

ASCENT

Environmental and Social Management Framework (ESMF)

**Template for new Countries joining Accelerating Sustainable
and Clean Energy Access Transformation Program**

November 2025

ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK

FOR ASCENT ROLLOUT TO NEW COUNTRIES

Background

This document provides an Environmental and Social Management Framework (ESMF) template for new countries joining Accelerating Sustainable and Clean Energy Access Transformation (ASCENT) Multi Programmatic Approach (MPA). Phase 1 of the MPA will establish a regional Technical Assistance TA and climate finance platform supporting Eastern and Southern Africa (AFE) countries participating or aiming to participate in ASCENT, as well as private sector Distributed Renewable Energy (DRE) and clean cooking companies active in the AFE region. The platform will be managed by Common Market for Eastern and Southern Africa (COMESA) and will support implementation and monitoring of the ASCENT MPA. The regional platform is critical to enabling the successful implementation of the simultaneous and subsequent country and regional phases as the platform will help accelerate and scale-up energy access interventions in the region through a harmonized approach and by leveraging economies of scale. ASCENT will be implemented in more than 20 countries over 2025 - 2028. The first phase will see implementation in Rwanda, Sao Tome and Principe, Somalia, and Tanzania. The second phase will expand to Kenya, Malawi, Namibia, Burundi, Zambia, Mozambique, and Ethiopia. The final phase will bring ASCENT to Comoros, Lesotho, Uganda, the Democratic Republic of the Congo (DRC), South Sudan, Angola, Madagascar, and Botswana.

ASCENT MPA will finance a wide array of activities and works that include solar home systems (SHS), hydro/solar-based mini-grids, small length of transmission lines (132kV) involving towers, distribution lines, construction of distribution and grid substations, installation service drop cables and meters, Battery Energy Storage Systems (BESS), and improved cookstoves. Given that the specific activities and works to be carried out in each country joining ASCENT have not yet been identified, a framework approach is proposed to address potentially negative environmental and social impacts and risks. This ESMF template provides “pragmatic good practice” standardized approach which should be tailored by each joining Country as part of their ASCENT project preparation and is designed to be user friendly and compatible with the World Bank Environmental and Social Framework (ESF) requirements. The template format attempts to provide a simplified and uniform approach to preparation of the required ESMF by the additional Countries joining ASCENT Program.

In developing the ESMF, it is also important to identify other specific ‘framework’ E&S instruments and management tools required by the ESF, such as the Stakeholder Engagement Plan (SEP), Labor Management Procedures (LMP), and/or sub-project-specific documents, such as the ESIA and ESMP. The details of when these instruments and tools will be developed and implemented, together with the party responsible for doing so, will be set out in the project’s Environmental and Social Commitment Plan (ESCP). The Terms of Reference for undertaking Environmental and Social Impact Assessment of Transmission and Distribution Lines, Resettlement Action Plans and Sexual Exploitation, Abuse, and Sexual Harassment (SEA/SH) Action Plan for Projects Consisting of Transmission and Distribution Lines in Urban and Peri-Urban Areas, are contained in Annex 9, Annex 10 and Annex 11, respectively.

Template Instructions

An Environmental and Social Management Framework (ESMF) is an instrument that examines the risks and impacts when a project consists of a program and/or series of subprojects. Given that the specific activities and works to be carried out in each country joining ASCENT have not yet been identified, a methodological approach for identifying said risks and impacts is proposed. The ESMF sets out the principles, rules, guidelines, and procedures to support assessment of the environmental and social risks and impacts (ESS1, p. 24).

The ESMF should be clear and concise. Each section has a suggested page limit. There is also a **List of Annexes** accompanying the ESMF Template (separate document). These annexes may or may not be relevant for the individual project in the respective participating countries. The relevant annexes should be customized for the individual project and added to the ESMF. The annexes **should not exceed 25 pages**.

Throughout the document, instructions are in red font color and should be deleted upon completion. Information specific to the project should be inserted where there are [] (for example, “[*name of project*]”) Delete the [] when inserting information.

[COUNTRY NAME]

[NAME OF MINISTRY/IMPLEMENTING AGENCY]

[LOGO OF MINISTRY/IMPLEMENTING AGENCY]

[NAME OF PROJECT]

[PROJECT CODE]

ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)

[BORROWER APPROVAL AND DISCLOSURE DATE]

Table of Contents

<i>List of Tables</i>	<i>vii</i>
<i>List of Figures</i>	<i>vii</i>
<i>Abbreviations and Acronyms</i>	<i>viii</i>
<i>Executive Summary</i>	<i>x</i>
<i>1. Introduction</i>	<i>1</i>
<i>2. Project Description</i>	<i>4</i>
2.1 Summary of Subprojects and Activities	<i>4</i>
2.2 Sub-Projects Baseline, Locations and Designs	<i>5</i>
2.2.1 Sub-Projects Baseline and Locations	<i>5</i>
2.2.2 Sub-Projects Designs	<i>5</i>
<i>3. Environmental and Social Policies, Regulations, and Laws</i>	<i>6</i>
3.1 [Borrowing Country] Legal Framework and International Treaties	<i>6</i>
3.2 National Environmental and Social Assessment and Permitting	<i>7</i>
3.3 World Bank Environmental and Social Standards	<i>7</i>
3.4 World Bank Group Environmental, Health and Safety Guidelines	<i>11</i>
<i>4. Identification, Mitigation and Management of Identified E&S Risks and Impacts (05 pages maximum)</i>	<i>12</i>
4.1 Planning and Design Stage Considerations for Avoidance of Environmental and Social Risks and Impacts	<i>12</i>
4.2 Construction and Operation Stage E&S Impacts and their Mitigation	<i>13</i>
4.3 Decommissioning and Rehabilitation Phase	<i>14</i>
<i>5. Procedures for Environmental and Social Risk/Impact Assessment, Mitigation and Implementation Arrangements</i>	<i>16</i>
5.1 Procedures for Environmental and Social Risk/Impact Assessment and Mitigation	<i>16</i>
5.1.1 Subproject Assessment and Analysis – E&S Screening and Risk Classification	<i>17</i>
5.1.2 Implementation and Monitoring – E&S Implementation	<i>23</i>
5.1.3 Review and Evaluation – E&S Completion	<i>23</i>
5.2 Technical Assistance Activities (only include this section if relevant to your Project)	<i>24</i>
5.3 Implementation Arrangements	<i>24</i>
5.4 Proposed Training and Capacity Building	<i>26</i>
5.5 Estimated Budget	<i>28</i>
<i>6. Stakeholder Engagement, Disclosure, and Consultations</i>	<i>28</i>

<i>Annex 1: Checklist for Environmental and Social Screening Form.....</i>	<i>29</i>
<i>Annex 2. Simplified Labor Management Procedures.....</i>	<i>35</i>
<i>Annex 3. Chance Find Procedures.....</i>	<i>43</i>
<i>Annex 4 Guidance on E&S Risk Rating and Applicable E&S Instruments (Source: Project Task Team).....</i>	<i>44</i>
<i>Annex 5 Map/ List of Protected Areas in the project area/ Region/ Country)</i>	<i>51</i>
<i>Annex 6 Sample Minimum E&S Provisions in Contracts</i>	<i>52</i>
<i>Annex 7: ESIA Baseline Studies Methodology</i>	<i>64</i>
<i>Annex 8: Proposed Outline of ESHS Project Implementation Closure Report.....</i>	<i>67</i>
<i>Annex 9: Terms of Reference (TORs) for Environmental and Social Impact Assessments of Transmission and Distribution Lines in Urban and Peri-Urban Areas.....</i>	<i>68</i>
<i>Annex 10: Terms of Reference (TOR) for The Development of Resettlement Plans (RP) of Transmission and Distribution Lines in Urban and Peri-Urban Areas.....</i>	<i>84</i>
<i>Annex 11: Proposed Outline of ESHS Project Implementation Closure Report.....</i>	<i>90</i>

List of Tables

[Include a numbered list of the titles of the tables included in the ESMF.]

List of Figures

[Include a numbered list of the titles of the figures included in the ESMF.]

Abbreviations and Acronyms

[Include an alphabetized list of all the abbreviations and acronyms used in the document.]

Acronym	Acronym in Full
AFE	Eastern and Southern Africa
ASCENT	Accelerating Sustainable and Clean energy Access Transformation
AIIB	Asian Infrastructure Investment Bank
BESS	Battery Energy Storage Systems
C-ESMP	Contractor Environmental and Social Management Plan
CFL	Compact Fluorescent Lamp
CHS	Community Health and Safety
CoC	Code of Conduct
COMESA	Common Market for Eastern and Southern Africa
DP	Development Partner
DRE	Distributed Renewable Energy
EA	Environmental Assessment
E&S	Environmental and Social
EHSGs	Environmental, Health and Safety Guidelines
EMF	Electric and Magnetic Fields
ESCP	Environmental and Social Commitment Plan
ESF	Environmental and Social Framework
ESIA	Environmental and Social Impact Assessment
ESIRT	Environmental and Social Incident Reporting Toolkit
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESMS	Environmental and Social Management System
ESSs	Environmental and Social Standards
FI	Financial Intermediary
GBV	Gender-based Violence
GBVAP	Gender-based Violence Action Plan
GIIP	Good International Industry Practice
GRC	Grievance Redress Committee
GRM	Grievance Redress Mechanism
GRS	Grievance Redress Service
HV	High Voltage
HWMP	Hazardous Waste Management Plan
IDA	International Development Association
IFC	International Finance Corporation
IP/SSAHULTC	Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities
LMP	Labour Management Procedures
LPG	Liquefied Petroleum Gas
LV	Low Voltage
MPA	Multi Programmatic Approach

MV	Medium Voltage
OHS	Occupational Health and Safety
OHSMP	Occupational Health and Safety Management Plan
PAD	Project Appraisal Document
PAP	Project Affected Person
PCB	Polychlorinated Biphenyls
PCR	Physical Cultural Resources
PDO	Project Development Objective
PIU	Project Implementation Unit
PPE	Personal Protective Equipment
PPP	Public Private Partnership
PUE	Productive Use of Energy
RAP	Resettlement Action Plan
RoW	Right of Way
RPF	Resettlement Policy Framework
SEA/SH	Sexual Exploitation and Abuse/ Sexual Harassment
SEP	Stakeholder Engagement Plan
SHS	Solar Home Systems (SHS)
SMP	Security Management Plan
SPD	Standard Procurement Document
SPV	Solar Photovoltaic
TMP	Traffic Management Plan
ToR	Terms of Reference
VAC	Violence Against Children
VRE	Variable Renewable Energy
WB	World Bank
WBG	World Bank Group
WHO	World Health Organization

Executive Summary

(3 pages maximum)

[The Executive Summary section should not exceed 3 pages. It should be written in simple language accessible to a broad range of stakeholders].

The World Bank will be supporting *[the implementing agency]* in implementing the *[project name]*. The objective of the project is to *[Please obtain this from Project Development Objective (PDO) from the Project Appraisal Document (PAD)]*. The project will support the following activities: *[Adapt and summarize the write up contained in the proposed project's PAD]*

project activities under the ASCENT program will take place in broad locations across the country or selected region/s. Specific locations of subproject activities are not known at this stage, because they have not been defined. The subproject locations will be known *[provide timeline of when subproject locations will be known]*.

This Environmental and Social Management Framework (ESMF) has been prepared to identify methodologies for identifying the potential environmental and social risks and impacts of proposed Project activities and suitable mitigation measures to manage these risks and impacts. It maps out the *[Borrower country]* laws and regulations and the World Bank policies applicable to the Project, and describes the principles, approaches, implementation arrangements, and environmental and social mitigation measures to be followed.

Guidance on the Environmental and Social risk rating is provided in Part-A of the Tip Sheet contained in Annex 3. *[Please use this Tip Sheet and Annex 1 Checklist to develop/ adapt the applicable E&S risk category of the project, to be included here. E&S Specialists should make a final determination on the risk rating based on the country context and any specific details on the geographical location of the Project]*

[E&S risk classification should be done following the National/ Country's Law and Guidelines and in line with the WB ESF, placing the project into one of the following: High Risk, Substantial Risk, Moderate Risk or Low Risk. In determining appropriate risk classification, please consider relevant issues, such as the type, location, sensitivity, and scale of the project; the nature and magnitude of the potential environmental and social risks and impacts; and the capacity and commitment of the Borrower (including any other entity responsible for the implementation of the project, such as Electricity Utility Operators) to manage environmental and social risks and impacts in a manner consistent with the ESSs. The categorization should also take into consideration contextual issues which could be relevant to the delivery of E&S mitigation measures and outcomes depending on the specific project. Context issues may include legal and institutional considerations, the nature of the mitigation and technology being proposed, governance structures and legislation, sub-project location, and issues relating to stability, conflict, indigenous and vulnerable groups, and security].

The environmental risk of the overall program is rated as Substantial. Various environmental, social, health, and safety risks could result from the activities proposed under the three pillars. Construction activities related to Pillar 2 (e.g., creation of a right-of-way (ROW)), substations, Low Voltage (LV) and Medium Voltage (MV) distribution lines, and access roads) can lead to habitat alteration, disruption and fragmentation. This can affect natural resources (e.g., wetlands), whose loss or modification can adversely impact flora and fauna, especially in countries that are home to endemic or endangered species. Other OHS risks and hazards relate to live wires, accidents, injuries, working at height, the security and health of workers and nearby communities during construction and operation of LV and MV lines and associated infrastructure (e.g., transformers). The construction and maintenance of transmission line ROW can pose fatal risks to birds and bats through collisions with power lines, which may result in power outages and forest/bush fires requiring an emergency response mechanism to be in place. There are also impacts related to labor and working conditions; traffic; nuisances (e.g., dust and noise); poor construction-related waste management; disposal and management of hazardous waste, including nonbiodegradable-waste from electrical equipment; damaged or leftover solar panels; and used or damaged batteries (observed and calculated hazard severity). Pillar 3 activities involving the Distributed Renewable Energy (DREs) to be implemented through Financial Intermediaries (FIs) will require the implementation of Environmental and Social Management Systems by participating financial institutions. FIs will be required to have internal capacity to ensure the portfolio applies the national E&S laws of the country, the WBG Exclusion List and the World Bank Environmental and Social Standards.

The social risk of the overall program is also considered Substantial. Grid electrification activities which involve civil works could result in a range of social impacts. While the priority is on densification and reinforcement, new distribution lines will also be constructed, including the potential for cross-border LV/MV lines. This could result in a range of social impacts, including land acquisition, land-use restrictions, and involuntary resettlement associated with the establishment of RoWs and/or easements, depending on national requirements. Other social impacts associated with construction include the potential for labor influx with associated risks for increased transmission of diseases (including sexually transmitted diseases) and conflict between communities and workers. *[The presence of Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities (IP/SSAHUTLC) will need to be assessed for each country to determine whether communities that meet the requirements of ESS 7 are present and the associated impacts on these groups (as well as the benefits associated with access to electricity)].* Risks associated with labor and working conditions include child labor, lack of contracts, and workers' inadequate access to facilities (e.g., drinking water and sanitation). Construction works can also increase the risk of sexual exploitation and abuse/sexual harassment (SEA/SH) associated with labor influx.

The Distributed Renewable Energy (DREs) to be implemented through FIs may also result in involuntary resettlement impacts, SEA/SH risks, and labor management issues; the subprojects may be located in areas where IP/SSAHUTLC are present, FCV-affected areas, or those hosting refugees. The capacity of the FIs to monitor and supervise subprojects over a large geographical area, as well as the capacity of their potential borrowers, will need to be determined but may influence the nature and scale of these risks.

