about its use</li> </ul>
	Risks of environmental degradation	Moderate	<ul style="list-style-type: none"> <li>• Prepare a Decommissioning and Rehabilitation Plan commensurate with the scale of the project and the sensitivity of the environment</li> <li>• Undertake general induction training on environmental and social safeguards, including occupational health and safety for all workers, and including sub-contractors, as stipulated in this ESMP</li> <li>• Ensure that the initial environmental and social awareness training sessions are held prior to any work commencing on site</li> </ul>	Contractor	Before commencement of any construction activities	Low	<ul style="list-style-type: none"> <li>• Decommissioning and Rehabilitation Plan prepared</li> <li>• Training Manual prepared</li> <li>• Records of training sessions held.</li> <li>•</li> </ul>

<b>Project activity</b>	<b>Associated Risks / Impacts</b>	<b>Impact Level</b>	<b>Mitigation/ Enhancement measures</b>	<b>Institutional responsibility</b>	<b>Monitoring Frequency</b>	<b>Impact Level after Mitigation</b>	<b>Indicator</b>
Temporary land acquisition and compensation for damages	<ul style="list-style-type: none"> <li>• Risk of disruption of household / community activities</li> <li>• Risk of poor stakeholder relations</li> </ul>	Low	<ul style="list-style-type: none"> <li>• Engage with stakeholders prior to establishment on site</li> <li>• Undertake a census of all PAPs within the project footprint</li> <li>• Ensure that agreements for rental of land and compensation for damages is reached prior to site establishment</li> <li>• Allocate a budget for renting of land for site works and any access routes that must be created</li> <li>• Payment of PAPs prior to commencement of construction activities</li> </ul>	Contractor	Before commencement of any construction activities	Very Low	<ul style="list-style-type: none"> <li>• Accurate number and identification of PAPs within project footprint.</li> <li>• Stakeholder Engagement records with names of consultees.</li> <li>• Budget allocated for land rent and provision of temporary access in cases of impediments</li> <li>• Funds available for compensation</li> <li>• Number of PAPs fully compensated</li> </ul>
Employment of workers	<ul style="list-style-type: none"> <li>• Failure to support project-affected communities with opportunities for employment</li> <li>• Potential labour influx</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>• Prioritise the appointment of local workers for the project, particularly women</li> <li>• Use local employment guidelines and norms to employ unskilled workers.</li> <li>• Comply with local Labour legislation in the hiring and conditions of employment of workers</li> <li>• Prepare a Labour Influx Plan</li> </ul>	Contractor	Before commencement of any construction activities	Low	<ul style="list-style-type: none"> <li>• Number of women employed.</li> <li>• Records verifying emphasis on employment of local people.</li> <li>• Labour Influx Plan in place</li> </ul>
	<ul style="list-style-type: none"> <li>• Increase in child labour</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>• Comply with the provisions as set out in the Labour Code and other relevant legislation.</li> </ul>	Contractor	Before commencement of any	Low	<ul style="list-style-type: none"> <li>• Records demonstrating verification of age</li> </ul>

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
			<ul style="list-style-type: none"> <li>• Include a clause in all Work Contracts on the prohibition of child labour.</li> <li>• Verify the age of each jobseeker prior to appointment.</li> <li>• Ensure that no person under the age of 18 is employed on the contract</li> </ul>	Project Manager (WASCO, DWA, DRWS)	construction activities		<ul style="list-style-type: none"> <li>• before employment on project.</li> <li>• Number of awareness raising campaigns carried out on a monthly basis addressing child labour employment</li> </ul>

**Construction Phase**

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
Site establishment and vegetation clearance	<ul style="list-style-type: none"> <li>• Poor site selection for laydown areas could impact on fauna and flora, water quality and community health and safety.</li> <li>• Soil erosion</li> <li>• Siltation of water resources</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>• Locate laydown areas outside of any environmentally or socially sensitive areas</li> <li>• Fence the construction site and laydown areas control access</li> <li>• Provide for waste management by establishing a waste area with an adequate number of waste bins.</li> <li>• Stack and store materials only take in designated areas.</li> <li>• Remove soil overburden after excavation.</li> <li>• Limit earthworks to the immediate works areas.</li> <li>• Ensure excavated materials do not end up in water bodies. Prohibit storage of aggregates, excavated soils and materials in close proximity to surface water sources without implementing measures to prevent erosion and potential siltation of the sources.</li> </ul>	Contractor  Project Manager (WASCO, DWA, DRWS)	During site establishment	Low	<ul style="list-style-type: none"> <li>• Laydown areas outside of sensitive areas</li> <li>• Fencing and access control measures in place</li> <li>• Waste bins provided</li> <li>• Laydown areas defined and materials are stacked and stored neatly.</li> <li>• Materials not stored in close proximity to water bodies</li> <li>• No visible signs of siltation</li> </ul>
Material hauling and excavations (site preparation)	<ul style="list-style-type: none"> <li>• Public health and safety risks</li> <li>• Air Pollution</li> <li>• Social Nuisance</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>• Provide notice boards, appropriate safety signage and information at all work locations to inform public.</li> <li>• Install barriers around the site/ works area to restrict</li> </ul>	Contractor	Daily	Low	<ul style="list-style-type: none"> <li>• No visible signs of excessive dust from work areas or access roads.</li> <li>• Number and severity of accidents /incidents recorded.</li> </ul>

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
			<p>unauthorized access to the works area.</p> <ul style="list-style-type: none"> <li>• Ensure dust suppression is implemented especially in areas close to sensitive receptors</li> <li>• Enforce a speed limit on site and along gravel access roads of between 20-40km/h.</li> <li>• Ensure that legal speed limits are complied with on main roads.</li> <li>• Inform nearby communities and stakeholders of the proposed construction works in a timely manner.</li> <li>• Report public incidents to the site supervisor within the same shift</li> <li>• Prepare an incident/accident investigation and root cause analysis for all serious and severe accidents/incidents.</li> </ul>				<ul style="list-style-type: none"> <li>• Number of complaints from communities on excessive dust emissions recorded.</li> <li>• Root cause analysis of serious or severe accidents and corrective action</li> </ul>
	<ul style="list-style-type: none"> <li>• Destruction of vegetation cover</li> <li>• Soil erosion</li> <li>• Siltation of water resources</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>• Limit construction activities to the project site so as to minimise disturbance to natural vegetation / sensitive areas.</li> <li>• Separate topsoil from subsequent layers during site clearing and excavations, to use during rehabilitation.</li> </ul>	Contractor	Daily	Low	<ul style="list-style-type: none"> <li>• Site rehabilitation and soil erosion management method statement in place and appropriately implemented.</li> <li>• No signs of visible soil erosion.</li> </ul>

<b>Project activity</b>	<b>Associated Risks / Impacts</b>	<b>Impact Level</b>	<b>Mitigation/ Enhancement measures</b>	<b>Institutional responsibility</b>	<b>Monitoring Frequency</b>	<b>Impact Level after Mitigation</b>	<b>Indicator</b>
			<ul style="list-style-type: none"> <li>Avoid disturbance of fields and untransformed habitat as much as possible,</li> <li>Ensure that all disturbed areas are re-instated and rehabilitated, in accordance with the Decommissioning and Rehabilitation Plan, after completion of works activities.</li> </ul>				<ul style="list-style-type: none"> <li>All disturbed areas adequately re-instated.</li> <li>Vegetation cover adequately established.</li> </ul>
	<ul style="list-style-type: none"> <li>Public health and safety risks</li> <li>Workers health &amp; safety risks</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>Comply with health and safety requirements specified under 'All Construction Activities' below.</li> </ul>	Contractor	Daily	Low	<ul style="list-style-type: none"> <li>As per 'All Construction Activities' below</li> </ul>
Borrow materials sourcing, delivery and storage	<ul style="list-style-type: none"> <li>Environmental and safety risks</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>Source quarry material and sand from an approved commercial source. Ensure that service provider is licensed.</li> <li>Determine delivery routes and modes of transport prior to commencing the activity, for approval by the Project Manager, with guidance from the Department of Environment.</li> <li>Keep stockpiles should be kept to a maximum of 2m in height - where possible material storage on site should be avoided.</li> <li>Comply with health and safety requirements specified under 'All Construction Activities' below.</li> </ul>	Contractor	Daily	Low	<ul style="list-style-type: none"> <li>Delivery routes approved by Project Manager</li> <li>Number of registered complaints from the communities on material transportation.</li> <li>Number of recorded accidents/incidents from transport and poor material handling.</li> <li>Copy of proof of trader's licence from commercial source to be kept by the contractor on site.</li> </ul>