These risks will be managed and mitigated through the application of:

[Summarize key environmental and social management plans and other applicable E&S sub-management plans (such as GBV Action Plans, RAP, SEP, LMP, etc) prepared or planned to be prepared, in simple language that would be accessible to project stakeholders. Explain when and/or under what circumstances plans will be prepared].

[Applicable E&S Instruments and/or documents (as guided in Part-B of the Tip Sheet contained in Annex 4) shall be adapted as applicable and prepared and disclosed. The Borrowers will need to screen projects to identify the risks such that high-risk subprojects would not be eligible for financing. The FIs' ESMS will include screening criteria and exclusion lists to address these risks. Please refer to Annex 1 for the Screening Checklist].

Regional-level technical assistance activities, including those to be implemented by COMESA and participating countries, are mainly associated with establishing priorities, developing integrated plans, and mobilizing finance. Expenditure on technical advisory-related services will focus primarily on consultancies, goods, training, and capacity-building activities. Pre-feasibility and feasibility studies for energy-access infrastructure are not proposed under this pillar. Typically, the following typology of TA Activities will be supported: Type 2: Supporting the formulation of policies, programs, plans, strategies or legal frameworks. And Type 3: Strengthening borrower capacity. As such, it is expected that the direct and downstream E&S risks associated with technical assistance will be non-significant. All technical assistance activities must be undertaken in line with ESF requirements to mitigate potential E&S risks and impacts and in compliance with the Bank's Advisory Note on Technical Assistance. Type 2 TA activities with potentially significant downstream E&S impacts, the TORs will be agreed to with the Bank to ensure that the planning process includes adequate assessment of environmental and social implications and that the advice provided through the TA for addressing those implications is consistent with the ESF. TA studies supporting policies, plans and programs will be required to apply strategic environmental and social analysis (SESA) tools and cumulative impact assessments. For capacity building in Type 3 TA, the Bank team shall review the activities towards which the capacity building is being directed, to determine the extent to which these relate – if at all – to matters covered by the ESF. If there is such a relationship, the TORs for the capacity building shall be designed accordingly to ensure incorporation and consideration of the respective relevant ESSs.

The following Table provides a List of Templates of E&S Instruments prepared for ASCENT Roll-out to New Countries, and to be used based on the respective Sub-Project Types to be implemented. The templates should be adopted and used as appropriate following the guidance provided therein. Table 1: Templates for E&S Instruments to be prepared for ASCENT Sub-Projects.

No	Activity	Instrument to be produced
1.	Standardized framework instruments for new countries joining ASCENT	Environmental and Social Management Framework (ESMF) and Resettlement Policy Framework (RPF).

		<i>The focus should be on mitigation and how the ESMF and RPF should be implemented. Short, focused, implementable instruments are required.</i>
2	<i>Construction of distribution lines (66/33/11 KV) involving wooden or concrete poles. Line right of way for distribution line is ~27 m</i>	<i>Environmental and Social Management Plans (ESMPs) for distribution schemes in urban areas, including all the necessary standard annexes (i.e. WMP, OHS MP, SEA/SH etc).</i> <i>Standard TOR for: ESIA, Resettlement Action Plans, and SEA/SH Action Plans for Transmission Lines, and distribution in peri-urban areas, that will require project specific approaches.</i>
3	<i>Rehabilitation/ upgrade of distribution lines that involve replacing poles and re-stringing using existing line right of way.</i>	<i>Environmental and Social Management Plan (ESMP) including all the necessary standard annexes (i.e. WMP, OHS MP, SEA/SH, etc). for rehabilitation/upgrade works in non-sensitive locations.</i>
4	<i>Service drop cables, meters for service connections</i>	<i>E&S checklist, general EHS guidelines, standard working protocol regarding safety for service drop, for repetitive activities in urban areas.</i>
5	<i>Battery Energy Storage Systems (BESS)</i>	<i>ESMP including the necessary standard annexes (i.e. e-WMP) that considering the capacity, location, and other technical details of the battery storage system.</i>
6	<i>Solar mini grids</i>	<i>ESMP including the necessary standard annexes e.g. e-WMP, OHS MP, SEA/SH etc) templates for smaller solar mini grids, if screening and scoping confirm absence of significant E&S risks and impacts.</i>
7	<i>Stand-alone solar systems for households and public facilities (health centers, schools, etc.)</i>	<i>Stand alone solar home system – E&S Checklist</i>
8	<i>Improved cookstoves</i>	<i>Guidelines on Training, manufacturing and appropriate use of the cookstoves.</i>
9	<i>Environmental and Social Management System (ESMS)</i>	<i>ESMS to be established and implemented by FIs for Pillar 3 activities. ESMS should include policy, organizational capacity and tools for ensuring beneficiary firms comply with national E&S laws, WBG Exclusion List and World Bank ESSs.</i>

		Trade Development Bank (TDB) will have as a condition with each (Participating Financial Institution (PFI) requiring the PFI to have in place an ESMS in line with the World Bank PSs and EHS Guidelines that mirrors the TDB ESMS and ensure its operationalization and ongoing implementation.
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Implementation Arrangements. *[Summarize the implementation arrangements and responsible parties for different components or activities, at different levels if relevant (site, district, region, national, etc.). Describe how training/ capacity building will be provided to all parties responsible for implementing the ESMF, including contractors. Include the total estimated budget proposed for ESMF implementation].*

The Project Implementation Unit (PIU) under *[fill in the name of the Ministry of Public Works authority housing the PIU]* is responsible for the overall implementation of the Project in collaboration with COMESA. COMESA will set up a platform to support implementation and monitoring of the ASCENT MPA in AFE participant countries or those aiming to participate in ASCENT, as well as private sector DRE and clean cooking companies active in the AFE region. The PIU E&S Specialists/Unit/Department *[use whichever is applicable]* will ensure the respective roles of each party are carried out on time. The PIU will ensure that the environmental and social requirements as detailed in the ESMP, *and other applicable E&S sub-management plans (such as GBV Action Plans, RAP, SEP, LMP, etc)* are part of the bidding and contract negotiation phase and part of the works contracts. The *[include the names of the ministries, public utility companies, or institutions with oversight capacities]*, with their oversight responsibilities, shall liaise with the *[Ministry or Public Utility company]*, housing the PIU, to ensure the Project is in line with legal requirements *[Include mention of the national and local laws and regulations on Environmental and Social Impact Assessment (ESIA) and the stated arrangements and obligations set out to monitor, supervise and audit the ESMP implementation].*

The implementation of the project shall include additional training of relevant PIU/Public utility staff, and Contractors stationed in the various Regions, in environmental and social due diligence during construction and implementation.

Monitoring. *[Briefly describe who will be responsible for monitoring, what monitoring methods will be used (site visits, cell phone applications, key monitoring parameters and indicators, monthly written reporting from field, third party, etc.), and the frequency of monitoring and reporting].*

1. Introduction (1 page maximum)

[This section identifies the project development objective (PDO) and describes clearly the nature of the project interventions. For example, does the project involve new investment lending, additional financing (AF), project restructuring, Rapid Response to Crises and Emergencies (OP8.00), or Contingent Emergency Response Components (CERC)?] [The section also provides the rationale and purpose of using a framework instead of project-specific environmental and social assessment and management plans.]

Given that the specific activities and works to be carried out in each country joining ASCENT have not yet been identified, a framework approach is proposed.

This Environmental and Social Management Framework (ESMF) is developed to support the environmental and social due diligence provisions for activities financed by the World Bank in the *[name of project]*. The project will support *[state the overall objective and activities of the project]* in *[locations: nationwide or regions?]*. The *[name of the implementing agency]* will be implementing the Project activities.

This ESMF follows the World Bank Environmental and Social Framework (ESF) as well as the national laws *[and state and local laws, if applicable]* and regulations of *[name of country]*. The objective of the ESMF is to assess and mitigate potential negative environmental and social risks and impacts of the Project consistent with the Environmental and Social Standards (ESSs) of the World Bank ESF and national requirements. More specifically, the ESMF aims to (a) provide methodology of assessing the potential environmental and social risks and impacts of the proposed Project and proposing mitigation measures; (b) establish procedures for the environmental and social screening, review, approval, and implementation of activities; (c) specify appropriate roles and responsibilities, and outline the necessary reporting procedures, for managing and monitoring environmental and social issues related to the activities; (d) identify the staffing requirements, as well as the training and capacity building needed to successfully implement the provisions of the ESMF; (e) address mechanisms for public consultation and disclosure of project documents as well as redress of possible grievances; and (f) establish the budget requirements for implementation of the ESMF. This ESMF will allow the Borrower to clarify, to the extent possible and based on existing information, the approach that should be taken at the subproject level, in accordance with the ESF. In line with the content outlined above, this ESMF has the following Chapters: 1-Introduction; 2-Project Description; 3-Environmental and Social Policies, Laws and Regulations; 4-Identification, Mitigation and Management of Identified E&S Risks and Impacts in the future ESIAs; 5-Procedures for Environmental and Social Risk/Impact Assessment, Mitigation and Implementation Arrangements; 6-Stakeholder Engagement and Disclosure. The following Annexes are included: 1-Checklist for Environmental and Social Screening Form; 2-Simplified Labour Management Procedures; 3 Chance Finds Procedures; Guidance on E&S Risk Rating and Applicable E&S Instruments.

This ESMF should be read together with other plans prepared for the project, including the Stakeholder Engagement Plan (SEP), the Environmental and Social Commitment Plan (ESCP), *[list any other plans that have been prepared for the project]*.

Due Diligence Principles

This ESMF considers and incorporates principles of due diligence that will be applied during project preparation and implementation in managing potential environmental and social risks that may be encountered. The key due diligence principles are as follows:

Principle 1: Review and Categorization: All physical interventions will be subject to a social and environmental review and shall be categorized based on the magnitude of potential impacts and risks in accordance with environmental and social screening criteria.

Principle 2: Environmental and Social Assessment: As per the [country name] legal and regulatory requirements, where necessary Initial Environmental Evaluations (IEEs) or Environmental and Social Impact Assessments (ESIAs) will be undertaken to address, as appropriate, the relevant social and environmental impacts and risks. The Assessment will also propose mitigation and management measures relevant and appropriate to the nature and scale of the proposed Project.

Principle 3: Applicable Environmental and Social Standards: The ESMF will refer to the applicable World Bank Operational Policies and Environmental Health and Safety (EHS) Guidelines, as well as policies and standards of [country name]. The Assessment will establish the Project's overall compliance with, or justified deviation from, the respective World Bank Operational Policies, Performance Standards and EHS Guidelines where applicable. The Assessment will address compliance with relevant [country name] laws, regulations and permits that pertain to social and environmental matters.

Principle 4: Environmental and Social Management System: For all sub-project physical activities, as applicable (following [country name] and World Bank requirements) an Environmental and Social Impact Assessment (ESIA) or Environmental and Social Impact Statement (ESIS) or other E&S assessment, and an Environmental and Social Management Plan (ESMP) and monitoring indicators will be developed which addresses the relevant findings and draws on the conclusions of the assessments. These documents will describe and prioritize the actions needed to implement mitigation measures, corrective actions and monitoring measures necessary to manage the impacts and risks identified in the assessments. These actions will be costed and reflected as part of the contractual documents of the civil works contracts.

Principle 5: Consultation and Disclosure: For all activities affected communities will be consulted within a structured and culturally appropriate manner. If principle project activities or subproject activities are assessed to have significant adverse impacts on affected communities, the process will ensure their free, prior and informed consultation as a means to establish whether those activities have adequately incorporated affected communities' concerns. In order to accomplish this, this framework as well as all other safeguard instruments will be made available to the public by the borrower for a reasonable minimum period. The process will be documented, and account will be taken of the results of the consultation, including any actions agreed resulting from the consultation. For projects with adverse social or environmental impacts, disclosure will occur early in the assessment process, and on an ongoing basis.

Principle 6: Grievance Redress Mechanism: To ensure that consultation, disclosure and community engagement continues throughout project implementation, a grievance redress mechanism will be established, scaled to the risks and adverse impacts of the project or subproject, as part of the management system. The grievance redress mechanism (GRM) will allow for concerns and grievances about the project's social and environmental performance raised by individuals or groups from among project-affected communities to be received and to facilitate resolution of those concerns and grievances.

Principle 7: Monitoring and Reporting: Performance of and compliance with all ESMPs (including compliance with national legal and regulatory requirements and the applicable World Bank ESS) will be monitored based on the monitoring schedule identified in the respective ESMP by the relevant responsible party. The Environmental and Social Coordinator will be responsible to ensure the monitoring activities have taken place including his/her monitoring and consolidate monitoring report is prepared bi-annually.

Principle 8: Training: Training to ensure project staff, staff of civil contracts and other parties who would play a role in managing environmental and social impacts will be necessary to ensure successful implementation of this ESMF. Necessary budget should be allocated to carry out the training plan.

Principle 9: General Approach to the Management of ESHS Issues at the Subproject Level: Effective management of environmental, social health, and safety (ESHS) issues entails the inclusion of ESHS considerations into corporate and facility-level business processes in an organized, hierarchical approach that includes the following steps:

- Identifying likely ESHS project risks and impacts as early as possible in the subproject cycle, including the incorporation of ESHS considerations into the site selection process, design process, engineering planning process for capital requests, engineering work orders, facility modification authorizations, or layout and process change plans.
- Involving ESHS professionals, who have the experience, competence, and training necessary to assess and manage ESHS impacts and risks, and carry out specialized environmental and social management functions including the preparation of project or activity-specific plans and procedures that incorporate the technical recommendations that are relevant to the project.
- Understanding the likelihood and magnitude of ESHS risks, based on:
 - The nature of the project activities, such as whether the project will generate significant quantities of emissions or effluents, or involve hazardous materials or processes;
 - The potential consequences to workers, communities, or the environment if hazards are not adequately managed, which may depend on the proximity of project activities to people or to the environmental resources on which they depend.
- Prioritizing risk management strategies with the objective of achieving an overall reduction of risk to human health and the environment, focusing on the prevention of irreversible and / or significant impacts.
- Favoring strategies that eliminate the cause of the risks at its source, for example, by selecting less hazardous materials or processes that avoid the need for ESHS controls.
- When impact avoidance is not feasible, incorporating engineering and management controls to reduce or minimize the possibility and magnitude of undesired consequences, for example, with the application of pollution controls to reduce the levels of emitted contaminants to workers or environments.
- Preparing workers and nearby communities to respond to accidents, including providing technical and financial resources to effectively and safely control such events, and restoring workplace and community environments to a safe and healthy condition.
- Improving ESHS performance through a combination of ongoing monitoring of subproject performance and effective accountability.

Clearance Procedures by the World Bank

All the required project ESF instruments will be subject to World Bank prior review and clearance by the World Bank environmental and social specialist assigned to the ASCENT operation.

2. Project Description

(3 pages maximum)

2.1 Summary of Subprojects and Activities

[Summarize planned sub-project activities that have relevant environmental and social risks and impacts, in simple language that would be accessible to project stakeholders. Adapt (delete N/A content) the following suggested subprojects/ activities, as may be applicable to individual Country (Source: ASCENT Parent PAD)].

ASCENT will support a range of DRE technologies (e.g., small solar home systems [SHSs]; mini grids; and productive-use systems serving SMEs, farmers, and public institutions) and clean cooking technologies and fuels.

Project activities are based on known technologies and business and implementation models.

Grid electrification will use well-established technologies and methods. The typical investments will include extensions and strengthening of low-voltage (LV) and medium-voltage (MV) lines, substations, transformers, and service drops. The projects may finance ready boards and internal wiring to increase affordability of connections, as well as appliances and productive-use equipment. Country-specific projects may also include variable renewable energy (VRE) integration investments and equipment, including battery storage. Financing of large-scale transmission is not expected; however, on case-by-case basis, ASCENT may finance small-scale extension and upgrading of the transmission network, as necessary, for achieving the project's objectives if consistent with ASCENT's E&S instruments and risks.

The program will not finance DRE systems larger than 20 MW. SHSs (typically in a range of 3–350 Wp) will typically be plug and play; comprising a solar panel, battery, and appliances, the system will come in one box and can be installed by the customer. Productive use of energy (PUE) systems, typically consisting of larger stand-alone solar photovoltaic (PV) and battery storage systems, often replacing diesel generators; sometimes bundled with specialized appliances, they are especially used by the agriculture sector to transform productivity or preserve produce through cold storage. Renewable energy mini grids are electric power generation and distribution systems that provide electricity to a small group of customers (from the size of a village to that of a city). They are powered primarily by solar PV and batteries, but can also use other renewable energy technologies, such as micro- and mini hydropower. Mini grids and systems for public institutions, such as schools and health clinics, are typically in the single kW to 100kW range, but larger mini grids (under 20 MW) are also possible. Mini grids and similar systems to power such public institutions as hospitals may include a diesel back-up in line with Paris Alignment methodologies. The program will only support diesel back-up where its role is marginal and meets the following conditions: (i) renewable-energy generation units are well maintained, and fossil-fuel generation is used only when the amount of renewable energy generated and stored cannot fully meet demand and (ii) fossil fuel generation is less costly than installing sufficient battery storage to meet the

same demand. ASCENT will not finance captive-power for commercial and industrial (C&I) customers unless investments are directly linked to expanding energy access and comply with all other program criteria. E-mobility business models may be supported when linked to energy access, e.g., as a productive use under mini grids.

ASCENT will support clean and improved cooking solutions. Clean cooking solutions refer to technology and fuel combinations that meet the recommended indoor-air-quality guidelines of the World Health Organization (WHO) for household fuel combustion. Common fuels and technologies considered eligible are cookstoves or devices powered by electricity, natural gas, liquefied petroleum gas (LPG), biogas, solar energy, and alcohol fuels (e.g., ethanol). Low-emission biomass stoves using processed biomass (e.g., pellets) that meet ISO/TR 19867-3 voluntary performance targets for Tier 4 and above are also considered clean. Improved cooking solutions are those that meet ISO/TR 19867-3 voluntary performance targets for Tier 3. Typical improved cooking solutions include advanced biomass stoves that can achieve some health and climate benefits. The program will not finance natural gas or LPG production; however, LPG distributors that serve end users, including uses of the PAYG model, will be eligible for support where LPG is considered the least-cost solution. Companies that produce and/or distribute cookstoves (cooking devices) that meet ISO/TR 19867-3 voluntary performance targets for Tier 3 and above are eligible. Electric stoves are eligible. Companies that produce and/or distribute renewable clean cooking fuels (e.g., pellets, briquettes, bioethanol, and biogas) are also eligible.

2.2 Sub-Projects Baseline, Locations and Designs

2.2.1 Sub-Projects Baseline and Locations

[When project locations are known, please insert a map. Also, as part of the Baseline, please include as Annex 5-Map/list of protected areas within the target regions.]

Please provide Baseline Overview of the Country and the various Regions where sub-project activities are planned. This could include the following sections: Introduction, Geography and Geology, General Climatic Conditions, Hydrogeology, Biological Environment, Administrative Framework, Demography, Livelihood, Water Supply and Wastewater Management, Land Ownership, Cultural Heritage, etc].

2.2.2 Sub-Projects Designs

[When information is available, summarize planned design and procurement plans for subprojects, including timing and the preparation of feasibility and design studies. The feasibility, design, and E&S Assessment studies shall include Analysis of Alternatives, described under Section 2.3].

The *[implementing agency name]* will coordinate project activities, including day-to-day implementation, coordination, supervision, and overall management of project activities. *[If the Project has multiple implementing entities, specify the responsibility for each].*

Country-level institutional and implementation arrangements, follow those established by each respective country for its energy access expansion. Typically, they involve government ministries in charge of energy, rural energy agencies, and national utilities, as well as financial institutions in cases where intermediary financing is involved. Each country and regional operation will be independently implemented.

The Regional Energy Access Acceleration Platform will support all countries participating in the ASCENT MPA. COMESA is able to support all ASCENT participant countries—both COMESA members and non-COMESA members (through a collaboration agreement with other regional organizations). It will provide support to countries that have joined the ASCENT program, as well as those that are preparing their projects for program entry. Managed by the COMESA Secretariat, the Platform will contribute to implementation and monitoring of the overall ASCENT program.

3. Environmental and Social Policies, Regulations, and Laws

(4 pages maximum)

3.1 [Borrowing Country] Legal Framework and International Treaties

*[Complete Table XXX below. List Borrowing country national, state, and local policies, laws, and regulations that are **relevant and directly applicable** to the environmental and social risks and impacts of subproject activities. Keep descriptions of laws and regulations brief and only describe elements applicable to subproject activities. The list should include the existence or nonexistence of laws and regulations that prohibit discrimination based on personal characteristics, such as gender, disability, race, sexual orientation, or gender identity (mention if such laws cover all people equally or just certain groups). Also, provide list of relevant Permits and summary permit process in terms of requirements for issuance and any timelines. Based on subprojects selected, please include relevant International Treaties and Agreements that the Country is party to].*

Table XXX. [Borrowing Country] Relevant Legal Framework

Law	Description and Relevance to Project Activities	Required Permit/ License/ Approval (as / if Applicable)
	National E&S Policies, Laws and Regulations	
[Example: The Constitution]		<i>[Plz populate as appropriate].</i>
Environmental Protection]	Environmental and Social Impact Assessment/ Environmental and Social Management Plan	ESIA Certificate of Approval Waste Storage Permit
[Example: Occupational Health and Safety]	Occupational Health and Safety	Worksite/ Campsite Occupational Permit
[Example: Labor Law]	General provisions on Labor, against child labor, forced labor, trafficking, workers' associations and unions, and labor disputes.	Work Permits (Foreigners)
[Example: Anti-discrimination Law]		
Energy Sector Laws and Regulations	E&S requirements	Permit for storage and dispensing Hydrocarbons.
	International Treaties	

Applicable International Treaties		
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3.2 National Environmental and Social Assessment and Permitting

*[State the name of the public authority, ministry, or agency responsible for managing environmental and social assessments and permitting. Summarize the Environmental and Social Impact Assessment review and approval process **relevant and directly applicable** to the project activities, including requirements for submitting project environmental and social assessment checklists and screening forms. This should include how the responsible agency screens and categorizes projects into different risk categories. Include a table showing the Environmental and Social Assessment categorizations and requirements **relevant and directly applicable to the project activities**. If the environmental and social risk categorizations for different subprojects eligible under the Project are known, state this clearly for different types of subprojects alongside the required instruments (project briefs, ESMPs, ESIA's etc). Please include text (or a figure) that summarizes the ESIA/ESMP approval process, and a brief summary of E&S permitting requirements at the national level (listed under Section 3.1), for example water extraction permit or wastewater discharge permit].*

Table XXX. [Borrowing Country] Applicable E&S Instruments as per the E&S Risk Category

National E&S Risk Category <i>[Replace as Applicable/ Equivalent]</i>	Required E&S Instruments, and Permits	Preparation Requirements and Timing
Low	Checklists	Before Launching procurement of Contractor/ Service Provider.
Moderate	ESMP	-do-
Substantial	ESIA and RAP	-do-
High	N/A – Exempted	
Other		

3.3 World Bank Environmental and Social Standards

[The write up under this Subsection should not exceed 2 pages]

The project will apply the World Bank Environmental and Social Standards (ESSs), as well as the World Bank Group Environmental, Health and Safety Guidelines (WBG EHSs). Based on these policies, the environmental and social risk of the project is categorized as *[state risk category identified in the World Bank Environmental and Social Risk Summary (ESRS)]. State the environmental risk category and summarize the key reasons for the categorization. State the social risk category and summarize the key reasons for the categorization. This information can be taken from the ESRS.]*

The World Bank's environmental and social standards applicable to project activities are summarized below.

[Fill out the table below, with the applicable World Bank Environmental and Social Standards. In the “Relevance” column please indicate “Relevant/Not Relevant, briefly summarize why the standard is relevant under the project given the specific environmental and social risks and impacts of project activities. . If some standards are not relevant, delete those rows.]

[If information on gaps is already available/ known from an Overview Assessment (OA) done in the country, please focus on key gaps identified in the OA relevant to the activities. If this is not available, please focus on how to meet the requirements of the relevant ESSs.]

Table XXX. Relevant World Bank ESS and Key Gaps with the National Framework

E&S Standard	Relevant/ Not Relevant	Gap between ESSs and National Framework and Measures to address identified gaps
• ESS1: Assessment and Management of Environmental and Social Risks and Impacts	[Example: ESS1 is relevant for the project because project activities are expected to pose moderate environmental and social risks such as...]	[Example: [name of Country] National Environmental Policy provides sufficient basis for classifying project risk and level of Environmental Assessment. However, provincial environmental services lack experienced personnel and may not adequately cover expected project risks. The PIU will support the provincial entities to carryout risk assessment]
• ESS2: Labor and Working Conditions	[Example: ESS2 is relevant for the project because there are certain labor risks for project workers. Labor-related risks include (i) security risks to project workers, (ii) traffic and road safety issues, (iii) inadequate terms and conditions of employment, and (iv) occupational health and safety risks.]	[Example: [name of Country] labor legislation is consistent with ESS2 in most key aspects. However, legislation does not specify requirements for assessing labor conditions or enlist preventative measures to minimize risk of OHS injuries. Labour requirements provided under ESS-2 shall be adopted and implemented]
• ESS3: Resource Efficiency and Pollution Prevention Management	[Example: ESS3 is relevant for the project because of likely use of creosote treated electric poles, use of transformers with oil, e-waste from especially panels & batteries, construction induced pollution such as air, noise, fugitive dust, & waste, and energy efficiency related issues]	[Example: [name of Country] Pollution related legislation [Waste Management, Environmental Act, Chemicals Use] is consistent with ESS3 in most key aspects. However, legislation does not specify requirements for handling and management of creosote, etc. Requirements of ESS3 shall be implemented]
• ESS4. Community Health and Safety	[Example: ESS4 is relevant for the project because the subproject activities carry potential Community Health and Safety (H&S) risks, including equipment design, hazardous materials, traffic safety, and disease transmission by project workers]	[Example: [name of Country] Community Health and Safety related legislation includes and covers the following CHS aspects However, legislation does not specify requirements for managing Security services. Security services shall therefore be managed in line with the requirements of ESS4]
• ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement	[Example: ESS5 is relevant for the project because some subprojects such as developing solar home systems (SHS), solar-based mini-grids, BESS and Distribution Lines potentially necessitate land acquisition or economic displacement and resulting in displacement risks]	[Example: [name of Country] Legislation on land acquisition includes and covers the following key aspects consistent with ESS5. However, legislation does not provide for]
• ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources	[Analyze if the subprojects will impact natural habitats. If this is not the case, the standard can be considered non-relevant. Subprojects located in critical habitats will be excluded from the project financing.]	[Example: [name of Country] The Forests Act, etc legislation is consistent with ESS6 in most key aspects]

• ESS7: Indigenous Peoples / Traditional Local Communities Historically Disadvantaged in Sub-Saharan Africa	[Analyze if the path of the subprojects will impact indigenous peoples. If so, the following text can be adapted. If this is not the case, the standard can be considered non-relevant]. This standard is relevant as the subprojects may impact indigenous communities. Where applicable, these activities will be guided by an IPP to be developed during implementation following the guidance of the IPPF being prepared. The IPP will include measures to mitigate any potential project impacts on IPs. The project SEP ensures that Indigenous communities are appropriately informed in an inclusive and culturally appropriate manner.	[Example: [name of Country] There is no law recognizing IP and as such the requirements of ESS7 shall be adopted and followed] during project implementation]
• ESS8: Cultural Heritage	[Example: This standard is considered relevant because of construction and excavation related activities which may encounter chance finds. A Chance Finds Procedure prepared as part of the Project ESMF will be used. Sub-project screening excluded activities that could directly impact cultural heritage.]	[Example: [name of Country] The Cultural/ Monuments Act, legislation is consistent with ESS8 in most key aspects]
• ESS9: Financial Intermediaries	[Example: This standard is considered relevant because of the expected participation of financial intermediaries under the Solar Home Systems (SHS). FI's will be provided with credit lines or financial instruments that provide the FI with the ability to lend to Energy Service Companies delivering the small SHSs via cash sale or PAYG]. The Fis The FI maintains all responsibility for the E&S risks and impacts until the end-user assumes full ownership of the system. As such participating Financial Intermediaries (FIs) will be required to have an ESMS in place, approved by the World Bank, with procedures and processes for screening requirements and technical assistance provided for companies that receive concessional lending]	[Example: [name of Country] The National Environment Management Act, etc legislation is consistent with ESS9 requirements in most key aspects relating to FIs and use of ESMS in such organizations]
• ESS10: Stakeholder Engagement and Information Disclosure	ESS10 is relevant for all projects given the need to engage with beneficiaries and stakeholders on development activities that affect their lives.	[Example: [name of Country] The National Environment Management Act, etc legislation is consistent with ESS10 requirements in most key aspects relating to Stakeholder Engagement and Information Disclosure]
<i>NOTE: In principle and where there are gaps between the National and WB requirements. The more stringent and complete provisions shall be followed.</i>		

3.4 World Bank Group Environmental, Health and Safety Guidelines

World Bank Group (WBG) Environmental, Health and Safety Guidelines (EHSs), 2007 are considered relevant and shall be used as part of Good International Industry Practice. The EHSs are technical reference documents that address the Bank's expectations regarding the EHS performance of projects it supports. They are designed to assist managers and decision makers with relevant industry background and technical information. This information supports actions aimed at avoiding, minimizing, and controlling EHS impacts during the construction, operation, and decommissioning phase of a project or facility. The EHS Guidelines serve as a technical reference source to support the implementation of the ESSs.

3.4.1 **General EHSs** contain information on cross-cutting environmental, health, and safety issues potentially applicable to all industry sectors; these are listed in Table xxx below:

The **WBG General EHS Guidelines** can be found in the following link:
<http://documents.worldbank.org/curated/en/157871484635724258>

3.4.2 EHSs for Electric Power Transmission and Distribution

The EHS Guidelines for Electric Power Transmission and Distribution include information relevant to power transmission between a generation facility and a substation located within an electricity grid, in addition to power distribution from a substation to consumers located in residential, commercial, and industrial areas. The guidelines can be found in the following link:
<https://www.ifc.org/content/dam/ifc/doc/2000/2007-electric-transmission-distribution-ehs-guidelines-en.pdf>

4. Identification, Mitigation and Management of Identified E&S Risks and Impacts (05 pages maximum)

This section therefore should list and break down relevant and eligible subproject activities which will be supported by the project, including the procurement of goods, services, and civil works that may have environmental and social risks and impacts. The identified project activities together with the environmental and social baseline context should be used to identify the resultant potential environmental and social risks and impacts, as well as standard mitigation measures and processes that are expected to be applied. It is recommended that identification of the potential risks and impacts are grouped into different stages: *Planning/Design*, *Site Preparation*, *Construction*, *Operational* and *Decommissioning/Rehabilitation*.

4.1 Planning and Design Stage Considerations for Avoidance of Environmental and Social Risks and Impacts

This section describes key E&S issues that should be considered at the planning and design stage.