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
							<ul style="list-style-type: none"> <li>No stockpiles above 2m high.</li> </ul>
Waste generation, removal and disposal	<ul style="list-style-type: none"> <li>Risks of contaminating surface and underground water resources</li> <li>Creation of habitats for pathogens and rodents.</li> <li>Public nuisance.</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>Implement the Waste Management Plan prepared during pre-construction.</li> <li>Comply with local regulations for disposal of all residual waste material</li> <li>Comply with the principles of the waste hierarchy (avoidance, reduction, recycling /reuse, disposal as last option)</li> <li>Remove and safely dispose of construction waste (excavated sub-soil, debris and scrap materials) as per the Waste Management Plan and approval of the local authorities.</li> <li>Ensure that wastes are temporarily stored in secure containers that minimise the risk of pollution and creation of rodent habitat</li> <li>Practice source separation of waste into biodegradable and non-biodegradable.</li> <li>Encourage reuse / recycling wherever possible (eg: waste concrete debris for access road surfacing, plastics, packaging).</li> </ul>	Contractor	Daily	Low	<ul style="list-style-type: none"> <li>Waste management plan in place and implemented.</li> <li>Number of complaints from communities regarding waste management on construction site.</li> <li>No visible sign of litter.</li> <li>No visible sign of soil and surface water contamination.</li> <li>Waste safely stored on site and no overflow</li> <li>Records on contaminated soil treatment and proper disposal.</li> <li>Evidence of engagement of a service provider to deal with contaminated soil and hazardous waste handling as well as disposal available on site.</li> </ul>

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
			<ul style="list-style-type: none"> <li>• Immediately remediate contaminated soils resulting from hydrocarbon spills.</li> <li>• Avoid accumulation of solid waste to uncontrolled levels.</li> <li>• Ensure the collection and disposal of waste is done regularly and to approved sites</li> <li>• Maintain records of generated and disposed waste</li> <li>• Prohibit burning of waste on site.</li> </ul>				<ul style="list-style-type: none"> <li>• Up to date waste quantity and disposal records.</li> <li>• Available records of solid waste disposed from site</li> </ul>
Site sanitation	<ul style="list-style-type: none"> <li>• Risk associated with faecal pathogens</li> <li>• Health issues resulting from unsanitary ablution facilities</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>• Provide wash basins with adequate clean water and soap alongside each mobile or chemical toilet.</li> <li>• Provide approximately 1 chemical toilet per gender for every 15 workers at work sites</li> <li>• Encourage staff to wash hands after use of the toilet, to minimize the spread of possible disease.</li> <li>• Conduct WASH training on site as necessary.</li> <li>• Fully enforce WASH practices on site</li> <li>• Provide tip-taps on site.</li> <li>• Engage a service provider for management of ablution facilities</li> </ul>	Contractor	Daily	Low	<ul style="list-style-type: none"> <li>• Visible cleanliness of all ablution facilities.</li> <li>• Availability of wash basins/tip-taps on site.</li> <li>• Number of WASH trainings held on site.</li> <li>• Cleaning and disposal schedule of all ablution facilities readily available on site.</li> <li>• Sufficient toilets on site, per gender</li> </ul>

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
Storage of fuel oils, lubricants, chemicals and flammable materials	<ul style="list-style-type: none"> <li>Hazards of fire outbreak, oil and chemical spills</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>Provide an impermeable base and bunding to contain 110% of the volume of diesel or petrol storage tanks in the event of a spill</li> <li>Provide covered, locked, storage for hazardous chemicals /materials kept on site.</li> <li>Obtain approvals for bulk storage of hazardous substances or dangerous goods on project site from relevant authorities.</li> <li>Maintain spill kit on site when chemicals or fuels are stored on site.</li> <li>Prohibit makeshift refuelling arrangements such as use of empty bottles. Emergency refuelling of plant and equipment to be done in an appropriate manner which avoids spills</li> <li>Ensure that drip trays are available for use under heavy vehicles and equipment, where necessary.</li> <li>Ensure that machinery, equipment and vehicles are well maintained to prevent oil or petrol/diesel spillages on site.</li> </ul>	Contractor	Daily	Low	<ul style="list-style-type: none"> <li>No visible spillages of hazardous materials around site.</li> <li>Records on spillage incidents and treatments on site.</li> <li>Availability of impermeable bunded areas for storage of hydrocarbons on site.</li> <li>No evidence of ad hoc refuelling of plant and machinery on site.</li> <li>Locked storage area for hazardous chemicals</li> </ul>

<b>Project activity</b>	<b>Associated Risks / Impacts</b>	<b>Impact Level</b>	<b>Mitigation/ Enhancement measures</b>	<b>Institutional responsibility</b>	<b>Monitoring Frequency</b>	<b>Impact Level after Mitigation</b>	<b>Indicator</b>
Construction traffic	<ul style="list-style-type: none"> <li>Health and safety risks to workers and project-affected communities</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>Comply with the health and safety requirements under 'All Construction Activities' below</li> <li>Install signposting, warning signs, barriers and traffic diversions so that the site is clearly visible, and the public warned of all potential hazards.</li> <li>Implements a traffic management system to ensure safe access to and from site.</li> <li>Provide safe passage and crossings for pedestrians in areas where construction traffic interferes with public access.</li> <li>Adjust working hours to avoid peak local traffic, e.g. avoiding major transport activities during rush hours or times of livestock movement.</li> <li>Ensure traffic control by competent and visible staff on site.</li> </ul>	Contractor	Daily	Low	<ul style="list-style-type: none"> <li>Number of accidents and incidents recorded.</li> <li>Incidents communicated and incident investigations completed and available</li> <li>Warning signs, barriers and traffic diversions in place and maintained</li> <li>Number of complaints received regarding traffic management.</li> <li>Traffic controller (flag person) appointed and trained.</li> </ul>
Site vehicle and equipment use	<ul style="list-style-type: none"> <li>Noise and vibration nuisance in project-affected communities</li> <li>Health effects on workers such as tinnitus &amp; fatigue</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>Minimise activities with potentially significant noise emissions near sensitive receptors such as schools, hospitals churches and residents.</li> <li>Ensure that heavy construction vehicles, generators, drilling rigs and other noisy equipment are</li> </ul>	Contractor	Daily	Low	<ul style="list-style-type: none"> <li>Number of reported complaints regarding noise nuisance from neighbouring communities and institutions.</li> <li>Availability and proper use of PPE</li> </ul>

<b>Project activity</b>	<b>Associated Risks / Impacts</b>	<b>Impact Level</b>	<b>Mitigation/ Enhancement measures</b>	<b>Institutional responsibility</b>	<b>Monitoring Frequency</b>	<b>Impact Level after Mitigation</b>	<b>Indicator</b>
			<p>maintained regularly to reduce noise generation.</p> <ul style="list-style-type: none"> <li>• Provide hearing protection to all workers exposed to noise levels exceeding 85 dBA for a duration of more than 8 hours.</li> <li>• Maintain reasonable working hours so as to reduce the number of complaints concerning noise from workers and machinery.</li> <li>• Ensure frequent rotation (shorter shifts) of workers exposed to excessive noise activity.</li> <li>• Restrict construction work to between 07:00 and 18:00 in summer and 07:30 and 17:30 in winter.</li> </ul>				<p>(particularly hearing protection).</p> <ul style="list-style-type: none"> <li>• No drilling at late or early hours of the evening/morning.</li> <li>• Availability of clocking sheets as evidence of adherence to working hours.</li> </ul>
Construction traffic, drilling, stockpiling of erodible materials, waste disposal	<ul style="list-style-type: none"> <li>• Dust emissions affecting workers and surrounding communities.</li> <li>• Smoke emissions.</li> <li>• Other pollutants (Sox, NOx, CH<sub>4</sub>, CO<sub>2</sub>)</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>• Ensure speed limits are adhered to by all construction vehicles</li> <li>• Provide dust masks to workers</li> <li>• Implement dust suppression during all construction works, as needed.</li> <li>• Ensure equipment and construction vehicles are well maintained to minimize excessive emissions.</li> <li>• Prevent activities that may lead to excessive dust release such</li> </ul>	Contractor	Daily	Low	<ul style="list-style-type: none"> <li>• No evidence of dust coating on plants and infrastructure around the site and along access roads.</li> <li>• Evidence of water ing of roads, stockpiles and other areas of dust generation</li> <li>• Number of recorded public complaints on poor dust management on site.</li> </ul>

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
			<p>as excavation or handling and transporting of spoils material during excessively windy conditions., as far as reasonable possible.</p> <ul style="list-style-type: none"> <li>• Prohibit the burning of construction / waste material on site</li> <li>• Prevent construction vehicles idling for long periods</li> </ul>				<ul style="list-style-type: none"> <li>• Availability and proper use of dust management PPE on site.</li> <li>• No evidence of waste being burned on site.</li> </ul>
Drilling of boreholes	<ul style="list-style-type: none"> <li>• Pollution of groundwater and surface water</li> <li>• Impacts on fauna and flora and domestic animals</li> <li>• Contamination of community water supplies</li> <li>• Health risks caused by use of contaminated water</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>• Prepare and submit a drilling method statement prior to commencement with works.</li> <li>• Use water-based drilling fluid.</li> <li>• Case the well in the section where the well bore passes through the water table.</li> <li>• Properly gravel pack and seal the borehole to avoid any contamination from shallow sub-surface water.</li> <li>• Ensure that all potential sources of pollution in close proximity to the borehole are eliminated.</li> <li>• Ensure proper housekeeping is maintained within and around the drilling rig.</li> <li>• Reinstate the drilling rig area after completion of the drilling activity.</li> </ul>	Contractor	Daily	Low	<ul style="list-style-type: none"> <li>• No visible oil spills on site.</li> <li>• Drilling method statement available and implemented on site.</li> <li>• Availability of water disinfection agents on site.</li> <li>• Availability of records of water quality tests prior and after drilling.</li> </ul>