Summarize the measures that will be used in the early stages of subproject planning and design to avoid and minimize these impacts. It is often possible to avoid or minimize some of the potential environmental and social impacts during subproject implementation by taking certain environmental and social aspects into account during the design of a subproject. Examples include considering alternative sites, selecting different technologies or methodologies, considering proper waste disposal (solid and liquid), preparing for emergencies.

These may include consideration of the following features of the subproject:

- **Procurement of goods and supplies:** Where the project will include the procurement of goods and supplies e.g. equipment such as transformers, solar panels, solar batteries, conductors or PPE, this section should set out the required technical specifications, and other relevant information. Reference should be made to the relevant National Standards and GIIP such as WBG EHSs. In addition, the clients shall be required to undertake Supply Chain Risk Assessments of the nominated primary PV and batteries supplier to identify key E&S risks/impacts and ensure that the supplier complies with the ESS-2 requirements on child labor, forced labor, and serious safety issues to appropriately manage these risks.
- **Location, type and scale** of the energy subproject and supporting facilities, including likely construction materials and their possible sources (if known) within the subproject area/s:
 - **Location of subproject facilities:** First and foremost, the location, suitability and availability (type of ownership) of land to host the subproject equipment – considering issues relating to land acquisition and economic displacement impacts, location of access roads (temporary or permanent), temporary laydown and maintenance areas for construction activities, worker camps, should be taken into consideration in the identification process. In addition to normal considerations regarding proximity to sensitive areas such as a forest, wetland, river, a cultural heritage site or a game reserve, the environmental and social assessment should identify and examine nearby sensitive social receptors such as a residential area/s,

health center or school and availability of municipal services such as public water supply, sewage and waste collection services at the location. While planning the host locations and developing the designs, for example routing of Power Distribution Lines should avoid rights of way over structures, household assets, forests, ecologically critical areas etc. Distribution Line routing should preferentially be along the roadside (sometimes in or along road reserves) and around household perimeters whereas Transmission line routing realignment may be possible to minimize impacts on sensitive and vulnerable receptors.

- **Type and scale of subproject facilities:** During the planning stage the salient characteristics of the subproject type and size should be identified, including the likely supporting facilities and construction materials and their sources (if known).
- The assessment should consider the **implementation requirements and arrangements**, operational procedures and working practices, including the requirements associated with E&S assessment alongside the technical assessment.
- **Proper design and functional requirements**, which may involve several aspects: i) structural and equipment safety, universal access¹; ii) implementation impacts such as environmental (Air Emissions and Ambient Air Quality, hazardous materials management), Occupational health and safety, community health and safety, etc. Please note internationally recognized guidelines are available and should be referenced²

4.2 Construction and Operation Stage E&S Impacts and their Mitigation

This section should identify key E&S risks and impacts associated with construction (including upgrading and rehabilitation) of power distribution lines (66/33/11 KV) involving wooden or concrete poles, short transmission lines, distribution substations (33/11kV), Grid substations (132/11kV substations), Service drop cables, meters for service connections, Battery Energy Storage Systems (BESS), Solar mini grids and Stand-alone solar systems for households and public facilities (health centers, schools etc). and set out generic mitigation measures. These risks and impacts may include:

- Environmental risks and impacts associated with resource efficiency and material supply; construction related solid wastes, soil erosion, wastewater, noise, dust and emission management; hazardous materials management, structural stability, and contaminated land.
- Occupational Health and Safety (OHS) issues, including labour and working conditions, work at heights, slips and falls, struck by objects, dust, moving machinery, exposure to dust, chemicals, hazardous or flammable materials, and wastes in a combination of liquid, solid, or gaseous forms.
- Community health and safety issues, including pollutants, road safety, use of security personnel, and emergency aspects.
- Social issues, including in relation to labor influx, GBV/Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH) risks, gender or disability

¹ Refer to ESS 4 Community Health and Safety

² For example, WBG EHSGs General, and Sector Specific, www.ifc.org/ifcext/enviro.nsf/Content/EnvironmentalGuidelines

- Issues relating to land acquisition and economic displacement impacts.
- Impacts associated with Biodiversity Conservation and sustainable management of natural resources.
- Arrangements for employment and accommodation of workers to be engaged in project activities.
- Impacts related to Disadvantaged, Vulnerable and Marginalized Communities.
- Cultural heritage and biodiversity issues.

4.3 Decommissioning and Rehabilitation Phase

This section should identify key E&S risks and impacts associated with the decommissioning phase at the end of the project life-cycle. Where temporary access roads, camps, equipment storage yards, are developed during construction and/or operation phase, they should be decommissioned and rehabilitated in accordance with a site-specific closure plan developed in consistency of international good practice and national environmental requirements. The site-specific closure plan should be developed as part of the site-specific ESIA.

Both for temporary facilities and ultimately the main infrastructure implemented and associated facilities, the closure process will include site clearance, removal of all equipment including underground power lines, appropriate disposal of waste materials and reinstatement/ revegetation as appropriate.

The E&S risks and impacts may include:

- Environmental risks and impacts associated with resource efficiency and decommissioning related wastes generated, noise, dust and hazardous materials management, and contaminated land.
- Occupational Health and Safety (OHS) issues, including labour and working conditions, work at heights, slips and falls, struck by objects, dust, moving machinery, exposure to dust, chemicals, hazardous or flammable materials, and wastes in a combination of liquid, solid, or gaseous forms.
- Community health and safety issues, including pollutants, road safety, use of security personnel, and emergency aspects.

[Separate standard ESMPs Templates for different types of subprojects that may be relevant for new countries joining the initiative have been developed and available at the COMESA Secretariat. For more detailed examples of standard environmental and social risk management and mitigation measures, refer to the [World Bank Group Environmental, Health and Safety \(EHS\) Guidelines](#), which offer general and industry-specific measures. The aim of this section of the ESMF is to describe the risks, impacts, and mitigation measures at a broad level. For subprojects, the contractors will need to assess risks and impacts at a site-specific level and propose appropriate mitigation measures].

[Note in the table whether the project will potentially involve land acquisition, physical displacement, or economic displacement. If the proposed activities or works are expected to

involve involuntary physical or economic displacement because of land acquisition or restrictions on access or use of natural resources, please refer to ESS5 and the Simplified Resettlement Policy Framework (RPF) Template. If the project will potentially involve land donations or voluntary land transactions, please also refer to ESS5 on Land Acquisition, Restrictions on Land Use and Involuntary Resettlement and to the ESS5 Guidance Note for relevant guidance.]

5. Procedures for Environmental and Social Risk/Impact Assessment, Mitigation and Implementation Arrangements

(10 pages maximum)

5.1 Procedures for Environmental and Social Risk/Impact Assessment and Mitigation

[For each concerned country] This section should set out in detail the procedures to be followed in identifying, preparing and implementing the subprojects, including the following:

- Screening potential subprojects in relation to eligibility.
- Screening each subproject for potential E&S risks and impacts and classifying each subproject according to risk (Annex 2, Screening Form).
- Conducting E&S assessment for each subproject and developing project specific management plans/instruments, such as full ESIA/ESMPs, EIS, etc. according to the nature of the sub-project. *[The screening of subprojects to identify E&S risks, should also consider the project locations and inherent risks of the sector to determine appropriate mitigation measures that commensurate with the level risks and impacts]*
- Consultation and disclosure of E&S plans and instruments.
- Review and approval of E&S plans and instruments.
- Implementation and monitoring of E&S plans and instruments.

The environmental and social risk management procedures will be implemented through the Project's subproject selection process. In summary, the procedures aim to do the following:

[Complete table below and adapt as relevant for the project].

Table XXX. Project Cycle and E&S Management Procedures

Project Stage	E&S Stage	E&S Management Procedures
[a. Assessment and Analysis: Subproject identification and screening	[Screening]	[- During subproject identification, ensure subproject eligibility by referring to the Exclusion List in table 5 below. - For all activities, use the Screening Form in Annex 1 to identify and assess potential environmental and social risks and impacts, and identify the appropriate mitigation measures for the subproject. <i>[This should be undertaken by E&S specialists at this early planning stage to anticipate adverse risk and impact to seek to avoid and enhance design]</i> - Using the identified E&S risks and impacts identified under Section 5, determine the E&S Risk Category based guidance provided under Table 6 below. HIGH ESRC subprojects/activities should be excluded from the project.
b. Formulation and Planning: Planning for subproject activities, including human and	Planning	- Based on Screening Form adapt and/or prepare relevant environmental and social instruments and plans. - For activities requiring Environmental and Social Impact Assessment (ESIA), Resettlement Action Plans (RAPs), Environmental and Social Management Plans (ESMPs),

budgetary resources and monitoring measures		submit a representative sample of ESMPs (number to be agreed with the World Bank) for prior review and no objection by the World Bank prior to initiating bidding processes (for subprojects involving bidding processes) and/or launching activities (for subproject activities not subject to bidding). - Ensure that the contents of the ESIAs, ESMPs, RAPs, etc are shared with relevant stakeholders in an accessible manner and consultations are held with the affected communities in accordance with the SEP. - Complete all documentation, permits, and clearances required under the government's requirements. - Assess E&S capacity, determine what is required to address shortfalls Train/hire staff responsible for implementation and monitoring of plans. - Incorporate relevant environmental and social procedures and plans into contractor bidding documents; train contractors on relevant procedures and plans.
c. Implementation and Monitoring: Implementation support and continuous monitoring for projects	Implementation	- Ensure implementation of plans through site visits, regular reporting from the field, and other planned monitoring. - Track grievances/beneficiary feedback. - Track reportable E&S incidents up to their closure. - Continue awareness raising and/or training for relevant staff, volunteers, contractors, communities.
d. Review and Evaluation: Qualitative, quantitative, and/or participatory data collection on a sample basis]	Completion]	- Assess whether plans have been effectively implemented. - Ensure that physical sites are properly restored.]

More detail for each stage is provided below. *[In the following sections, describe the environmental and social management procedures that will be applied in the project. Note the parties responsible and the time frames for all the procedures. Consider how staff and contractors at local levels will be trained and made aware of environmental and social procedures and requirements at each stage. Also note whether World Bank prior review will be required for any site-specific environmental and social management plans if applicable].*

5.1.1 Subproject Assessment and Analysis – E&S Screening and Risk Classification

The E&S Screening procedure comprises of two stages-process: (1) Initial screening by using the **Exclusion List** in Table xxx below under Step-1; and (2) Screening the proposed activities to identify the approach for E&S risk management. This Screening Form is the second stage of screening process and is to be used for all subproject activities (Step-2), using the Form in Annex

STEP 1: Eligibility Screening of Proposed Sub-Project/s

As a first step, all proposed activities should be screened to ensure that they are within the boundaries of the Project's eligible activities, and they are not considered as activities listed on the E&S Exclusion List in the Table xxx below.

Table XXX. Exclusion List – *[Complete as relevant to project]*.

- Any construction in protected areas or priority areas for biodiversity conservation, as defined in national law. - Activities that have the potential to cause any significant loss or degradation of critical natural habitats, whether directly or indirectly, or which would lead to adverse impacts on natural habitats. - Activities that involve extensive harvest and sale/trade of forest resources (post, timber, bamboo, charcoal, wildlife, etc.) for large-scale commercial purposes. - Activities involving changing forestland into agricultural land or logging activities in primary forest. - Purchase or use of banned/restricted pesticides, insecticides, herbicides, and other dangerous chemicals (banned under national law and World Health Organization (WHO) category 1A and 1B pesticides). - Any activity which significantly affects physical cultural heritage such as graves, temples, churches, historical relics, archeological sites, or other cultural structures. - Activities that may cause or lead to forced labor, child labor exploitation or human trafficking, or subprojects that employ or engage children, over the minimum age of 14 and under the age of 18, in connection with the project in a manner that is likely to be hazardous or interfere with the child's education or be harmful to the child's health or physical, mental, spiritual, moral, or social development - Any activity on land that has disputed ownership or tenure rights. - Any activity that will cause significant physical relocation of households. - Any activity with HIGH environmental and social risks and impacts.
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STEP 2: E&S Categorization, Assessment and Developing Mitigation and Monitoring Plans

As a second step, the *[name the responsible party in the implementing agency]* will use the ***E&S Screening Form in Annex 1*** and guidance provided under Section 5 to identify and assess relevant environmental and social risks specific to the activities, and identify the appropriate mitigation measures. The *Screening Form* lists the various mitigation measures and plans that may be relevant for the specific activities (the Environmental and Social Management Plan, the Labor Management Procedures, Chance Find Procedures, etc.). Section 5 provides a methodology for identifying likely E&S risks and impacts to be generated by the proposed project activities. The identification of E&S risks and impacts should include direct impacts, indirect impacts, cumulative impacts and residual impacts. After completing the E&S screening and impacts identification, the E&S Risk Category should be determined and assigned in line with the guidance provided under Table 6 below. HIGH ESRC subprojects/activities should be excluded from the project. E&S due diligence and screening should be extended to any Associated Facilities.

Table XXX. Summary of Parameters to guide determination of ESRC in line with ESS-1.

ESRC E&S Aspects	High Risk	Substantial Risk	Moderate Risk	Low Risk
Project type, location, sensitivity, scale	"Complex large to very large scale in	"Not as complex; large to medium scale not such	"No activities with high potential for harming people or	"Few or no adverse risks and impacts.

	sensitive location(s) “.	sensitive location “.	environment; located away from sensitive areas “.	
Nature & magnitude of risks & impacts, available mitigation	Mitigation unproven: unable to entirely address significant risk; high residual value.	Mitigation more reliable: significant risks but possible to avoid or address.	Easily mitigated: site specific, low magnitude risks.	Nothing to mitigate: - no further assessment after screening.
Borrower capacity and commitment	Challenges and concerns about track record regarding E&S issues, significant stakeholder engagement capacity, commitment, track record concerns.	Some concerns about borrower track record, engagement capacity but readily addressed.	Sufficient borrower experience, track record, stakeholder engagement capacity.	Minimal or negligible risks to and impacts on human populations and/or the environment
Context of risk relevant to ES measures	Significant effects on ability to mitigate risk - significant contextual risks outside project control impacting on E&S performance and outcomes.	Some effects on ability to mitigate risk - known and reliable mechanisms to prevent or minimize, enforcement is weak in some respects, some stakeholder engagement concerns but readily addressed.	No effects on ability to mitigate risk – no contextual risks with effects on E&S performance	Negligible risk.

The *[name the responsible party in the implementing agency]* will also identify the documentation, permits, and clearances required under the government’s Environmental Regulation.

STEP 3: Subproject Formulation and Planning – E&S Planning

Table XXX below provides list of anticipated Low, Moderate, and Substantial risk sub-projects to be implemented and their respective E&S Instruments to be used, including circumstances where Moderate-Substantial risk projects will require stand-alone Instruments and not ESMPs.

Table XXX: List of activities supported under ASCENT and the menu of ESF instrument
(Source: Adopted from the ASCENT E&S Risk Tip List (Annex 4))

Activity	E&S Instruments to be prepared
Construction of distribution lines (66/33/11 KV) involving wooden or concrete poles. Line right of way for distribution line is ~27m	Standard instruments (i.e., generic Environmental and Social Management Plans -ESMPs) can be considered for distribution schemes in urban areas if

ASCENT may also support small length of transmission lines (132kV) involving towers. For 132kV transmission line, line right of way is ~52m	screening and scoping confirm absence of significant E&S risks and impacts. Transmission Lines, and distribution in peri-urban areas, will need project specific approaches, like the preparation of Resettlement Action Plans (RAPs), Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH) action plans, etc.
Rehabilitation/upgrade of distribution lines that involve replacing poles and re-stringing using existing line right of way	Standard instruments (i.e., generic ESMPs) can be considered in non-sensitive locations, if screening and scoping confirm absence of significant E&S risks and impacts. Project specific instruments will be needed for sensitive locations or if resettlement (physical and/or economic displacement), or restrictions on land use are involved.
Construction of distribution substations (33/11kV). Grid substations (132/11kV substations) could be supported on a limited scale. Distribution substation may require 0.33-1.5 acres (33-150 decimal) of land depending on the type of equipment, layout design and local regulations. Grid substations may require up to 5 acres of land (indoor type can be installed in 3 acres).	Project specific instruments (i.e., ESIA/ESMPs) needed for proper siting of substations and avoidance/minimization of significant E&S risks and impacts. RAPs/LRPs needed for any resettlement – would need to be project specific. Project specific BMPs needed in case of significant biodiversity impacts. Standard instruments not recommended for substations.
Service drop cables, meters for service connections	Standard instruments (i.e., E&S checklists, general EHS guidelines, standard working protocol regarding safety) can be used for service drop repetitive activities in urban areas.
Battery Energy Storage Systems (BESS)	Site-specific instruments (i.e., ESIA/ESMPs) considering the capacity, location, and other technical details of the battery storage system.
Solar mini grids	Site-specific instruments (i.e., ESIA/ESMPs) needed for proper siting of larger solar mini grids and avoidance/ minimization of significant E&S risks and impacts. RAPs needed for any resettlement which would be site specific. Standard instruments (i.e., generic ESMPs) can be considered for smaller mini-grids if screening and

	scoping confirm absence of significant E&S risks and impacts. Larger Mini-Grids will need project specific approaches.
Stand-alone solar systems for households and public facilities (health centers, schools, etc.)	Standard instruments (i.e., E&S checklists) can be used for repetitive activities in urban areas.
Improved cookstoves	Use Technical documentation and training on manufacturing and appropriate use of the cookstoves.

Based on the anticipated E&S instruments to be used following the outcome of the E&S Screening and Risk Classification presented under Section 6.1.1 including Table XXX above, Table XXX below provides a summary of Templates which have been produced by the ASCENT MPA and should be adapted and used for individual subprojects:

Table XXX: Standardized E&S Instruments developed and to be adapted and used during implementation.

No	Subproject Activity	Standardized E&S Instrument
1.	Standardized framework instruments for new countries joining ASCENT	Standardized ESMF and RPF template for country teams to deploy with clients for new countries joining ASCENT MPA.
2	Construction of distribution lines (66/33/11 KV) involving wooden or concrete poles. Line right of way for distribution line is ~27 m	Standard ESMPs for distribution schemes in urban areas, including all the necessary standard annexes (i.e. WMP, OHS MP, SEA/SH Action Plan, etc.). Standard TOR for: ESIA, Resettlement Action Plans, and SEA/SH Action Plans for Transmission Lines, and distribution in peri-urban areas, that will require project specific approaches.
3	Rehabilitation/ upgrade of distribution lines that involve replacing poles and re-stringing using existing line right of way.	Standard generic ESMP, including all the necessary standard annexes (i.e. WMP, OHS MP, SEA/SH, etc). for rehabilitation/upgrade works in non-sensitive locations.
4	Service drop cables, meters for service connections	E&S checklist, general EHS guidelines, standard working protocol regarding safety for service drop, land access documents for repetitive activities in urban areas.
5	Battery Energy Storage Systems (BESS)	Generic ESMP template including the necessary standard annexes (i.e. e-WMP) that considers the capacity, location, and other technical details of the battery storage system.
6	Solar mini grids	Generic ESMP including the necessary standard annexes e.g. e-WMP, OHS MP, SEA/SH etc) templates for smaller solar mini grids, if screening and scoping confirm absence of significant E&S risks and impacts.
7	Stand-alone solar systems for households and public facilities (health centers, schools, etc.)	Standard Environmental and Social Checklist Template for Small Stand-Alone Solar System.
8	Improved cookstoves	Technical documentation and training on manufacturing and appropriate use of the cookstoves.

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Based on the process above and the Screening Form, the *[responsible party in the implementing agency]* will adapt the necessary environmental and social management measures under Table xxx above or develop relevant site-specific environmental and social management plans.

ESMS development and implemented for FI components under Pillar 3: Establish and implement an ESMS with adequate capacity for the FI components of DRE under Pillar 3. ESMS should be incorporated into the existing FIs credit cycle and should include tools for E&S due diligence, ESAP, with supervision and monitoring tools for financial approval of beneficiary firms.

[The Choice and Determination of the E&S Instruments and Respective Templates to be used will be based on the individual Investments Priority List/ Activities Selected by each Country].

Note: The Templates for the above E&S Instruments listed in Table xxx above can be found on Common Market for Eastern and Southern Africa (COMESA) Official Website <http://www.comesa.int> and/or through the Environmental and Social Unit at COMESA Secretariat.

If site-specific ESIAs/ESMPs are necessary, the *[responsible party in the implementing agency]* will prepare these ESIAs/ESMPs and other applicable documents as needed, adapting the recommended E&S Template Instruments listed in Table 8. The *[responsible party in the implementing agency]* will provide approval and compile ESIAs/ESMPs and other applicable forms. The findings and summary of the ESIAs/ESMPs will be shared with relevant stakeholders in an accessible manner, and consultations will be held with the affected communities on the environmental and social risks and mitigation measures. If certain subprojects or contracts are being initiated at the same time or within a certain location, an overall ESIA/ESMP covering multiple subprojects or contracts can be prepared./.

A representative sample of ESMPs *[or to be agreed with the World Bank]* will be submitted to the World Bank for prior review and no objection. After this representative sample, the World Bank and the *[responsible party in the implementing agency]* will reassess whether prior review is needed for further ESMPs or a certain category of ESMPs (for example, for activities exceeding a certain budget, for certain types of activities).

The *[responsible party in the implementing agency]* will also complete the documentation, permits and clearances required under the government's requirements before any project activities begin.

At this stage, staff who will be working on the various subproject activities should be trained in the environmental and social instruments relevant to the activities they work on. The *[responsible party in the implementing agency]* should provide such training to field staff.

The *[responsible party in the implementing agency]* should also ensure that the bidding documents and process incorporates the respective subproject ESIAs/ESMPs and that all selected contractors, subcontractors, and vendors understand and incorporate environmental and social mitigation measures relevant to them as standard operating procedures for civil works. The *[responsible party*

in the implementing agency] should provide training to selected contractors to ensure that they understand and incorporate environmental and social mitigation measures; and plan for cascading training to be delivered by contractors to subcontractors and vendors. The *[responsible party in the implementing agency]* should further ensure that the entities or communities responsible for ongoing operation and maintenance of the investment have received training on operations stage environmental and social management measures as applicable.

5.1.2 Implementation and Monitoring – E&S Implementation

During implementation, the *[responsible party in the implementing agency]* will conduct regular monitoring visits. Describe the mechanisms, responsible parties, and the frequency for project supervision. Consider whether mobile devices can be used for monitoring of projects with numerous subproject locations. If there are contractors implementing subproject activities, the contractors will be responsible for implementing the mitigation measures in the E&S risk management documents, with *[responsible party in the implementing agency]* oversight.

The *[responsible parties in the implementing agency]* working to implement the project will ensure that monitoring practices include the environmental and social risks identified in the ESIA/ESMP and will monitor the implementation of E&S risk management mitigation plans as part of regular project monitoring.

At a minimum, the reporting will include (i) the overall implementation of E&S risk management instruments and measures, (ii) any environmental or social issues arising as a result of project activities and how these issues will be remedied or mitigated, including timelines, (iii) Occupational Health and Safety performance (including incidents and accidents), (iv) community health and safety, (v) stakeholder engagement updates, in line with the SEP, (vi) public notification and communications, (vii) progress on the implementation and completion of project works, and (viii) summary of grievances/beneficiary feedback received, actions taken, and complaints closed out, in line with the SEP. Reports from the local levels will be submitted to the [responsible party in the implementing agency] at the national level, where they will be aggregated and submitted to the World Bank on a quarterly (or biannual) basis.

Throughout the Project implementation stage, the [responsible party in the implementing agency] will continue to provide training and awareness raising to relevant stakeholders, such as staff, selected contractors, and communities, to support the implementation of the environmental and social risk management mitigation measures. An initial list of training needs is proposed below, in Section 6.5.

The *[responsible party in the implementing agency]* will also track grievances/beneficiary feedback (in line with the SEP) during project implementation to use as a monitoring tool for implementation of project activities and environmental and social mitigation measures.

[If the Project will utilize an external monitoring mechanism, such as a third-party consultant, describe the monitoring arrangement, responsibility, and frequency].

5.1.3 Review and Evaluation – E&S Completion

Last, if the *[responsible party in the implementing agency]* becomes aware of a serious incident in connection with the project, which may have significant adverse effects on the

environment, the affected communities, the public, or workers, it should notify the World Bank within 48 hours of becoming aware of such incident. A fatality is automatically classified as a serious incident, as are incidents of forced or child labor, abuses of community members by project workers (including gender-based violence incidents), violent community protests, or kidnappings, lost time injury requiring 3 or more days off work, occurrence of a disease in excess of normal expectancy of number of cases, displacement without due process of compensation, unexpected impacts on heritage resources, unexpected impacts on biodiversity resources, environmental pollution incident, cases of sexual exploitation and abuse (SEA), sexual harassment (SH), and any other incident or accident that may have a significant adverse effect on the environment, the affected communities, the public, or the workers, irrespective of whether harm had occurred on that occasion. The incidents reporting, root-cause-analysis and correction action plan forms shall be developed by the PIU and reviewed by the World Bank Task Team to align with both the National reporting requirements with the World Bank Environmental and Social Reporting Tool (ESIRT) Templates. Provide sufficient details regarding the scope, severity, and possible causes of the incident or accident, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any contractor and/or supervising firm, as appropriate. Subsequently, at the World Bank's request, prepare a report on the incident or accident and propose any measures to address it and prevent its recurrence

Upon completion of Project activities, the *[responsible party in the implementing agency]* will review and evaluate progress and completion of project activities and all required environmental and social mitigation measures. Especially for civil works, the *[responsible party in the implementing agency]* will monitor activities with regard to site restoration and landscaping in the affected areas to ensure that the activities are done to an appropriate and acceptable standard before closing the contracts, in accordance with measures identified in the ESMPs and other plans. The sites must be restored to at least the same condition and standard that existed prior to commencement of works. Any pending issues must be resolved before a subproject is considered fully completed. The *[responsible party in the implementing agency]* will prepare the completion report describing the final status of compliance with the E&S risk management measures and submit it to the World Bank.

5.2 Technical Assistance Activities (only include this section if relevant to your Project)

The *[responsible party in the implementing agency]* will ensure that the consultancies, studies (including feasibility studies, if applicable), capacity building, training, and any other technical assistance activities under the Project are carried out in accordance with Terms of Reference acceptable to the Bank, that are consistent with the ESSs. They will also ensure that the outputs of such activities comply with the Terms of Reference.

5.3 Implementation Arrangements

[This section describes the institutional arrangements {discussed and agreed with WB} to implement the ESMF including the screening of subprojects for environmental and social risks and impacts, preparation and consultation in relation to the assessment and identification of mitigation measures for subprojects, review, clearance and disclosure of documentation and instruments, and monitoring the implementation of the ESMP, etc. A clear delineation of responsibilities must be spelled out under this section. For planning and design, and construction

stage, an institutional arrangement for the authorities, project proponent, consultants, contractors and supervision engineers should be described].

[Describe the institutions and staff responsible for implementing the environmental and social procedures outlined above. Ensure that national, regional, and local level responsibilities are covered (including administrative and financial responsibilities), as well as contractors' and supervision consultants' responsibilities. Include an analysis of institutional capacity for all responsible institutions and identify capacity gaps that need to be addressed in Section 6.5. Who is accountable and responsible for each part of the procedure should be clear, as well as any reporting lines and responsibilities].

[For example, the National level... will be responsible for managing the implementation of the project, including this ESMF].

[Regional level, local level... will be responsible for...]

All contractors will be required to comply with the applicable Project's E&S risk management plans and procedures, including the ESMP, , LMP, SEP, GBV Action Plan, and local legislation. This provision will be specified in the contractor's agreements. Contractors will be expected to disseminate and create awareness within their workforce of environmental and social risk management compliance for their effective implementation].

It is recommended that selection of Contractors be undertaken in line with the WB Standard Procurement Documents incorporating ESHS requirements. The Task Team Leader shall provide the most recent World Bank Standard Procurement Documents (SPDs) to the respective Countries.

The Table XXX below summarizes the roles and responsibilities regarding the implementation arrangements for **environmental and social management**. *[Complete table below and adapt as relevant for project].*

Table XXX. Implementation Arrangements

Level/ Responsible Party	Roles and Responsibilities
[National/ regional	[- Provide support, oversight, and quality control to field staff working on environmental and social risk management. - Collect, review, and provide quality assurance and approval to Screening Forms and ESMPs as relevant. Keep documentation of all progress. - Oversee overall implementation and monitoring of environmental and social mitigation and management activities, compile progress reports from local levels/subprojects, and report to the World Bank on a quarterly [or biannual] basis. - Train central and field staff and contractors who will be responsible for implementing the ESMF. - If contracting is managed centrally, ensure that all bidding and contract documents include all relevant E&S management provisions per screening forms, ESMPs, and ESCOPs. An ESHS Performance Security normally must be incorporated in the

	requirements from potential bidders for implementation of works under project financing. All sections of the bidding documents must be reviewed in detail by the /Project Management Unit/ and cross referenced with the E&S policies and instruments relevant to the specific sub-projects. In particular, the Bid Documents shall reflect requirements as summarized in this ESMF for labor management, labor working conditions, worker health and safety, public health and safety and grievance redress, in line with World Bank ESSs. The prospective contractor is required to provide a costing at minimum within this amount in the BOQ, listing itemized values for C-ESMP implementation. For large scale contracts that are assessed as high risk during environmental screening, the prospective contractors may be required to have the following certifications in the Eligibility and Qualifications Subsection, in Section III of the Standard Bidding Documents, under Contractor Requirements: Registration with ISO 14001 (Environmental Management) and ISO 45001/ OSHAS 18000/ or equivalent.
Regional/local field staff of the PIU, Host Local Government	- Ensure project activities do not fall under the Negative List. Fill out Screening Forms for relevant subproject activities and submit forms to the national level. - If relevant, complete site-specific ESMPs for subproject activities and submit forms to the national level. - Oversee daily implementation and monitoring of environmental and social mitigation measures, and report progress and performance to the national level on a monthly basis. - Provide training to local contractors and communities on relevant environmental and social mitigation measures, roles, and responsibilities. - If contracting is managed regionally, ensure that all bidding and contract documents include all relevant E&S management provisions per screening forms, ESMPs, and ESCOPs.
Contractors]	- Comply with the Project's environmental and social mitigation and management measures as specified in ESMPs, ESCOPs, and contract documents, as well as national and local legislation. - Take all necessary measures to protect the health and safety of workers and community members, and avoid, minimize, or mitigate any environmental harm resulting from project activities.]

5.4 Proposed Training and Capacity Building

The Client in collaboration with the WB shall undertake E&S Capacity Needs Assessment to identify gaps which will be used to develop and implement a Capacity Building Plan. Describe what training and capacity building activities will take place. Successful implementation of the Project will depend, among others, on the effective implementation of the environmental and social risk management measures outlined in this ESMF. Training and capacity building will be necessary for the key stakeholders in order to ensure effective implementation of the ESMF, SEP, and other environmental and social documents. An initial training approach is outlined in the table below. To the extent possible, training on environmental and social risk management will be integrated into the project cycle and operational procedures. Given the need to raise awareness among project workers and stakeholders at many levels, a cascading model is proposed where information will flow from the national level to the field levels.