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
			<ul style="list-style-type: none"> <li>Establish a spill response method statement for dealing with accidental hydrocarbon spills.</li> <li>Wash construction vehicles and machinery only in designated areas where runoff will not pollute natural surface water bodies.</li> </ul>				
	<ul style="list-style-type: none"> <li>Over-exploitation of the water resource</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>Fit airlines to boreholes to monitor the water levels.</li> <li>Install a master water meter to monitor quantities of water abstracted.</li> <li>Pump test the borehole to establish the sustainable yield</li> </ul>	Contractor	Once		<ul style="list-style-type: none"> <li>Airlines fitted</li> <li>Master water meter fitted</li> <li>Pump tests undertaken and sustainable yield determined</li> </ul>
All construction activities	<ul style="list-style-type: none"> <li>Health and safety risks to workers</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>Implement the Occupational Health and Safety Plan and Community Health and Safety Plan, prepared during the pre-construction phase.</li> <li>Follow provisions of the World Bank Group Environment Health and Safety General Guidelines.</li> <li>Provide construction workers with personal protective equipment (gloves, safety boots, gum boots, overalls, helmets etc.).</li> <li>Provide an adequate number of ablution facilities /mobile</li> </ul>	Contractor	Daily	Low	<ul style="list-style-type: none"> <li>Number of accidents, incidents and near misses recorded in the incidents book.</li> <li>Number of investigations undertaken on severe incidents/accidents.</li> <li>Number of trainings conducted on site specific activities.</li> <li>Number of prepared and signed DSTIs on site.</li> </ul>

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
			<p>chemical toilets (1:15) and ensure their upkeep at all times.</p> <ul style="list-style-type: none"> <li>• Provide an onsite first aid kit at the works area and ensure the first aid kit is inspected and kept updated</li> <li>• Develop and maintain H&amp;S documentation (safety file) on site.</li> <li>• Provide ongoing safety training for all employees using hand operated electric tools.</li> <li>• Undertake task-specific risk assessments and discuss risks with workers.</li> <li>• Prepare and sign Daily Safe Task Instruction (DSTI) before undertaking any activities.</li> <li>• Report and record OHS incidents within the same shift.</li> <li>• Provide safety and warning signage and information in all work areas.</li> <li>• Provide for Covid screening and sanitizing at each of the work areas in line with the ESF/Safeguards Interim Note: COVID-19 Considerations in Construction / Civil Works Projects.</li> </ul>				<ul style="list-style-type: none"> <li>• PPE are available and properly used at all time</li> <li>• First aid kits are available, being inspected and adequately stocked.</li> <li>• Adherence to ESF/Safeguards Interim Note: COVID-19 Considerations in Construction / Civil Works Projects.</li> <li>• Covid measures in place and screening conducted on a daily basis.</li> </ul>

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
	<ul style="list-style-type: none"> <li>• Risk of GBV/SEA incidents in the workforce and caused by the workforce in local communities</li> <li>• Risk of spread of HIV/Aids and other STDs by contract workers</li> <li>• Incidents of child labour</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>• Implement the measures to minimise GBV/SEA risks and to raise workers' awareness about GBV/SEA established in the Sexual Exploitation and Abuse Action Plan</li> <li>• Continue to liaise with the organizations working with these issues in the project area</li> <li>• Continue awareness training using the NGO appointed during the pre-construction phase</li> <li>• Ensure that all workers sign a Code of Conduct</li> <li>• Maintain the Grievance Redress Mechanism and act upon any recorded grievances</li> <li>• Monitor that no child labour is involved in the project by age verification.</li> </ul>	LLWDP II Contractor Project Manager (WASCO, DWA, DRWS)	Monthly	Low	<ul style="list-style-type: none"> <li>• Number of training sessions held and attendance registers.</li> <li>• Prepared training material available on site and implemented.</li> <li>• Number of pamphlets and information booklets distributed among project communities.</li> <li>• Records of grievances and corrective actions</li> <li>• Monitoring records to verify that no appointments made during the contract involve child labour.</li> </ul>
	<ul style="list-style-type: none"> <li>• Risk of poor relations with project-affected communities, lack of sense of ownership in infrastructure by communities, risk of vandalism of infrastructure</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>• Implement the Stakeholder Engagement Plan developed during the pre-construction phase</li> </ul>	Contractor Project Manager (WASCO, DWA, DRWS)	Daily	Low	<ul style="list-style-type: none"> <li>• Community Liaison Officer employed</li> <li>• List of stakeholders identified and engaged.</li> <li>• Records of stakeholder meetings</li> <li>• GRM in place</li> </ul>

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
							<ul style="list-style-type: none"> <li>• Number of grievances received and resolved</li> <li>• Stakeholder engagement proceedings</li> </ul>
Demobilization and site reinstatement	<ul style="list-style-type: none"> <li>• Associated risks of environmental degradation</li> </ul>	Moderate	<ul style="list-style-type: none"> <li>• Implement the Decommissioning and Rehabilitation Plan for removal of all construction infrastructure and rehabilitation of project-affected work areas, to be submitted for approval at least 3 months before completion of the works.</li> <li>• Remove all construction materials, waste, barricading and demarcation Remove fences, barriers and demarcations construction materials and waste prior to site handover.</li> <li>• Remediate and reinstate any contaminated soil</li> <li>• Reinststate topsoil and drainage and, where required by the Decommissioning and Rehabilitation Plan, plant indigenous grasses / shrubs /tress as required.</li> </ul>	Contractor	Once: 3 months before decommissioning	Low	<ul style="list-style-type: none"> <li>• Decommissioning and Rehabilitation Plan implemented.</li> <li>• Construction site clear of all construction debris and barriers prior to handover.</li> <li>• Construction site safe</li> <li>• Topsoil and drainage reinstated</li> <li>• Stable, non-eroding, alien invasive-free groundcover established (within warranty period)</li> <li>• Closeout audit report available.</li> </ul>

<i>Project activity</i>	<i>Associated Risks / Impacts</i>	<i>Impact Level</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Impact Level after Mitigation</i>	<i>Indicator</i>
			<ul style="list-style-type: none"> <li>Ensure a close-out audit is conducted by the Project Manager prior to handover of the works.</li> </ul>				

**Operational Phase**

<i>Project Activity</i>	<i>Associated Risks / Impacts</i>	<i>Mitigation/ Enhancement measures</i>	<i>Institutional responsibility</i>	<i>Monitoring Frequency</i>	<i>Indicator</i>
Maintenance of equipment and infrastructure	<ul style="list-style-type: none"> <li>Occupational health and safety – exposure to occupational hazards</li> <li>Community safety – maintenance vehicle traffic and worker / community interactions</li> </ul>	<ul style="list-style-type: none"> <li>Train employees to operate and maintain project equipment / infrastructure</li> <li>Ensure hazard assessments undertaken for use of any mechanical/electrical equipment that could result in safety risk</li> <li>Train maintenance staff in OHS</li> <li>Provide PPE.</li> <li>Provide fully equipped First aid Kit and Well trained First Aider.</li> </ul>	Project Manager (WASCO, DWA, DRWS)	Quarterly	<ul style="list-style-type: none"> <li>Availability of PPE and First Aid kit.</li> <li>Reports of work-related accidents/incidents or near misses.</li> <li>Records available on investigation of severe accidents and incidents.</li> <li>Well trained first aider available on site.</li> </ul>
	<ul style="list-style-type: none"> <li>Vandalism and encroachment</li> </ul>	<ul style="list-style-type: none"> <li>Educate the community about the importance of water supply infrastructure and avoidance of actions that could damage water supply systems</li> <li>Continue to engage with stakeholders to ensure continued support of local communities for the project. This will also facilitate sense of ownership of the project infrastructure.</li> <li>Involve community policing forums in monitoring of water infrastructure</li> <li>Take legal action against vandals and encroachers.</li> </ul>	Project Manager (WASCO, DWA, DRWS)	Quarterly	<ul style="list-style-type: none"> <li>No evidence of vandalism or encroachment by the community.</li> <li>Number of awareness campaigns held on vandalism and encroachments.</li> <li>Number of ongoing community interactions held and recorded.</li> </ul>
Pumping of Boreholes	<ul style="list-style-type: none"> <li>Overexploitation of the water resource</li> <li>Failure of water supply</li> <li>Deterioration in water quality</li> </ul>	<ul style="list-style-type: none"> <li>Monitor water levels in the borehole to ensure that abstraction rates are sustainable especially during the dry season and during droughts</li> </ul>	Project Manager (WASCO, DWA, DRWS)	Annually	<ul style="list-style-type: none"> <li>Boreholes water levels regularly monitored and recorded.</li> <li>Abstraction rate from borehole reviewed</li> </ul>

		<ul style="list-style-type: none"><li>• Undertake regular water quality testing to confirm that groundwater quality is maintained.</li></ul>			annually to verify sustainably yield.
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## **APPENDIX 6: ENVIRONMENTAL RULES FOR CIVIL CONTRACTOR**