COMESA has been included to provide any additional E&S training support to individual countries (on a need-basis) since they are implementing regional activities and have track record of implementing World Bank-financed projects and through its Pillar 1 can support technical assistance and capacity building, creating the enabling environment for all participating countries to effectively implement their projects.

Table 9. Proposed Training and Capacity Building Approach – *[examples]*

Level	Responsible Party	Audience	Topics/Themes that May Be Covered
[National level]	World Bank COMESA	National staff responsible for overall implementation of ESMF	ESMF and approach: - Identification and assessment of E&S risks - Selection and application of relevant E&S risk management measures/instruments - E&S monitoring and reporting - Incident and accident reporting - Application of LMP, including Code of Conduct, incident reporting, SEA/SH, COVID-19 mitigation - Application of SEP and the grievance/beneficiary feedback mechanism
Regional level	National staff	Regional staff Contractors	ESMF and approach: - Identification and assessment of E&S risks - Selection and application of relevant E&S risk management measures - E&S monitoring and reporting - Incident and accident reporting - Application of LMP, including Code of Conduct, incident reporting, SEA/SH, COVID-19 mitigation - Application of SEP and the grievance/beneficiary feedback mechanism ESMS for the Financial Intermediary components
Local/site level	Regional staff	Local staff Local contractors	- E&S implementation and operational management and responsibilities. - Application of SEP and the grievance/beneficiary feedback mechanism - Application of LMP, including Code of Conduct, incident reporting, SEA/SH, COVID-19 mitigation - Application of ESCOPs or ESMPs, as relevant Basic OHS measures and Personal Protective Equipment
Community level	Local staff	Community members	- Community health and safety issues - Worker Code of Conduct - SEA/SH issues, prevention, measures] - COVID-19 mitigation - Grievance redress

		Community Workers, if relevant	- Workers' grievance redress
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5.5 Estimated Budget

[Briefly describe the types of costs that will be covered under project design and implementation mechanisms and the types of costs that may be additional costs under the ESMF budget. You may also want to describe how this relates to the SEP budget].

The following table lists estimated cost items for the implementation for the ESMF, which have been included in the overall project budget:

Table 8. ESMF Implementation Budget – *[example]*

Activity/Cost Item	Potential Cost (USD)
Trainings for staff (venue, travel, refreshments etc.)	
Trainings for contractors (venue, travel, refreshments, etc.)	
Printing of awareness raising materials / grievance redress materials	
Software for data collection / supervision / monitoring / grievance redress	
Preparation of site-specific ESMPs and other site-specific plans	
Cost of obtaining clearances or permits	
Implementation of site-specific ESMPs and other site-specific plans	
Environmental and social staff (for different levels)	
Travel and accommodation budget for environmental and social staff site visits	
External monitoring or supervision consultant	
TOTAL	

6. Stakeholder Engagement, Disclosure, and Consultations

(1 page maximum)

A separate Stakeholder Engagement Plan (SEP) has been prepared for the Project, based on the World Bank's Environmental and Social Standard 10 on Stakeholder Engagement. The SEP can be found here: *[provide disclosure link for the SEP]*.

This ESMF, as well as the SEP and the Environmental and Social Commitment Plan (ESCP) that have been prepared for this project, have been disclosed in draft for stakeholder consultations on the following website *[provide website address]* on *[date]*. Key feedback, if any, on the disclosed ESMF is listed here *[summary of feedback]*.

Annex 1: Checklist for Environmental and Social Screening Form

[This is an example of a screening form. The objective of the screening form is to guide the Borrower in 1) assessing the various environmental and social risks and impacts that different sub-project activities will pose, and 2) selecting the right environmental and social management plans that will be applicable to those sub-project activities].

*[The example screening form below goes through each ESS and asks the Borrower whether sub-project activities will result in certain key environmental and social impacts. Based on these, it instructs the Borrower which management plans to prepare and/or use. **You may find that for your specific project, there are additional risks that may need to be considered under different ESSs].***

[The Screening Form is meant to exclude certain activities as well, for example, any activity that may pose significant or high risk, degrade critical habitats or involve physical displacement].

The E&S Screening procedure comprises of two stages-process: (1) Initial screening by using the **Exclusion List** in Table 5 of the ESMF; and (2) Screening the proposed activities to identify the approach for E&S risk management. This Screening Form is the second stage of screening process and is to be used for all subproject activities.

The completed forms will be signed and kept in the Project ESF file. The World Bank may review a sample of the forms during implementation support visits.

1. Subproject Information:

Subproject Title	
Subproject Location	
Regional Unit in Charge	
Estimated Cost	
Start/Completion Date	
Brief Description of Subproject	

2. Environmental and Social Screening Questionnaires

Questions	Answer		Next Steps
	Yes	No	
ESS1			
1. Is the subproject likely to have significant adverse environmental and / or social impacts that are sensitive and unprecedented that trigger the 'Ineligible Activities' or other exclusion criteria?			If "Yes": Exclude from project.

2. Does the subproject involve <u>new construction or significant expansion</u> of energy infrastructure, ponds, solid waste management systems, shelters, roads (including access roads), community centers, schools, bridges and jetties?			If “Yes”: 1. Prepare a site-specific E&S Assessment and/or ESMP for the proposed subproject. 2. Include E&S risk management measures in bidding documents.
3. Does the subproject involve works with a significant scope whose environmental and social impacts are not immediately known?			If “Yes”: 1. Prepare an ES Impact Assessment following national legislation and the TORs provided by the ASCENT MPA. 2. Include E&S risk management measures in bidding documents.
4. Do the characteristics of the subproject fall under the projects listed under [National Legislation] establishing the list of projects that must undergo environmental impact assessment, instructions, requirements and procedures to conduct environmental impact assessment?			If “Yes”: 1. Prepare an ES Impact Assessment following national legislation and the TORs provided by the ASCENT MPA. 2. Include E&S risk management measures in bidding documents.
5. Does the subproject involve works with low/moderate and foreseeable environmental and social impacts that are immediately known?			If “Yes”: 1. Prepare an ESMP for the proposed subproject, based on the templates provided by the ASCENT MPA. 2. Include E&S risk management measures in bidding documents.
6. Will construction or renovation works require new borrow pits or quarries to be opened?			If “Yes”: 1. Prepare a site-specific ESMP for the proposed subproject, based on the templates provided by the ASCENT MPA. 2. Include E&S risk management measures in bidding documents.
7. Does the project lead to any risks and impacts on, individuals or groups who, because of their particular circumstances, may be disadvantaged or vulnerable. ^{III}			If “Yes”: Apply relevant measures described in the ESMF and SEP.
ESS2			
8. Does the subproject involve uses of goods and equipment involving forced labor, child labor, or other harmful or exploitative forms of labor?			If “Yes”: Exclude from project.

9. Does the subproject involve recruitment of workforce including direct, contracted, primary supply, and/or community workers?			If “Yes”: Apply LMP in Annex 2.
10. i) Will the workers be exposed to workplace hazards that needs to be managed in accordance with local regulations and EHSs, such as work at height, underground trenching, heavy machinery? ii) Do workers need PPE relative to the potential risks and hazards associated with their work? iii) Does the work involve engagement of direct, contracted, community & primary suppliers workers? iv) Does the work require provision of worker accommodation?			If “Yes”: Apply LMP in Annex 2, CESMP (with commensurate OHS provisions) and/ or applicable E&S templates Instruments.
11. Is there a risk that vulnerable and disadvantaged groups may be underpaid when compared to men when working on the project construction?			If “Yes”: Apply LMP in Annex 2.
ESS3			
12. Is the project likely to generate solid or liquid waste that could adversely impact soils, vegetation, rivers, streams or groundwater, or nearby communities?			If “Yes”: 1. Prepare a site-specific ESMP for the proposed subproject, based on the templates provided by the ASCENT MPA. 2. Include E&S risk management measures in bidding documents.
13. Do any of the construction works involve the removal of asbestos or other hazardous materials?			If “Yes”: Apply asbestos guidance provide in the ESCOP
14. i) Are works likely to cause significant negative impacts to air and / or water quality? ii) Will the solar/mini grids subprojects utilize wet cleaning technologies and will require substantial water usage for cleaning?			If “Yes”: 1. Prepare a site-specific ESMP for the proposed subproject, based on the templates provided by the ASCENT MPA. • Include in the site specific ESMP, water management plan that detail the water usage, water conservations efforts and how to minimize potential water conflicts with communities due to water competing needs. 3. Include E&S risk management measures in bidding documents.
15. Does the activity rely on existing infrastructure (such as discharge points) that is inadequate to prevent environmental impacts?			If “Yes”: 1. Prepare a site-specific ESMP for the proposed subproject, based on the templates provided by the ASCENT MPA. 2. Include E&S risk management measures in bidding documents.

ESS4			
16. Is there a risk of increased community exposure to communicable disease (such as COVID-19, HIV/AIDS, Malaria), or increase in the risk of traffic related accidents?			If “Yes”: Apply LMP in Annex 2 and relevant measures in SEP, ESMP (CHS-MP & Traffic MP) and/ or applicable E&S Template Instruments.
17. (i) Is an influx of workers, from outside the community, expected? (ii) Would workers be expected to use health services of the community? (iii) Would they create pressures on existing community services (water, electricity, health, recreation, others?)			If “Yes”: Apply LMP in Annex 2.
18. Is there a risk that SEA/SH may increase as a result of project works?			If “Yes”: Apply SEA/SH Action Plan in applicable E&S Template Instruments .
19. Would any public facilities, such as schools, health clinic, church be negatively affected by construction?			If “Yes”: Prepare a site-specific ESMP for the proposed subproject, based on the templates provided by the ASCENT MPA.
20. Will the subproject require the government to retain workers to provide security to safeguard the subproject?			If “Yes”: Prepare a site-specific ESMP for the proposed subproject, including an assessment of potential risks and mitigation measures of using security personnel.
21. Will the project activities pose emergency response situations?			If “Yes”, Prepare Emergency Preparedness and Response plan to respond to project level emergencies.
ESS5			
22. Will the subproject require the involuntary acquisition of new land ?			If “Yes”: Refer to and apply the project Resettlement Policy Framework (RPFRPF).
23. Will the subproject lead to temporary or permanent physical displacement (including people without legal claims to land)?			If “Yes”: Refer to and apply the project RPFRPF.
24. Will the subproject lead to economic displacement (such as loss of assets or livelihoods, or access to resources due to land acquisition or access restrictions)?			If “Yes”: Refer to and apply the project RPFRPF.
25. Has the site of the subproject been acquired through eminent domain in the past 5 years, in anticipation of the subproject?			If “Yes”: Refer to and apply the project RPFRPF.

26. Are there any associated facilities needed for the subproject (such as access roads or electricity transmission lines) that will require the involuntary acquisition of new land?			If “Yes”: Refer to and apply the project RPFRPF.
27. Is private land required for the subproject activity being voluntarily donated to the project? ^[3]			If “Yes”: Refer to and apply the project RPFRPF.
ESS6			
28. Does the subproject involve activities that have potential to cause any significant loss or degradation of critical habitats ^[4] whether directly or indirectly, or which would lead to adverse impacts on natural habitats ^[5] ?			If “Yes”: Exclude from project.
29. Will the project involve the conversion or degradation of non-critical natural habitats?			If “Yes”: 1. Prepare a site-specific ESMP for the proposed subproject, based on the templates provided by the ASCENT MPA. 2. Include E&S risk management measures in bidding documents.
30. Will this activity require clearance of mangroves?			If “Yes”: Exclude from project.
31. Will this activity require clearance of trees, including inland natural vegetation?			If “Yes”: 1. Prepare a site-specific ESMP for the proposed subproject, based on the template in Annex 3. 2. Exclude from project if more than x hectares of tree and vegetation cutting is expected. 2. Include E&S risk management measures in bidding documents.
32. Will there be any significant impact on any ecosystems of importance (especially those supporting rare, threatened or endangered species of flora and fauna)?			If “Yes”: Exclude from project.
ESS7			
33. Are there any Indigenous Peoples or Sub-Saharan African Historically Underserved Traditional Local Communities present in the subproject area and are likely to be affected by the proposed subproject negatively?			If “Yes”: Prepare an Indigenous Peoples Plan OR include the requirements of an Indigenous Peoples Plan in the SEP to be prepared alongside the ESMF.
ESS8			
34. Is the subproject to be located adjacent to a sensitive site (historical or archaeological or culturally significant site) or facility?			If “Yes”: Apply Chance Find Procedures in Annex 3.

35. Locate near buildings, sacred trees or objects having spiritual values to local communities (e.g. memorials, graves or stones) or require excavation near there?			If “Yes”: Apply Chance Find Procedures in Annex 3.
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3. Conclusion

Based on the result from the screening above, please list the E&S risk management instruments to be prepared / adapted and implemented:

- a)
- b)
- c)
- d)

Recommendations:

.....

Prepared by:

Signature:

Date and time:

Approved **by:**
Signature:
Date and time:,

Annex 2. Simplified Labor Management Procedures

[This is an example of LMP. It will be required for most low and moderate risk projects, but certain sections may or may not be relevant depending on your Project activities. For example, if your project does not employ community workers, such sections should be taken out].

In accordance with the requirements of World Bank's Environmental and Social Standard 2 (ESS2) on Labor and Working Conditions, a simplified LMP have been developed for the project. The LMP sets out the ways in which *[implementing agency]* will manage all project workers in relation to the associated risks and impacts. The objectives of the LMP are to: Identify the different types of project workers that are likely to be involved in the project; identify, analyze and evaluate the labor-related risks and impacts for project activities; provide procedures to meet the requirements of ESS 2 on Labor and Working Conditions, ESS 4 on Community Health and Safety, and applicable national legislation.

The Labor Management Procedures apply to all project workers, irrespective of contracts being full-time, part-time, temporary or casual. The types of workers that will be included in the project are listed below *[please include estimated number of the applicable workers expected based on the country's type of investments]*:

- **Direct workers** – *[based on the definition of direct workers in ESS2, list the types of direct workers expected to be employed by the Project].*
- **Contracted workers** – *[based on the definition of contracted workers in ESS2, list the types of contracted workers expected to be employed by the Project].*
- **Community workers** – *[if relevant, based on the definition of community workers in ESS2, list the types of community workers expected to be employed by the Project or certain Project activities which may use the labor of community workers].*
- **Primary supply workers** – *[if relevant, based on the definition of primary supply workers in ESS2, list the types of primary supply workers connected to the Project or certain Project activities which may benefit from the labor of primary supply workers].*

Labor Risks

The following potential labor risks are identified under the project: *[The risks below are examples of potential key labor risks. Depending on your Project activities, you may want to remove and add to these].*

- Violation of worker's rights: Terms and conditions of employment of workers may not be consistent with national legislation or World Bank standards.
- Violation of worker's rights: Non-discrimination and equal opportunity of workers may not be consistent with national legislation or World Bank standards.
- Use of child labor or forced labor.
- Unsafe work environment and poor working conditions.
- Workplace injuries and accidents, particularly when operating construction equipment, when working at height on erection of poles and building construction, when working with electricity, and when handling heavy equipment and materials.
- Risks from exposure to hazardous substances (dust, cement, chemicals used in construction etc.).

- Sexual exploitation and abuse/sexual harassment (SEA/SH) risks for workers.
- SEA/SH risks for community members, from workers from outside the project areas.
- Conflicts between workers and communities.
- Transmission of COVID-19 among workers or nearby communities, especially if workers are not hired locally and arrive to civil works locations from elsewhere or if COVID-19 specific precautions are not in place at work sites and worker accommodation sites.