**These rules shall form part of the ESMP and Bidding Documents**

### **1 General Applicability of the Environmental Rules and ESMP**

These general environmental guidelines apply to any work to be undertaken under the LWDP II. All work must be conducted in accordance with the World Bank Group General and Water Supply and Sanitation Environmental, Health and Safety Guidelines (EHS). The Construction and Demolition guidance in the General Guidelines is particularly pertinent. For certain work sites entailing specific environmental and/or social issues, a specific Environmental and Social Impact Assessment, including an Environmental and Social Management Plan (ESMP), has been prepared to address the above-mentioned specific issues in addition to these general environmental guidelines. In addition to these general Environmental Guidelines, the Contractor shall therefore comply with any specific ESMP for the works s/he is responsible for. The Contractor shall be informed by LWDP about such an ESMP for certain work sites and prepare his/her work strategy and plan to fully take into account relevant provisions of that ESMP. If the Contractor fails to implement the approved ESMP after written instruction by the works supervisor to fulfil his/her obligation within the requested time, the Client reserves the right to arrange for execution of the missing action by a third party on account of the Contractor. Notwithstanding the Contractor's obligation under the above clause, the Contractor shall implement all measures necessary to avoid undesirable adverse environmental and social impacts wherever possible, restore work sites to acceptable standards, and abide by any environmental performance requirements specified in an ESMP where such an ESMP applies. These Environmental Rules, as well as any specific ESMP, apply to the Contractor. They also apply to any sub-contractors present on Program work sites at the request of the Contractor with permission from the Client.

### **2 General Environmental Protection Measures**

In general, environmental protection measures to be taken at any work site shall include but not be limited to:

- (a) Minimize the effect of dust on the environment resulting from earth mixing sites, vibrating equipment, construction related traffic on temporary or existing access roads, etc. to ensure safety, health and the protection of workers and communities living in the vicinity of work sites and access roads.
- (b) Ensure that noise levels emanating from machinery, vehicles and noisy construction activities (e.g. excavation, blasting) comply with World Bank and are generally kept at a minimum for the safety, health and protection of workers within the vicinity of high noise levels and nearby communities.
- (c) Ensure that existing water flow regimes in rivers, streams and other natural or irrigation channels are maintained and/or re-established where they are disrupted due to works being carried out.
- (d) Prevent any construction-generated substance, including bitumen, oils, lubricants and waste water used or produced during the execution of works, from entering into rivers, streams, irrigation channels and other natural water bodies/reservoirs.
- (e) Avoid or minimize the occurrence of standing water in holes, trenches, borrow areas, etc.

(f) Prevent and minimize the impacts of quarrying, earth borrowing, piling and building of temporary construction camps and access roads on the biophysical environment including protected areas and arable lands; local communities and their settlements. Restore/rehabilitate all sites to acceptable standards.

(g) Upon discovery of graves, cemeteries, cultural sites of any kind, including ancient heritage, relics or anything that might or believed to be of archaeological or historical importance during the execution of works, immediately report such findings to the Client so that the Ministry in charge of Culture may be expeditiously contacted for fulfilment of the measures aimed at protecting such historical or archaeological resources.

(h) Prohibit construction workers from engaging in the exploitation of natural resources such as hunting, fishing, and collection of forest products or any other activity that might have a negative impact on the social and economic welfare of the local communities. Prohibit explicitly any purchase of bush meat, as well as the transport of bush meat in Contractor's vehicles.

(i) Prohibit the transport of firearms in Program-related vehicles.

(j) Prohibit the transport of third parties in Program-related vehicles.

(k) Implement soil erosion control measures in order to avoid surface run off and prevent siltation, etc.

(l) Ensure that garbage, sanitation and drinking water facilities are provided in construction workers camps.

(m) Ensure that, in as much as possible, local materials are from legally authorized and (insofar as can be feasibly determined) environmentally sustainable sources.

(n) Ensure public safety and meet Kingdom of Lesotho traffic safety requirements for the operation of work to avoid accidents.

(o) Ensure that any trench, pit, excavation, hole or other hazardous feature is appropriately demarcated and signposted to prevent third-party intrusion and any safety hazard to third parties.

(p) Comply with Kingdom of Lesotho speed limits, and for any traffic related with construction at Project sites.

(q) Ensure that, where unskilled daily-hired workforce is necessary, such workers are hired from neighbouring communities as much as possible.

(r) Generally, comply with any requirements of Kingdom of Lesotho laws and regulations.

Besides the regular inspection of the sites by the supervisor appointed by the Client for adherence to the Contract conditions and specifications, the Client may appoint an environmental inspector to oversee the compliance with these environmental conditions and any proposed mitigation measures. State Environmental Authorities may carry out similar inspection duties. In all cases, as directed by the Client's supervisor, the Contractor shall comply with directives from such inspectors.

Unless duly requested by the Contractor and authorized by the supervisor, no servicing of vehicles is permitted at the drilling site.

### **3 Pipelines**

No trench shall be left open for more than 7 days, unless duly authorized by the supervisor upon Contractor's request. Trenches and other excavation works shall be demarcated and/or signposted to avoid third party intrusion and risks of injury or death.

General conditions related with topsoil stripping, storage and restoration apply.

The Contractor will take measures to dispose of water used for pressure tests in a manner that does not affect neighbouring settlements.

The Contractor will provide workers with appropriate Personal Protective gear and Equipment (PPE) especially if working with the replacement of asbestos pipelines. Recommended PPE for asbestos work includes: respirators and disposable clothing

### **4 Waste Management**

All drums, containers, bags, etc. containing oil/fuel/surfacing materials and other hazardous chemicals shall be stored at construction sites on a sealed and/or bonded area in order to contain potential spillage. All waste containers, litter and any other waste generated during the construction shall be collected and disposed of at designated disposal sites in line with the applicable World Bank Group Environmental, Health, and Safety Guidelines as well as Kingdom of Lesotho waste management regulations.

In the event of a limited hydrocarbon spill, the Contractor will recover spilled hydrocarbons and contaminated soils in sealed drums and dispose of them in an authorized waste management facility.

All drainage and effluent from storage areas, workshops, housing quarters and generally from construction sites shall be captured and treated before being discharged into the drainage system in line with applicable government water pollution control regulations.

Used oil from maintenance shall be collected, properly stored in sealed containers, and either disposed of appropriately at designated sites or be re-cycled.

Entry of runoff into construction sites and staging areas shall be restricted by constructing diversion channels or holding structures such as berms, drains, dams, etc. to reduce the potential of soil erosion and water pollution.

Construction waste shall not be left in stockpiles along the road but removed and reused or disposed of on a daily basis.

Where temporary dump sites for clean excavated material are necessary, they shall be located in areas, approved by the Client's supervisor, where they will not result in supplemental erosion. Any compensation related with the use of such sites shall be settled prior to their use.

Areas for temporary storage of hazardous materials such as contaminated liquid and solid materials shall be approved by the supervisor and appropriate local and/or relevant national or local authorities

before the commencement of work. Disposal of such waste shall be in existing, approved sites. Waste containing asbestos (old pipelines, etc.) is to be disposed of at authorized locations in a manner to discourage reuse or scavenging.

## **5 Quarries and Borrow Areas**

The Contractor shall obtain appropriate licenses/permits from relevant authorities to operate quarries or borrow areas. The location of quarries and borrow areas shall be subject to review and approval by relevant local and national authorities.

New extraction sites:

- a) Shall not be located less than 1km from settlement areas, archaeological areas, cultural sites - including churches and cemeteries, wetlands or any other valued ecosystem component, or on high or steep ground.
- b) Shall not be located in water bodies, or adjacent to them, as well as to springs, wells, well fields.
- c) Shall not be located in or near forest reserves, natural habitats or national parks.
- d) Shall be designed and operated in the perspective of an easy and effective rehabilitation. Areas with minimal vegetation cover such as flat and bare ground, or areas covered with grass only or covered with shrubs less than 1.5m in height, are preferred.
- e) Shall have clearly demarcated and marked boundaries to minimize vegetation clearing and safety hazards for third parties.

Vegetation clearing shall be restricted to the area required for safe operation of construction work. Vegetation clearing shall not be done more than two months in advance of operations.

Stockpile areas shall be in areas where trees or other natural obstacles can act as buffers to prevent dust pollution, and generally at a distance from human settlements. Wind shall be taken into consideration when siting stockpile areas. Perimeter drains shall be built around stockpile areas. The Contractor shall deposit any excess material in accordance with the principles of these guidelines, and any applicable ESMP, in areas approved by local authorities and/or the supervisor

## **6 Rehabilitation of Work and Camp Sites**

Topsoil shall be stripped, removed and stored for subsequent rehabilitation. Soils shall not be stripped when they are wet. Topsoil shall not be stored in large or high heaps. Low mounds of no more than 1 to 2m high are recommended.

Generally, rehabilitation of work and camp sites shall follow the following principles:

- To the extent practicable, reinstate natural drainage patterns where they have been altered or impaired.
- Remove toxic materials and dispose of them in designated sites. Backfill excavated areas with soils or overburden that is free of foreign material that could pollute groundwater and soil.

- Ensure reshaped land is formed so as to be stable, adequately drained and suitable for the desired long-term land use and allow natural regeneration of vegetation.
- Minimize erosion by wind and water both during and after the process of reinstatement.
- Compacted surfaces shall be deep ripped to relieve compaction unless subsurface conditions dictate otherwise.

## **7 Management of Water needed for Construction Purposes**

The Contractor shall at all costs avoid conflicting with water needs of local communities. To this effect, any temporary water abstraction for construction needs from either ground or surface water shall be submitted to the following community consultation process:

- Identification of water uses that may be affected by the planned water abstraction,
- Consultation with all identified groups of users about the planned water abstraction,
- In the event that a potential conflict is identified, report to the supervising authority.

This consultation process shall be documented by the Contractor (via minutes of meeting) for review and eventual authorization of the water withdrawal by the Supervising Engineer.

Abstraction of both surface and underground water shall only be done with the consultation of the local community as mentioned and after obtaining a permit from the relevant authority.

Abstraction of water from dambos, marshes, and similar wetlands is prohibited.

Temporary damming of streams and rivers is submitted for the Supervising Engineer's approval by the. It shall be done in such a way as to avoid disrupting water supplies to communities downstream, and to maintain the ecological balance of the river system.

No construction water containing spoils or site effluent, especially cement and oil, shall be allowed to flow into natural water drainage courses. Similarly, wash water from washing out of equipment shall not be discharged into water courses or road drains. Washing bays shall be sited accordingly. Unless site conditions are not favourable, it will generally be infiltrated through soak pits or similar means.

Site spoils and temporary stockpiles shall be located away from the drainage system, and surface run off shall be directed away from stockpiles to prevent erosion.

## **8 Traffic Management and Community Safety**

Location of temporary access roads shall be done in consultation with the local community and based on the screening results, especially in important or sensitive environments. Temporary access roads shall not traverse wetland areas or other ecologically sensitive areas. The construction of any access roads shall be submitted to a prior consultation process with potentially affected communities that will be documented (minutes of meetings) for the Supervising Engineer's review and approval. Upon the completion of civil works, all temporary access roads shall be ripped and rehabilitated. Measures shall be taken to suppress dust emissions generated by Program traffic.

Maximum speed limits for any traffic related with construction at LWDP sites shall be the following,

- Inhabited areas: 50 km/h

- Open road: 80 km/h.

## **9 Salvaging and Disposal of Obsolete Components found by Rehabilitation Works**

Obsolete materials and construction elements such as electro-mechanical equipment, pipes, accessories and demolished structures shall be salvaged and disposed of in a manner approved by the supervisor. The Contractor has to agree with the supervisor which elements are to be surrendered to the Client's premises, which will be recycled or reused, and which will be disposed of at approved landfill sites.

Any asbestos cement material that might be uncovered when performing rehabilitation works will be considered as hazardous material and disposed of in a designated facility. Scavenging and reuse of such materials must be prohibited.

## **10 Compensation of Damage to Property**

Compensation of land acquired permanently for Program purposes will be handled under Client responsibility based on the provisions of the RPF. However, in the event that the Contractor, deliberately or accidentally, damages property, he shall repair the property to the owner's satisfaction and at his own cost. For each repair, the Contractor shall obtain from the owner/user a certificate that the damage has been made good satisfactorily in order to indemnify the Client from subsequent claims.

In any case where compensation for inconveniences, damage of crops etc. are claimed by the owner, the Client has to be informed by the Contractor through the Supervising Engineer

## **11 Contractor's Health, Safety and Environment Management Plan (HSE-MP)**

Within 6 weeks of signing the Contract, the Contractor shall prepare an HSE-MP to ensure the adequate management of the health, safety, environmental and social aspects of the works, including implementation of the requirements of these general conditions and any specific requirements of an ESMP for the works. The Contractor's EHS-MP will serve two main purposes:

The Contractor's HSE-MP shall provide at least:

- A description of procedures and methods for complying with these general environmental management conditions, and any specific conditions specified in an ESMP;
- A description of specific mitigation measures that will be implemented in order to minimize adverse impacts;
- A description of all planned monitoring activities and the reporting thereof; and
- The internal organizational, management and reporting mechanisms put in place for such.

The Contractor's HSE-MP will be reviewed and approved by the Client before start of the works. This review should demonstrate if the Contractor's HSE-MP covers all of the identified impacts, and has defined appropriate measures to counteract any potential impacts.

## **12 HSE Reporting**

The Contractor shall prepare bi-monthly progress reports to the Client (PIU, LLWSSU or DoE) on compliance with these general conditions, the sub-program ESMP if any, and his own HSE-MP. The Contractor's reports will include information on:

- HSE management actions/measures taken, including approvals sought from local or national authorities;
- Problems encountered in relation to HSE aspects (incidents, including delays, cost consequences, etc. as a result thereof);
- Non-compliance with contract requirements on the part of the Contractor;
- Changes of assumptions, conditions, measures, designs and actual works in relation to HSE aspects; and
- Observations, concerns raised and/or decisions taken with regard to HSE management during site meetings

The reporting of any significant HSE incidents shall be done as soon as practicable. Such incident reporting shall therefore be done individually. The Contractor should keep his own records on health, safety and welfare of persons, and damage to property. It is advisable to include such records, as well as copies of incident reports, as appendixes to the bi-monthly reports. Details of HSE performance will be reported to the Client.

### **13 Training of Contractor's Personnel**

The Contractor shall provide sufficient training to his own personnel to ensure that they are all aware of the relevant aspects of these general conditions, any program ESMP, and his own HSEMP, and are able to fulfill their expected roles and functions. Specific training will be provided to those employees that have particular responsibilities associated with the implementation of the HSE-MP. Training activities will be documented for potential review by the Client.

Amongst other issues, training will include an awareness session for all employees on HIV/AIDS addressing the following topics:

- What is HIV/AIDS?
- How is HIV/AIDS contracted?
- HIV/AIDS prevention.

### **14 Penalties for Non-Compliance**

In the HSE-MP, the Contractor shall specify strict penalties (warnings, dismissal, etc.) and transparent enforcement procedures for non-compliance by any employees or contracted personnel. The Supervising Engineer shall oversee the Contractor's timely and appropriate application of these procedures during project construction.

Any material (non-trivial) environmental or social damages by the Contractor due to noncompliance with these Rules must be rectified before the Contractor will be eligible to receive his final payment.

## **APPENDIX 7: ESF/SAFEGUARDS INTREM NOTE: COVID-19 CONSIDERATIONS IN CONSTRUCTION/CIVIL WORKS PROJECT**

*This note was issued on April 7, 2020 and includes links to the latest guidance as of this date (e.g. from WHO). Given the COVID-19 situation is rapidly evolving, when using this note it is important to check whether any updates to these external resources have been issued.*

### **1. INTRODUCTION**

The COVID-19 pandemic presents Governments with unprecedented challenges. Addressing COVID-19 related issues in both existing and new operations starts with recognizing that this is not business as usual and that circumstances require a highly adaptive responsive management design to avoid, minimize and manage what may be a rapidly evolving situation. In many cases, we will ask Borrowers to use reasonable efforts in the circumstances, recognizing that what may be possible today may be different next week (both positively, because more supplies and guidance may be available, and negatively, because the spread of the virus may have accelerated).

This interim note is intended to provide guidance to teams on how to support Borrowers in addressing key issues associated with COVID-19 and consolidates the advice that has already been provided over the past month. As such, it should be used in place of other guidance that has been provided to date. This note will be developed as the global situation and the Bank's learning (and that of others) develops. This is not a time when 'one size fits all'. More than ever, teams will need to work with Borrowers and projects to understand the activities being carried out and the risks that these activities may entail. Support will be needed in designing mitigation measures that are implementable in the context of the project. These measures will need to take into account capacity of the Government agencies, availability of supplies and the practical challenges of operations on-the-ground, including stakeholder engagement, supervision and monitoring. In many circumstances, communication itself may be challenging, where face-to-face meetings are restricted or prohibited, and where IT solutions are limited or unreliable.

This note emphasizes the importance of careful scenario planning, clear procedures and protocols, management systems, effective communication and coordination, and the need for high levels of responsiveness in a changing environment. It recommends assessing the current situation of the project, putting in place mitigation measures to avoid or minimize the chance of infection, and planning what to do if either project workers become infected, or the work force includes workers from proximate communities affected by COVID-19. In many projects, measures to avoid or minimize will need to be implemented at the same time as dealing with sick workers and relations with the community, some of whom may also be ill or concerned about infection. Borrowers should understand the obligations that contractors have under their existing contracts (see Section 3), require contractors to put in place appropriate organizational structures (see Section 4) and develop procedures to address different aspects of COVID-19 (see Section 5).

### **2. CHALLENGES WITH CONSTRUCTION/CIVIL WORKS**

Projects involving construction/civil works frequently involve a large work force, together with suppliers and supporting functions and services. The work force may comprise workers from international, national, regional, and local labor markets. They may need to live in on-site accommodation, lodge within communities close to work sites or return to their homes after work. There may be different contractors permanently present on site, carrying out different activities, each with their own dedicated workers. Supply chains may involve international, regional and national suppliers facilitating the regular flow of goods and services to the project (including supplies essential to the project such as fuel, food, and water). As such there will also be regular flow of parties entering

and exiting the site; support services, such as catering, cleaning services, equipment, material and supply deliveries, and specialist sub-contractors, brought in to deliver specific elements of the works.