General Applicable Procedures

]The measures below are examples of key labor risk management measures. Depending on your Project activities, and the Country Labour/Employment Laws and Regulations you may want to remove and add to these].

[Implementing agency] and contractors will apply the following guidelines when dealing with workers:

- There will be no discrimination with respect to any aspects of the employment relationship, such as: Recruitment and hiring; compensation (including wages and benefits; working conditions and terms of employment; access to training; job assignment; promotion; termination of employment or retirement; or disciplinary practices.
- Harassment, intimidation and/or exploitation will be prevented or addressed appropriately.
- Special measures of protection and assistance to remedy discrimination or selection for a particular job will not be deemed as discrimination.
- Vulnerable project workers will be provided with special protection.
- *[Implementing agency]* and contractors will provide job / employment contracts with clear terms and conditions including rights related to hours of work, wages, overtime, compensation and benefits, annual holiday and sick leave, maternity leave and family leave. Code of Conduct included in this LMP will be applicable for all project workers.
- *[Implementing agency]* will ensure compliance with the Code of Conduct including providing briefings/awareness raising on the Code.
- *[Implementing agency]* and contractors will ensure compliance with occupational health and safety procedures and COVID-19 specific procedures (see below) including that the workers are properly trained in application of the standards that are relevant to the work.
- *[Implementing agency]* and retained contractors will ensure no person under the age of 18 shall be employed. Age verification of all workers will be conducted by the contractors.
- *[Implementing agency]* will recruit contractors and labor locally to the extent that they are available.
- Workers shall be recruited voluntarily, and no worker is forced or coerced into work.
- *[Implementing agency]* will supervise and monitor to ensure compliance with the above requirements.
- All workers will be made aware of the Worker's Grievance Mechanism (see below) to raise work related grievances, including any sensitive and serious grievances on SEA/SH.

Communities and individuals who believe that they are adversely affected by a project supported by the World Bank may submit complaints to existing project-level grievance mechanisms or the Bank's Grievance Redress Service (GRS). For information on how to

submit complaints to the Bank's Grievance Redress Service (GRS), please visit <http://www.worldbank.org/GRS>.

Occupational Health and Safety (OHS) Procedures

[The measures below are examples of basic OHS management measures. Depending on your Project activities, you may want to remove and add to these].

The objective of the procedure is to achieve and maintain a healthy and safe work environment for all project workers (contracted workers and community workers) and the host community.

- On procurement for contractors, *[Implementing agency]* will avail the ESMF to the aspiring contractors so that contractors include the budgetary requirements for OHS measures in their respective bids.
- The contractor will develop and maintain an OHS management system that is consistent with the scope of work, which must include measures and procedures to address all the following topics listed below and in accordance with local legislation and GIIP (as defined by World Bank Group EHSs). The management system must be consistent with the duration of contract and this LMP.
- Contractor will conduct workplace hazards identification and adapt all applicable E&S risk mitigation measures in accordance with local legislation requirements and WBG EHSs.
- Contractor designates a responsible person to oversee OHS related issues at the project site and define OHS roles and responsibilities for task leaders and contract managers.
- Contractor should put in place processes for workers to report work situations that they believe are not safe or healthy, and to remove themselves from a work situation which they have reasonable justification to believe presents an imminent and serious danger to their life or health, without fear of retaliation.
- Contractor provides preventive and protective measures, including modification, substitution, or elimination of hazardous conditions or substances informed by assessment and plan. Whenever PPEs are required for the work, it must be provided at no cost for the workers.
- Contractor should assess workers' exposure to hazardous agents (noise, vibration, heat, cold, vapors, chemicals, airborne contaminants etc.) and adapt adequate control measures in accordance with local regulations and WB EHSs.
- Contractors provides facilities appropriate to the circumstances of the work, including access to canteens, hygiene facilities, and appropriate areas for rest. Where accommodation services are provided to project workers, policies will be put in place and implemented on the management and quality of accommodation to protect and promote the health, safety, and well-being of the project workers, and to provide access to or provision of services that accommodate their physical, social and cultural needs.
- Contractor provides for appropriate training/induction of project workers and maintenance of training records on OHS subjects.
- Contractor documents and reports on occupational incidents, diseases and incidents as per ESMF guidance.

- Contractor provides emergency prevention and preparedness and response arrangements to emergency situations including and not limited to workplace accidents, workplace illnesses, flooding, fire outbreak, disease outbreak, labor unrest and security.
- Contractor provides remedies for adverse impacts such as occupational injuries, deaths, disability and disease in accordance with local regulatory requirements and Good International Industry Practices.
- Contractor shall maintain all such record for activities related to the safety health and environmental management for inspection by [implementing agency] or the World Bank.

COVID-19 Procedures in Case of Occurrence

[The measures below are examples of basic COVID-19 risk management measures. Depending on your Project activities and country COVID protocols, you may want to remove or add to these and included as part of Emergency Response Procedure as one of the E&S Sub-Management Plans].

- Contractors should ensure that workers are hired locally to the extent possible.
- Contractors should provide training to all workers on signs and symptoms of COVID-19, how it is spread, how to protect themselves (including regular handwashing and social distancing) and what to do if they or other people have symptoms, as well as policies and procedures listed here. Training of workers should be conducted regularly, 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 following infection.
- A summary of basic guidelines and COVID-19 symptoms should be displayed at all civil works sites, with images and text in relevant ethnic languages.
- Workers who are sick or showing possible symptoms should not be allowed on work site, should be isolated and referred to local medical facilities immediately.
- Contractors should review worker accommodation arrangements to see if they are adequate and designed to reduce contact with the community.
- Contractors should review work arrangements, tasks and hours to allow social distancing.
- Contractors should provide workers with appropriate forms of personal protective equipment.
- Contractors should ensure handwashing facilities supplied with soap, disposable paper towels and closed waste bins exist at key places at the work site.
- [Implementing agency] and contractors should together implement a communication strategy with the community in relation to COVID-19 issues on the site.

Contractor Management Procedures

[The measures below are examples of basic contractor management procedures. Depending on your Project activities, you may want to remove and add to these].

The objective of this procedure is to ensure that [implementing agency] has contractual power to administer oversight and action against contractors for non-compliance with the LMP.

- *[Implementing agency]* will require the selected Contractors to prepare the Construction Environmental and Social Management Plan (C-ESMP) and submitted for approval by project management Project Implementation Unit and the World Bank. The C-ESMP must comply with all requirements of the sub-project ESMF.
- *[Implementing agency]* will make available relevant documentation to inform the contractor about requirements for effective implementation of the LMP.
- *[Implementing agency]* will include the provisions of the ESMF, LMP and other relevant documents into the specification section of the bidding documents. The contractors will be required to comply with these specifications.
- Contractor will raise worker awareness on the Code and Conduct.
- Contractor will show evidence of OHS and Emergency Preparedness procedures.
- *[Implementing agency]* will monitor contract's E&S performance during its regular site visits utilizing contractor reporting or external monitoring/supervision consultants where available. Where appropriate, *[implementing agency]* may withhold contractor's payment or apply other contractual remedies as appropriate until corrective action(s) is/are implemented on significant non-compliance with the LMP, such as failure to notify *[implementing agency]* of incidents and accidents.

Procedures for Primary Suppliers

[The measures below are examples of basic primary supplier risk management procedures. Depending on your Project activities, you may want to remove and add to these].

The objective of the procedure is to ensure that labor-related risks, especially child and forced labor as well as serious safety issues to the project from primary supply workers are managed. *[Implementing agency]* and all contractors will undertake the following measures:

- Procure supplies from legally constituted suppliers.
- To the extent feasible, conduct due diligence to ensure that primary suppliers conduct age verifications, employ workers without any force or coercion, and maintain basic OHS systems.

For the procurement process of solar panels and their components, it is recommended to include in the procurement document the following considerations:

1. The World Bank IPF Solar Procurement Bidder Declaration - Forced Labor.
2. Criteria for the environmental and social sustainability of solar panels and components, including factors such as recyclable materials, reuse potential, low toxicity, comprehensive safety data sheets, energy efficiency, product lifespan, and other relevant considerations.
3. Preference should be given to bidders who guarantee equipment replacement and maintenance for the duration of its useful life, as well as the proper handling of unused equipment. This includes cases of technical failures, transport or installation damage, misuse, or when the equipment reaches the end of its operational life.

Procedures for Community Workers

[The measures below are examples of community worker risk management procedures. Depending on your Project activities, you may want to remove and add to these].

Community workers include people *[provide a clear description of who community workers are/who these procedures will apply to]*. The objective of this procedure is to ensure the community workers offer their labor voluntarily and that they agree to the terms and conditions of employment. *[Implementing agency]* and contractors using community workers will apply the following guidelines when dealing with community workers:

- *[Implementing agency]* will develop standard working times, remuneration systems (depending on the type of work), methods of payment, timing of payment, and community worker Code of Conduct, which will apply to all project activities.
- *[Implementing agency]* and contractors should consult communities and document their community meetings where members agree to conditions of community worker recruitment. The agreement should include details on nature of work, working times, age restrictions (18 and above), remuneration amount, method of payment, timing of payment, individual signatory or representative signatory of meeting resolution
- Contractors will have the terms and conditions discussed, explained, negotiated and documented through joint community meetings, with each community employee showing consent through signing the attendance register of the meeting which made the employment resolutions.
- *[Implementing agency]* and contractors train community workers on key LMP issues, including SEA/SH, OHS, COVID-19, safe use of equipment and lifting techniques, and the relevant grievance mechanisms.

Worker Accommodation

If accommodations are provided for workers, contractors will ensure that they are provided in good hygiene standards, with fresh drinking water, clean beds, restrooms and showers, clean bedrooms, good illumination, lockers, proper ventilation, safe electrical installation, fire and lightening protection, separate cooking and eating areas. There will be separate facilities provided for men and women. The contractors will be liable to comply with "Workers' Accommodation: Processes and Standards: A guidance Note" by IFC and the EBRD.

Institutional Arrangement for Implementation of the LMP

[Implementing agency] will carry the main responsibility for the implementation and monitoring of the LMP. *[Responsible parties at the implementing agency]* will identify subproject activities, prepare subproject designs and bidding documents, as well as procure contractors. *[Responsible parties at the implementing agency]* will be responsible for contractor and site supervision, technical quality assurance, certification, and payment of works. *[Responsible parties at the implementing agency]* will ensure that labor management procedures are integrated into the specification section of the bidding documents and the procurement contracts.

Grievance Mechanism

[This section should describe how the Worker Grievance Mechanism for the Project will operate and will be specific to your Project. An example approach is provided below].

There will be a specific Workers Grievance Mechanism (Worker GM) for project workers as per the process outlined below. This considers culturally appropriate ways of handling the concerns of direct and contracted workers. Processes for documenting complaints and concerns have been specified, including time commitments to resolve issues. Workers will be informed about the relevant Worker GM upon their recruitment and their right to redress, confidentiality and protection against any reprisals from the employer will be stated in the contract.

Routine Grievances

The process for the Worker GM is as follows:

- Any worker may report their grievance in person, by phone, text message, mail or email (including anonymously if required) to the contractor as the initial focal point for information and raising grievances. For complaints that were satisfactorily resolved by the aggrieved worker or contractor within one week of receipt of complaint, the incident and resultant resolution will be logged and reported monthly to the *[responsible parties at the implementing agency]*.
- If the grievance is not resolved within one week, the contractor (or the complainant directly) will refer the issue to the *[responsible parties at the implementing agency – this may be site level, local, regional]*. The *[responsible parties at the implementing agency – this may be site level, local, regional]* will work to address and resolve the complaint and inform the worker as promptly as possible, in particular if the complaint is related to something urgent that may cause harm or exposure to the person, such as lack of PPE needed to prevent COVID-19 transmission. For non-urgent complaints, the *[responsible parties at the implementing agency – this may be site level, local, regional]* will aim to resolve complaints within 2 weeks. For complaints that were satisfactorily resolved by the *[responsible parties at the implementing agency – this may be site level, local, regional]*, the incident and resultant resolution will be logged by *[responsible parties at the implementing agency – this may be site level, local, regional]* and reported monthly to *[national level responsible parties at the implementing agency]* as part of regular reporting. Where the complaint has not been resolved, the *[responsible parties at the implementing agency – this may be site level, local, regional]* will refer to *[national level responsible parties at the implementing agency]* for further action or resolution.

The workers will preserve all rights to refer matters to relevant judicial proceedings as provided under national labor law.

At *[national level responsible parties at the implementing agency]* level, each grievance record should be allocated a unique number reflecting year, sequence and township of received complaint. Complaint records (letter, email, record of conversation) should be stored together, electronically or in hard copy. The *[the implementing agency]* will appoint a Worker GM Focal Person, who will be responsible for undertaking a monthly review of all grievances to analyze and respond to any

common issues arising. The Focal Person will also be responsible for oversight, monitoring and reporting on the Worker GM.

Serious Grievances

In case a worker experiences serious mistreatment such as harassment, intimidation, abuse, violence, discrimination or injustice at the workplace, the worker may raise the case, verbally or in writing directly to the contractor or *[implementing agency – at different levels]*. The contractor will immediately refer the case to *[implementing agency]*. The [implementing agency] will immediately investigate the case respecting confidentiality and anonymity of the worker.

Upon project effectiveness, the *[implementing agency]* will designate a Focal Person or Persons for Serious Grievances. These Focal Persons will receive training in investigating serious grievances, relevant laws and regulations, and World Bank standards including the rights of people who file a grievance. *[Implementing agency]* and the World Bank will jointly develop culturally-sensitive and locally-appropriate roles and responsibilities, and procedures.

In case of SEA/SH aspects, the [implementing entity] will be required to develop and implement a SEA/SH Action Plan based on the assessment of SEA/SH risks, with key indicators, estimated budget, timelines for implementation and monitoring indicators and reflect it in the project ESMP. The SEA/SH Action Plan shall be integrated in all contracts, including those related to E&S and incident reporting and in the C-ESMP. As part of the SEA/SH Action Plan, develop localized referral protocols, to be integrated in the project Accountability and Response Framework, in line with the [ESF Good Practice Note on Addressing SEA/SH in IPF Involving Major Civil Works](#).

In case a direct worker or civil servant has a serious grievance, the staff may directly contact verbally or in writing the Focal Person for Serious Grievances.

All complaints received will be filed and kept confidential. For statistical purposes, cases will be anonymized and bundled to avoid identification of persons involved.

Code of Conduct

[This section should include the Code of Conduct that will be used in the Project. If an international bidding process is being used with World Bank Standard Procurement Documents, a Code of Conduct is already included there and should be used as is. If a national bidding process is being used to procure contractors, a basic Code of Conduct should be included in the LMP and the bidding documents].

Annex 3. Chance Find Procedures

[If relevant for your Project, below is an example of simple Chance Find Procedures].

Cultural heritage encompasses tangible and intangible heritage which may be recognized and valued at a local, regional, national or global level. *Tangible cultural heritage*, which includes movable or immovable objects, sites, structures, groups of structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. Tangible cultural heritage may be located in urban or rural settings, and may be above or below land or under the water. *Intangible cultural heritage*, which includes practices, representations, expressions, knowledge, skills—as well as the instruments, objects, artefacts and cultural spaces associated therewith—that communities and groups recognize as part of their cultural heritage, as transmitted from generation to generation and constantly recreated by them in response to their environment, their interaction with nature and their history.

In the event that during construction, sites, resources or artifacts of cultural value are found, the following procedures for identification, protection from theft, and treatment of discovered artefacts should be followed and included in standard bidding documents. These procedures take into account requirements related to Chance Finding under national legislation including [list relevant cultural heritage legislation in country].