Given the complexity and the concentrated number of workers, the potential for the spread of infectious disease in projects involving construction is extremely serious, as are the implications of such a spread. Projects may experience large numbers of the work force becoming ill, which will strain the project's health facilities, have implications for local emergency and health services and may jeopardize the progress of the construction work and the schedule of the project. Such impacts will be exacerbated where a work force is large and/or the project is in remote or under-serviced areas. In such circumstances, relationships with the community can be strained or difficult and conflict can arise, particularly if people feel they are being exposed to disease by the project or are having to compete for scarce resources. The project must also exercise appropriate precautions against introducing the infection to local communities.

### **3. DOES THE CONSTRUCTION CONTRACT COVER THIS SITUATION?**

Given the unprecedented nature of the COVID-19 pandemic, it is unlikely that the existing construction/civil works contracts will cover all the things that a prudent contractor will need to do. Nevertheless, the first place for a Borrower to start is with the contract, determining what a contractor's existing obligations are, and how these relate to the current situation.

The obligations on health and safety will depend on what kind of contract exists (between the Borrower and the main contractor; between the main contractors and the sub-contractors). It will differ if the Borrower used the World Bank's standard procurement documents (SPDs) or used national bidding documents. If a FIDIC document has been used, there will be general provisions relating to health and safety. For example, the standard FIDIC, Conditions of Contract for Construction (Second Edition 2017), which contains no 'ESF enhancements', states (in the General Conditions, clause 6.7) that the Contractor will be required:

- to take all necessary precautions to maintain the health and safety of the Contractor's Personnel
- to appoint a health and safety officer at site, who will have the authority to issue directives for the purpose of maintaining the health and safety of all personnel authorized to enter and or work on the site and to take protective measures to prevent accidents
- to ensure, in collaboration with local health authorities, that medical staff, first aid facilities, sick bay, ambulance services and any other medical services specified are available at all times at the site and at any accommodation
- to ensure suitable arrangements are made for all necessary welfare and hygiene requirements and for the prevention of epidemics

These requirements have been enhanced through the introduction of the ESF into the SPDs (edition dated July 2019). The general FIDIC clause referred to above has been strengthened to reflect the requirements of the ESF. Beyond FIDIC's general requirements discussed above, the Bank's Particular Conditions include a number of relevant requirements on the Contractor, including:

- to provide health and safety training for Contractor's Personnel (which include project workers and all personnel that the Contractor uses on site, including staff and other employees of the Contractor and Subcontractors and any other personnel assisting the Contractor in carrying out project activities)
- to put in place workplace processes for Contractor's Personnel to report work situations that are not safe or healthy

- gives Contractor’s Personnel the right to report work situations which they believe are not safe or healthy, and to remove themselves from a work situation which they have a reasonable justification to believe presents an imminent and serious danger to their life or health (with no reprisal for reporting or removing themselves)
- requires measures to be in place to avoid or minimize the spread of diseases including measures to avoid or minimize the transmission of communicable diseases that may be associated with the influx of temporary or permanent contract-related labor
- to provide an easily accessible grievance mechanism to raise workplace concerns

Where the contract form used is FIDIC, the Borrower (as the Employer) will be represented by the Engineer (also referred to in this note as the Supervising Engineer). The Engineer will be authorized to exercise authority specified in or necessarily implied from the construction contract. In such cases, the Engineer (through its staff on site) will be the interface between the PIU and the Contractor. It is important therefore to understand the scope of the Engineer’s responsibilities. It is also important to recognize that in the case of infectious diseases such as COVID-19, project management – through the Contractor/subcontractor hierarchy – is only as effective as the weakest link. A thorough review of management procedures/plans as they will be implemented through the entire contractor hierarchy is important. Existing contracts provide the outline of this structure; they form the basis for the Borrower to understand how proposed mitigation measures will be designed and how adaptive management will be implemented, and to start a conversation with the Contractor on measures to address COVID-19 in the project.

#### **4. WHAT PLANNING SHOULD THE BORROWER BE DOING?**

Task teams should work with Borrowers (PIUs) to confirm that projects (i) are taking adequate precautions to prevent or minimize an outbreak of COVID-19, and (ii) have identified what to do in the event of an outbreak. Suggestions on how to do this are set out below:

- The PIU, either directly or through the Supervising Engineer, should request details in writing from the main Contractor of the measures being taken to address the risks. As stated in Section 3, the construction contract should include health and safety requirements, and these can be used as the basis for identification of, and requirements to implement, COVID-19 specific measures. The measures may be presented as a contingency plan, as an extension of the existing project emergency and preparedness plan or as standalone procedures. The measures may be reflected in revisions to the project’s health and safety manual. This request should be made in writing (following any relevant procedure set out in the contract between the Borrower and the contractor).
- In making the request, it may be helpful for the PIU to specify the areas that should be covered. This should include the items set out in Section 5 below and take into account current and relevant guidance provided by national authorities, WHO and other organizations. See the list of references in the Annex to this note.
- The PIU should require the Contractor to convene regular meetings with the project health and safety specialists and medical staff (and where appropriate the local health authorities), and to take their advice in designing and implementing the agreed measures.
- Where possible, a senior person should be identified as a focal point to deal with COVID-19 issues. This can be a work supervisor or a health and safety specialist. This person can be responsible for coordinating preparation of the site and making sure that the measures taken are communicated to the workers, those entering the site and the local community. It is also advisable to designate

at least one back-up person, in case the focal point becomes ill; that person should be aware of the arrangements that are in place.

- On sites where there are a number of contractors and therefore (in effect) different work forces, the request should emphasize the importance of coordination and communication between the different parties. Where necessary, the PIU should request the main contractor to put in place a protocol for regular meetings of the different contractors, requiring each to appoint a designated staff member (with back up) to attend such meetings. If meetings cannot be held in person, they should be conducted using whatever IT is available. The effectiveness of mitigation measures will depend on the weakest implementation, and therefore it is important that all contractors and sub-contractors understand the risks and the procedure to be followed.
- The PIU, either directly or through the Supervising Engineer, may provide support to projects in identifying appropriate mitigation measures, particularly where these will involve interface with local services, in particular health and emergency services. In many cases, the PIU can play a valuable role in connecting project representatives with local Government agencies, and helping coordinate a strategic response, which takes into account the availability of resources. To be most effective, projects should consult and coordinate with relevant Government agencies and other projects in the vicinity.
- Workers should be encouraged to use the existing project grievance mechanism to report concerns relating to COVID-19, preparations being made by the project to address COVID-19 related issues, how procedures are being implemented, and concerns about the health of their co-workers and other staff.

## 5. WHAT SHOULD THE CONTRACTOR COVER?

The Contractor should identify measures to address the COVID-19 situation. What will be possible will depend on the context of the project: the location, existing project resources, availability of supplies, capacity of local emergency/health services, the extent to which the virus already exist in the area. A systematic approach to planning, recognizing the challenges associated with rapidly changing circumstances, will help the project put in place the best measures possible to address the situation. As discussed above, measures to address COVID-19 may be presented in different ways (as a contingency plan, as an extension of the existing project emergency and preparedness plan or as standalone procedures). PIUs and contractors should refer to guidance issued by relevant authorities, both national and international (e.g. WHO), which is regularly updated (see sample References and links provided in the Annex).

Addressing COVID-19 at a project site goes beyond occupational health and safety and is a broader project issue which will require the involvement of different members of a project management team. In many cases, the most effective approach will be to establish procedures to address the issues, and then to ensure that these procedures are implemented systematically. Where appropriate given the project context, a designated team should be established to address COVID-19 issues, including PIU representatives, the Supervising Engineer, management (e.g. the project manager) of the contractor and sub-contractors, security, and medical and OHS professionals. Procedures should be clear and straightforward, improved as necessary, and supervised and monitored by the COVID-19 focal point(s). Procedures should be documented, distributed to all contractors, and discussed at regular meetings to facilitate adaptive management. The issues set out below include a number that represent expected good workplace management but are especially pertinent in preparing the project response to COVID-19.

### **(a) ASSESSING WORKFORCE CHARACTERISTICS**

Many construction sites will have a mix of workers e.g. workers from the local communities; workers from a different part of the country; workers from another country. Workers will be employed under different terms and conditions and be accommodated in different ways. Assessing these different aspects of the workforce will help in identifying appropriate mitigation measures:

- The Contractor should prepare a detailed profile of the project work force, key work activities, schedule for carrying out such activities, different durations of contract and rotations (e.g. 4 weeks on, 4 weeks off).
- This should include a breakdown of workers who reside at home (i.e. workers from the community), workers who lodge within the local community and workers in on-site accommodation. Where possible, it should also identify workers that may be more at risk from COVID-19, those with underlying health issues or who may be otherwise at risk.
- Consideration should be given to ways in which to minimize movement in and out of site. This could include lengthening the term of existing contracts, to avoid workers returning home to affected areas, or returning to site from affected areas.
- Workers accommodated on site should be required to minimize contact with people near the site, and in certain cases be prohibited from leaving the site for the duration of their contract, so that contact with local communities is avoided.
- Consideration should be given to requiring workers lodging in the local community to move to site accommodation (subject to availability) where they would be subject to the same restrictions.
- Workers from local communities, who return home daily, weekly or monthly, will be more difficult to manage. They should be subject to health checks at entry to the site (as set out above) and at some point, circumstances may make it necessary to require them to either use accommodation on site or not to come to work.

### **(b) ENTRY/EXIT TO THE WORK SITE AND CHECKS ON COMMENCEMENT OF WORK**

Entry/exit to the work site should be controlled and documented for both workers and other parties, including support staff and suppliers. Possible measures may include:

- Establishing a system for controlling entry/exit to the site, securing the boundaries of the site, and establishing designating entry/exit points (if they do not already exist). Entry/exit to the site should be documented.
- Training security staff on the (enhanced) system that has been put in place for securing the site and controlling entry and exit, the behaviors required of them in enforcing such system and any COVID -19 specific considerations.
- Training staff who will be monitoring entry to the site, providing them with the resources they need to document entry of workers, conducting temperature checks and recording details of any worker that is denied entry.
- Confirming that workers are fit for work before they enter the site or start work. While procedures should already be in place for this, special attention should be paid to workers with underlying health issues or who may be otherwise at risk. Consideration should be given to demobilization of staff with underlying health issues.
- Checking and recording temperatures of workers and other people entering the site or requiring self-reporting prior to or on entering the site.
- Providing daily briefings to workers prior to commencing work, focusing on COVID-19 specific considerations including cough etiquette, hand hygiene and distancing measures, using demonstrations and participatory methods.

- During the daily briefings, reminding workers to self-monitor for possible symptoms (fever, cough) and to report to their supervisor or the COVID-19 focal point if they have symptoms or are feeling unwell.
- Preventing a worker from an affected area or who has been in contact with an infected person from returning to the site for 14 days or (if that is not possible) isolating such worker for 14 days.
- Preventing a sick worker from entering the site, referring them to local health facilities if necessary or requiring them to isolate at home for 14 days.

### **(c) GENERAL HYGIENE**

Requirements on general hygiene should be communicated and monitored, to include:

- Training workers and staff on site on the signs and symptoms of COVID-19, how it is spread, how to protect themselves (including regular hand washing and social distancing) and what to do if they or other people have symptoms (for further information see [WHO COVID-19 advice for the public](#)).
- Placing posters and signs around the site, with images and text in local languages.
- Ensuring hand washing facilities supplied with soap, disposable paper towels and closed waste bins exist at key places throughout site, including at entrances/exits to work areas; where there is a toilet, canteen or food distribution, or provision of drinking water; in worker accommodation; at waste stations; at stores; and in common spaces. Where hand washing facilities do not exist or are not adequate, arrangements should be made to set them up. Alcohol based sanitizer (if available, 60-95% alcohol) can also be used.
- Review worker accommodations, and assess them in light of the requirements set out in [IFC/EBRD guidance on Workers' Accommodation: processes and standards](#), which provides valuable guidance as to good practice for accommodation.
- Setting aside part of worker accommodation for precautionary self-quarantine as well as more formal isolation of staff who may be infected (see paragraph (f)).

### **(d) CLEANING AND WASTE DISPOSAL**

Conduct regular and thorough cleaning of all site facilities, including offices, accommodation, canteens, common spaces. Review cleaning protocols for key construction equipment (particularly if it is being operated by different workers). This should include:

- Providing cleaning staff with adequate cleaning equipment, materials and disinfectant.
- Review general cleaning systems, training cleaning staff on appropriate cleaning procedures and appropriate frequency in high use or high-risk areas.
- Where it is anticipated that cleaners will be required to clean areas that have been or are suspected to have been contaminated with COVID-19, providing them with appropriate PPE: gowns or aprons, gloves, eye protection (masks, goggles or face screens) and boots or closed work shoes. If appropriate PPE is not available, cleaners should be provided with best available alternatives.
- Training cleaners in proper hygiene (including hand washing) prior to, during and after conducting cleaning activities; how to safely use PPE (where required); in waste control (including for used PPE and cleaning materials).
- Any medical waste produced during the care of ill workers should be collected safely in designated containers or bags and treated and disposed of following relevant requirements (e.g., national, WHO). If open burning and incineration of medical wastes is necessary, this should be for as limited a duration as possible. Waste should be reduced and segregated, so that only the smallest

amount of waste is incinerated (for further information [see WHO interim guidance on water, sanitation and waste management for COVID-19](#)).

#### **(e) ADJUSTING WORK PRACTICES**

Consider changes to work processes and timings to reduce or minimize contact between workers, recognizing that this is likely to impact the project schedule. Such measures could include:

- Decreasing the size of work teams.
- Limiting the number of workers on site at any one time.
- Changing to a 24-hour work rotation.
- Adapting or redesigning work processes for specific work activities and tasks to enable social distancing, and training workers on these processes.
- Continuing with the usual safety trainings, adding COVID-19 specific considerations. Training should include proper use of normal PPE. While as of the date of this note, general advice is that construction workers do not require COVID-19 specific PPE, this should be kept under review (for further information see [WHO interim guidance on rational use of personal protective equipment \(PPE\) for COVID-19](#)).
- Reviewing work methods to reduce use of construction PPE, in case supplies become scarce or the PPE is needed for medical workers or cleaners. This could include, e.g. trying to reduce the need for dust masks by checking that water sprinkling systems are in good working order and are maintained or reducing the speed limit for haul trucks.
- Arranging (where possible) for work breaks to be taken in outdoor areas within the site.
- Consider changing canteen layouts and phasing meal times to allow for social distancing and phasing access to and/or temporarily restricting access to leisure facilities that may exist on site, including gyms.
- At some point, it may be necessary to review the overall project schedule, to assess the extent to which it needs to be adjusted (or work stopped completely) to reflect prudent work practices, potential exposure of both workers and the community and availability of supplies, taking into account Government advice and instructions.

#### **(f) PROJECT MEDICAL SERVICES**

Consider whether existing project medical services are adequate, taking into account existing infrastructure (size of clinic/medical post, number of beds, isolation facilities), medical staff, equipment and supplies, procedures and training. Where these are not adequate, consider upgrading services where possible, including:

- Expanding medical infrastructure and preparing areas where patients can be isolated. Guidance on setting up isolation facilities is set out in [WHO interim guidance on considerations for quarantine of individuals in the context of containment for COVID-19](#). Isolation facilities should be located away from worker accommodation and ongoing work activities. Where possible, workers should be provided with a single well-ventilated room (open windows and door). Where this is not possible, isolation facilities should allow at least 1 meter between workers in the same room, separating workers with curtains, if possible. Sick workers should limit their movements, avoiding common areas and facilities and not be allowed visitors until they have been clear of symptoms for 14 days. If they need to use common areas and facilities (e.g. kitchens or canteens), they should only do so when unaffected workers are not present and the area/facilities should be cleaned prior to and after such use.

- Training medical staff, which should include current WHO advice on COVID-19 and recommendations on the specifics of COVID-19. Where COVID-19 infection is suspected, medical providers on site should follow [WHO interim guidance on infection prevention and control during health care when novel coronavirus \(nCoV\) infection is suspected](#).
- Training medical staff in testing, if testing is available.
- Assessing the current stock of equipment, supplies and medicines on site, and obtaining additional stock, where required and possible. This could include medical PPE, such as gowns, aprons, medical masks, gloves, and eye protection. Refer to WHO guidance as to what is advised (for further information see [WHO interim guidance on rational use of personal protective equipment \(PPE\) for COVID-19](#)).
- If PPE items are unavailable due to world-wide shortages, medical staff on the project should agree on alternatives and try to procure them. Alternatives that may commonly be found on construction sites include dust masks, construction gloves and eye goggles. While these items are not recommended, they should be used as a last resort if no medical PPE is available.
- Ventilators will not normally be available on work sites, and in any event, intubation should only be conducted by experienced medical staff. If a worker is extremely ill and unable to breathe properly on his or her own, they should be referred immediately to the local hospital (see (g) below).
- Review existing methods for dealing with medical waste, including systems for storage and disposal (for further information see [WHO interim guidance on water, sanitation and waste management for COVID-19](#), and [WHO guidance on safe management of wastes from health-care activities](#)).

#### **(g) LOCAL MEDICAL AND OTHER SERVICES**

Given the limited scope of project medical services, the project may need to refer sick workers to local medical services. Preparation for this includes:

- Obtaining information as to the resources and capacity of local medical services (e.g. number of beds, availability of trained staff and essential supplies).
- Conducting preliminary discussions with specific medical facilities, to agree what should be done in the event of ill workers needing to be referred.
- Considering ways in which the project may be able to support local medical services in preparing for members of the community becoming ill, recognizing that the elderly or those with pre-existing medical conditions require additional support to access appropriate treatment if they become ill.
- Clarifying the way in which an ill worker will be transported to the medical facility, and checking availability of such transportation.
- Establishing an agreed protocol for communications with local emergency/medical services.
- Agreeing with the local medical services/specific medical facilities the scope of services to be provided, the procedure for in-take of patients and (where relevant) any costs or payments that may be involved.
- A procedure should also be prepared so that project management knows what to do in the unfortunate event that a worker ill with COVID-19 dies. While normal project procedures will continue to apply, COVID-19 may raise other issues because of the infectious nature of the disease. The project should liaise with the relevant local authorities to coordinate what should be done, including any reporting or other requirements under national law.

## **(h) INSTANCES OR SPREAD OF THE VIRUS**

WHO provides detailed advice on what should be done to treat a person who becomes sick or displays symptoms that could be associated with the COVID-19 virus (for further information see [WHO interim guidance on infection prevention and control during health care when novel coronavirus \(nCoV\) infection is suspected](#)). The project should set out risk-based procedures to be followed, with differentiated approaches based on case severity (mild, moderate, severe, critical) and risk factors (such as age, hypertension, diabetes) (for further information see [WHO interim guidance on operational considerations for case management of COVID-19 in health facility and community](#)). These may include the following:

- If a worker has symptoms of COVID-19 (e.g. fever, dry cough, fatigue) the worker should be removed immediately from work activities and isolated on site.
- If testing is available on site, the worker should be tested on site. If a test is not available at site, the worker should be transported to the local health facilities to be tested (if testing is available).
- If the test is positive for COVID-19 or no testing is available, the worker should continue to be isolated. This will either be at the work site or at home. If at home, the worker should be transported to their home in transportation provided by the project.
- Extensive cleaning procedures with high-alcohol content disinfectant should be undertaken in the area where the worker was present, prior to any further work being undertaken in that area. Tools used by the worker should be cleaned using disinfectant and PPE disposed of.
- Co-workers (i.e. workers with whom the sick worker was in close contact) should be required to stop work, and be required to quarantine themselves for 14 days, even if they have no symptoms.
- Family and other close contacts of the worker should be required to quarantine themselves for 14 days, even if they have no symptoms.
- If a case of COVID-19 is confirmed in a worker on the site, visitors should be restricted from entering the site and worker groups should be isolated from each other as much as possible.
- If workers live at home and has a family member who has a confirmed or suspected case of COVID-19, the worker should quarantine themselves and not be allowed on the project site for 14 days, even if they have no symptoms.
- Workers should continue to be paid throughout periods of illness, isolation or quarantine, or if they are required to stop work, in accordance with national law.
- Medical care (whether on site or in a local hospital or clinic) required by a worker should be paid for by the employer.

## **(i) CONTINUITY OF SUPPLIES AND PROJECT ACTIVITIES**

Where COVID-19 occurs, either in the project site or the community, access to the project site may be restricted, and movement of supplies may be affected.

- Identify back-up individuals, in case key people within the project management team (PIU, Supervising Engineer, Contractor, sub-contractors) become ill, and communicate who these are so that people are aware of the arrangements that have been put in place.
- Document procedures, so that people know what they are, and are not reliant on one person's knowledge.
- Understand the supply chain for necessary supplies of energy, water, food, medical supplies and cleaning equipment, consider how it could be impacted, and what alternatives are available. Early pro-active review of international, regional and national supply chains, especially for those supplies that are critical for the project, is important (e.g. fuel, food, medical, cleaning and other

essential supplies). Planning for a 1-2 month interruption of critical goods may be appropriate for projects in more remote areas.

- Place orders for/procure critical supplies. If not available, consider alternatives (where feasible).
- Consider existing security arrangements, and whether these will be adequate in the event of interruption to normal project operations.
- Consider at what point it may become necessary for the project to significantly reduce activities or to stop work completely, and what should be done to prepare for this, and to re-start work when it becomes possible or feasible.

#### **(j) TRAINING AND COMMUNICATION WITH WORKERS**

Workers need to be provided with regular opportunities to understand their situation, and how they can best protect themselves, their families and the community. They should be made aware of the procedures that have been put in place by the project, and their own responsibilities in implementing them.

- It is important to be aware that in communities close to the site and amongst workers without access to project management, social media is likely to be a major source of information. This raises the importance of regular information and engagement with workers (e.g. through training, town halls, tool boxes) that emphasizes what management is doing to deal with the risks of COVID-19. Allaying fear is an important aspect of work force peace of mind and business continuity. Workers should be given an opportunity to ask questions, express their concerns, and make suggestions.
- Training of workers should be conducted regularly, as discussed in the sections above, providing workers with a clear understanding of how they are expected to behave and carry out their work duties.
- Training should address issues of discrimination or prejudice if a worker becomes ill and provide an understanding of the trajectory of the virus, where workers return to work.
- Training should cover all issues that would normally be required on the work site, including use of safety procedures, use of construction PPE, occupational health and safety issues, and code of conduct, taking into account that work practices may have been adjusted.
- Communications should be clear, based on fact and designed to be easily understood by workers, for example by displaying posters on handwashing and social distancing, and what to do if a worker displays symptoms.

#### **(k) COMMUNICATION AND CONTACT WITH THE COMMUNITY**

Relations with the community should be carefully managed, with a focus on measures that are being implemented to safeguard both workers and the community. The community may be concerned about the presence of non-local workers, or the risks posed to the community by local workers presence on the project site. The project should set out risk-based procedures to be followed , which may reflect WHO guidance (for further information see [WHO Risk Communication and Community Engagement \(RCCE\) Action Plan Guidance COVID-19 Preparedness and Response](#)). The following good practice should be considered:

- Communications should be clear, regular, based on fact and designed to be easily understood by community members.
- Communications should utilize available means. In most cases, face-to-face meetings with the community or community representatives will not be possible. Other forms of communication should be used; posters, pamphlets, radio, text message, electronic meetings. The means used

should take into account the ability of different members of the community to access them, to make sure that communication reaches these groups.

- The community should be made aware of procedures put in place at site to address issues related to COVID-19. This should include all measures being implemented to limit or prohibit contact between workers and the community. These need to be communicated clearly, as some measures will have financial implications for the community (e.g. if workers are paying for lodging or using local facilities). The community should be made aware of the procedure for entry/exit to the site, the training being given to workers and the procedure that will be followed by the project if a worker becomes sick.
- If project representatives, contractors or workers are interacting with the community, they should practice social distancing and follow other COVID-19 guidance issued by relevant authorities, both national and international (e.g. WHO).

## **6. EMERGENCY POWERS AND LEGISLATION**

Many Borrowers are enacting emergency legislation. The scope of such legislation, and the way it interacts with other legal requirements, will vary from country to country. Such legislation can cover a range of issues, for example:

- Declaring a public health emergency
- Authorizing the use of police or military in certain activities (e.g. enforcing curfews or restrictions on movement)
- Ordering certain categories of employees to work longer hours, not to take holiday or not to leave their job (e.g. health workers)
- Ordering non-essential workers to stay at home, for reduced pay or compulsory holiday

Except in exceptional circumstances (after referral to the World Bank's Operations Environmental and Social Review Committee (OESRC)), projects will need to follow emergency legislation to the extent that these are mandatory or advisable. It is important that the Borrower understands how mandatory requirements of the legislation will impact the project. Teams should require Borrowers (and in turn, Borrowers should request Contractors) to consider how the emergency legislation will impact the obligations of the Borrower set out in the legal agreement and the obligations set out in the construction contracts. Where the legislation requires a material departure from existing contractual obligations, this should be documented, setting out the relevant provisions.

## ANNEX

### WHO Guidance

#### Advice for the public

WHO advice for the public, including on social distancing, respiratory hygiene, self-quarantine, and seeking medical advice, can be consulted on this WHO website: <https://www.who.int/emergencies/diseases/novel-coronavirus-2019/advice-for-public>

#### Technical guidance

[Infection prevention and control during health care when novel coronavirus \(nCoV\) infection is suspected](#), issued on 19 March 2020

[Coronavirus disease \(COVID-19\) outbreak: rights, roles and responsibilities of health workers, including key considerations for occupational safety and health](#), issued on 18 March 2020

[Risk Communication and Community Engagement \(RCCE\) Action Plan Guidance COVID-19 Preparedness and Response](#), issued on 16 March 2020

[Considerations for quarantine of individuals in the context of containment for coronavirus disease \(COVID-19\)](#), issued on 19 March 2020

[Operational considerations for case management of COVID-19 in health facility and community](#), issued on 19 March 2020

[Rational use of personal protective equipment for coronavirus disease 2019 \(COVID-19\)](#), issued on 27 February 2020

[Getting your workplace ready for COVID-19](#), issued on 19 March 2020

[Water, sanitation, hygiene and waste management for COVID-19](#), issued on 19 March 2020

[Safe management of wastes from health-care activities](#) issued in 2014

[Advice on the use of masks in the community, during home care and in healthcare settings in the context of the novel coronavirus \(COVID-19\) outbreak](#), issued on March 19, 2020

### ILO GUIDANCE

[ILO Standards and COVID-19 FAQ](#), issued on March 23, 2020 (provides a compilation of answers to most frequently asked questions related to international labor standards and COVID-19)

### MFI GUIDANCE

[IDB Invest Guidance for Infrastructure Projects on COVID-19: A Rapid Risk Profile and Decision Framework](#)

[KfW DEG COVID-19 Guidance for employers, issued on 31 March 2020](#)

[CDC Group COVID-19 Guidance for Employers, issued on 23 March 2020](#)