- Stop the construction activities in the area of chance find temporarily.
- Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a guard shall be arranged until the responsible local authorities take over. These authorities are [list the responsible authorities under national legislation].
- Notify the relevant [implementing agency field staff] and the relevant [list the responsible local authorities under national legislation] immediately. [Implementing agency field staff] will inform the [implementing agency management].
- The relevant [list the responsible local authorities under national legislation] shall promptly carry out the necessities and inform the [national level cultural heritage or archeology ministry] immediately from the date on which the information is received.
- The [national level cultural heritage or archeology ministry] would be in charge of evaluation /inspection of the significance or importance of the chance finds and advise on appropriate subsequent procedures.
- If the [national level cultural heritage or archeology ministry] determines that chance find is a non-cultural heritage chance find, the construction process can resume.
- If the [national level cultural heritage or archeology ministry] determines chance find is an isolated chance find, [national level cultural heritage or archeology ministry] would provide technical supports/advice on chance find treatment with related expenditure on the treatment provided by the entity report the chance find.

Annex 4 Guidance on E&S Risk Rating and Applicable E&S Instruments (Source: Project Task Team)

Part-A: ASCENT Tip Sheet For E&S Risk Rating

The following tip sheet should assist E&S Specialists to rate E&S risks under the ASCENT program. The tip sheet presents the likely risks of the activities being proposed under the ASCENT program.

However, E&S Specialists should make a final determination on the risk rating based on the country context and any specific details on the geographical location of the Project. This includes, but is not limited to:

- **Client Capacity:** if screening indicates that the Borrower has very limited capacity or commitment to assess and manage the project's E&S risks and impacts and/or the institutional arrangements are likely to be complex this would justify higher risk ratings.
- **Receptor Sensitivity:** such as presence of sensitive environmental areas or vulnerable social settings (e.g., working in areas where there are indigenous groups as per ESS7, E&S legacy issues, activities proposed in protected areas, critical habitats etc).
- **Context:** FCV countries, particularly where security may be an issue

Activities involving environment and social risks	Influence Area	Technical Mitigation Measures	Activity Based Risk Rating
Pillar 1: Regional and National Platforms for Energy Access			
Policies, regulations, national electrification plans and strategies, feasibility Studies	Technical assistance activities		Capacity Building: <u>Low</u> -limited potential for risks and impacts that can't be easily managed. Borrower commitment that the capacity building will be undertaken in line with ESF. Policies, regulations and national electrification plans: <u>Low to Moderate</u>, need to ensure such activities are aligned with ESF but unlikely to result in

Activities involving environment and social risks	Influence Area	Technical Mitigation Measures	Activity Based Risk Rating
			significant E&S impacts (unless exceptional circumstances). Feasibility studies and TORs preparation of E&S Instruments such as ESIA's and for feasibility studies among others to be prepared by participating governments or private sector entities using COMESA ASCENT grants: Risk Rating depends on what activities the studies will be for and associated downstream risks: • Distribution, Mini-grids etc (unless in sensitive areas) the rating is likely to be <u>Moderate</u> (see rationale under Pillar 2) • Transmission or power generation likely to be <u>Substantial</u>, significant downstream risks may occur depending on what is proposed. Specialist will need to assess based on what is being proposed.
Pillar 2: Expanding Grid Electrification			
Construction of distribution lines (66/33/11 KV) involving wooden or concrete poles. ASCENT may also support small length of transmission lines (132kV) involving towers	Line right of way for distribution line is ~27m (subject to national regulations) For 132kV transmission line, line right of way is ~52m (subject to national regulations)	Distribution line routing is highly flexible and detailed routing can avoid rights of way over structures, household assets, forests, ecologically critical areas etc. Line routing is preferentially along the roadside (sometimes in or along road reserves) and around household perimeters.	Distribution Lines: <u>Moderate risk</u>, Potential risks and impacts related to vegetation clearing, cultural heritage sites, land acquisition and resettlement. Should be possible to rate as low to moderate due to potential for re-routing around sensitive locations and the use of exclusion lists (e.g. no clearing of sensitive habitats, no physical resettlement etc).

Activities involving environment and social risks	Influence Area	Technical Mitigation Measures	Activity Based Risk Rating
		Transmission line routing with larger right of way and tower footprint has less flexibility than distribution lines but some realignment may be possible to minimize impacts on sensitive and vulnerable receptors.	Impacts on avifauna, community health and safety, and occupational health and safety (OHS) may all occur but should be <u>Moderate risk</u> UNLESS client capacity is a significant concern. Transmission Lines: <u>Substantial</u> risk as less flexibility in routing resulting in physical and potentially significant economic displacement as a result of establishment of rights-of-way /easements (depending on national regulations, extensive vegetation clearance (including potential to pass through sensitive areas / habitats). Other risks OHS, Community H&S, labor influx, SEA/SH etc., can all be significant given the scale of construction activities and potential for labor influx.
Rehabilitation/upgrade of distribution lines that involve replacing poles and re-stringing	Existing line right of way	N/A workers will take place along existing routes.	<u>Moderate risk</u> due to limited potential E&S risks and impacts related to waste management, OHS, community health and safety, environmental liabilities, and resettlement of encroachers (assets).
Construction of distribution substations (33/11kV). Grid substations (132/11kV substations) could be supported on a limited scale	Distribution substation may require 0.33-1.5 acres (33-150 decimal) of land depending on the type of equipment, layout design and national regulations. Grid substations may require up to 5 acres of land (indoor	Land purchased under willing buyer-willing seller basis avoids the resettlement issues.	Distribution Substations: <u>Moderate risk</u> , even if land acquisition is needed resulting in resettlement this is likely to be minimal. Some flexibility in siting is possible. Exclusion of sites involving physical resettlement, impacting cultural heritage or otherwise on land that is sensitive (critical habitat, sensitive areas of biodiversity value etc).

Activities involving environment and social risks	Influence Area	Technical Mitigation Measures	Activity Based Risk Rating
	type can be installed in 3 acres).		Grid Substations: <u>Moderate to Substantial</u> . Less flexibility in siting resulting in physical and potentially significant economic displacement, vegetation clearance. Other risks OHS, Community H&S, SEA/SH etc are all greater given scale of construction activities and potential contribution to influx (especially if combined with other activities e.g. line construction).
Service drop cables, meters for service connections	Usually small physical footprint and provides direct benefits to communities.		<u>Low to Moderate</u> risk as limited impacts related to OHS and Community H&S. Exclusion Criteria could also be used e.g. no physical resettlement, voluntary land donation etc to maintain low risk rating
Battery Energy Storage Systems (BESS)		Land requirement is very small. Can be located within existing substations.	<u>Moderate risk</u> as limited impacts related to OHS, Community H&S, management of hazardous materials. Exclusion Criteria could also be used e.g. no physical resettlement, impacting cultural heritage or otherwise on land that is sensitive (critical habitat, sensitive areas of biodiversity value etc).
Pillar 3: Scaling Distributed Renewable and Clean Cooking			
Solar mini grids	100KW solar mini-grid can take about 0.5 acre of land.	Mini-grids are typically owned and operated by the private sector with land bought on a willing buyer-willing seller basis. Land can also be donated by the local community/ or social or health service (getting the electricity is much more valuable to the community than the land value).	100kw Minigrid: <u>Moderate risk</u> related to vegetation clearing, cultural heritage, land acquisition and resettlement. Exclusion Criteria could also be used e.g. no physical resettlement, impacting cultural heritage or otherwise on land that is sensitive (critical habitat, sensitive areas of biodiversity value etc). Impacts on biodiversity, community health and safety, and occupational health and

Activities involving environment and social risks	Influence Area	Technical Mitigation Measures	Activity Based Risk Rating
		(ASCENT STP and ASCENT Somalia are supporting MW-scale solar parks between 5-10MW range at each site, which is different than the typical mini-grids supported under pillar 3)	safety (OHS) may all occur but should be Moderate. <u>Substantial rating</u> may occur for larger size mini-grids (5-10 MW) where it is harder to identify land without impacts to households and / or existing land uses.
Stand-alone solar systems for households and public facilities (health centers, schools etc)		Financing facility to support private sector led installation of solar home systems at individual households. Also solar home systems at institutional facilities will be supported.	<u>Low to Moderate risk</u> : Limited E&S risks and impacts related to waste management, community health and safety (during installation and guidance for operation) and OHS. Requirements will depend on how the financing is arranged, and implementation arrangements considered.
Improved cookstoves		Financing facility to support private sector led dissemination of improved cookstoves.	<u>Low risk</u> : Limited E&S risks and impacts related to waste management, community health and safety and OHS.

Part-B: Available Standardized Instruments/ Checklists to Assist Preparation

To support preparation of E&S instruments standardized instruments and checklists have been prepared as per the table below.

Activities involving environment and social risks	Type of ESF instruments
Pillar 1: Regional and National Platforms for Energy Access	
Policies, regulations, national electrification plans and strategies, feasibility Studies	• No Standardized Instruments available. • Requirement in the ESCP that TORs of TAs to be consistent with ESF requirements and WBG EHS guidelines • ESCP to include provisions for identifying potential E&S risks of downstream subprojects

Activities involving environment and social risks	Type of ESF instruments
	Screening and scoping relevant for feasibility studies to avoid/minimize potential E&S risks and impacts
Pillar 2: Expanding Grid Electrification	
Construction of distribution lines (66/33/11 KV) involving wooden or concrete poles.	Standard instruments (i.e., generic ESMPs, ESMFs and RPFs) for distribution schemes in <u>urban areas</u> if screening and scoping confirm absence of significant E&S risks and impacts. Site-specific instruments - ESIAs/ESMPs) needed for construction of distribution in <u>peri-urban</u> areas and transmission lines. - Site Specific RAPs needed for any resettlement based on RPF - BMPs needed in case of significant biodiversity impacts like construction within or close proximity to habitat or corridors considered to be high biodiversity value
ASCENT may also support small length of transmission lines (132kV) involving towers	Site Specific Instruments will be required.
Rehabilitation/upgrade of distribution lines that involve replacing poles and re-stringing	Standard instruments (i.e., generic ESMPs, ESMFs and RPFs) for rehabilitation/upgrade works in non-sensitive locations, if screening and scoping confirm absence of significant E&S risks and impacts. <u>Site specific instruments will be needed for sensitive locations or if resettlement is involved.</u>
Construction of distribution substations (33/11kV). Grid substations (132/11kV substations) could be supported on a limited scale	Site-specific instruments - ESIAs/ESMPs needed for proper siting of substations and avoidance/minimization of significant E&S risks and impacts. - RAPs needed for any resettlement – may be possible to come up with standardized templates to be customized. - BMPs needed in case of significant biodiversity impacts. <u>Standard instruments not recommended for substations</u>
Service drop cables, meters for service connections	Standard instruments (i.e., E&S checklists, general EHS guidelines, standard working protocol regarding safety) can be developed for service drop repetitive activities.

Activities involving environment and social risks	Type of ESF instruments
	<u>IF LOW, no ESF instruments required beyond those under the Borrower Framework (unless country specific reason not to rely on it).</u>
Battery Energy Storage Systems (BESS)	• Site-specific instruments (i.e., ESIAs/ESMPs) considering the capacity, location, and other technical details of the battery storage system. <u>Standard instruments not recommended for battery storage systems</u>
Pillar 3: Scaling Distributed Renewable and Clean Cooking	
Solar mini grids	• Standard instruments • Generic ESMPs can be applied for <u>smaller</u> mini-grids if screening and scoping confirm absence of significant E&S risks and impacts. • Site-specific instruments • ESIAs/ESMPs needed for proper siting of <u>larger</u> solar mini grids and avoidance/ minimization of significant E&S risks and impacts. • RAPs needed for any resettlement – may be possible to come up with standardized templates to be customized. <u>Larger Mini-Grids will need project specific approaches.</u>
Stand-alone solar systems for households and public facilities (health centers, schools etc)	• Standard instruments • E&S checklists can be developed for repetitive activities. • Guidance for FIs to pass to owners/ installer of SHS <u>IF LOW, no ESF instruments required beyond those under the Borrower Framework.</u>
Improved cookstoves	• Technical documentation and training on manufacturing and appropriate use of the cookstoves.

Additional guide notes

OESRC TA ESF advisory note ([Here](#))

ESF streamlining resources on OPCS ESF resource page ([Here](#))

WB EHS guidelines ([Here](#))

Annex 5 Map/ List of Protected Areas in the project area/ Region/ Country)

[Please insert map/s of protected areas in the Country, project area\ and/or regions, as applicable]

Annex 6 Sample Minimum E&S Provisions in Contracts

[Please adopt and customize the following E&S Conditions to the individual subprojects' contracts]

ENVIRONMENTAL AND SOCIAL SPECIFICATIONS FOR CONTRACTORS TO BE ENGAGED

INTRODUCTION

The purpose of this document is to present a comprehensive set of specifications to be followed by Contractors in the implementation of the ASCENT Sub-projects.

GENERAL

In order to prevent harm and nuisances on local communities, and to minimize the impacts on the environment during implementation of infrastructure sub-projects, the Contractor and his employees shall adhere to the mitigation measures set down in:

- Contractor's ESMP specifications, procedures, and best practices included in this document. These specifications complement any technical specifications included in the work quantities and the requirements of *[name of Country]* regulations.
- Contractor's ESMP: The Contractor is required to submit a construction ESMP (CESMP)) as part of his proposed Construction Method Statements prepared as part of his Bid document and/or during construction phase. The Contractor's CESMP shall provide details such as Contractor's commitment to environmental protection; methodology of implementing the project ESMP; environmental mitigation measures and monitoring program during different stages of the construction period, and the contractor's proposed resources for the implementation of the ESMP.

The Contractor and his employees shall adhere to the mitigation measures set down in these specifications to prevent harm and nuisances on local communities, and to minimize the impacts in construction and operation on the environment.

SUBPROJECTS CONSTRUCTION ACTIVITIES

The following information is intended solely as broad guidance to be used in conjunction with local and national regulations and complemented by the Contractor's Environmental and Social Management Plans prepared for the project. Before initiation of civil works activities, the Contractor shall present to the Employer a Plan which explicitly states how he plans to abide by these specifications. After approval of such Plan by the PIU construction activities can proceed.

Workforce and Site Installation Management Plan

Workforce

There is the potential that local labor from the subproject area could participate in the project implementation activities. Priority shall be set by the Contactor(s) and sub-Contractor(s) to hire the local labor for the works. The contractor will not engage in child labor or forced labor. Based on the Labor Management Procedures (LMP) of the project the Contractor should prepare a Labor Management Plan (LMP) for his workers. The Contractor shall take the following steps to maximize to use of the local labor:

- Announcement for the position that local labor could participate in the works to every subproject area;
- Provide equal employment opportunities for both youth, women, men and disabled;
- Provide work safety/environmental awareness training to those local labors upon their hiring

Code of Conduct

A Code of Conduct shall be established to outline the importance of appropriate behavior, drug and alcohol abuse, and compliance with relevant laws and regulations. Each employee shall be informed of the Code of Conduct and bound by it while in the employment of the Contractors. The Code of Conduct shall be available to local communities at the project information centers or other places easily accessible to the communities.

The Code of Conduct shall address the following measures (but not limited to them):

- All of the workforce shall abide by the laws and regulations of *[insert county name]*;
- Reporting of work situations that are believed not to be safe or healthy;
- Treating other people with respect, and not discriminating against specific groups such as women, people with disabilities, migrant workers or children;
- Illegal substances, weapons and firearms shall be prohibited;
- Pornographic material and gambling shall be prohibited;
- Fighting (physical or verbal) shall be prohibited;
- Creating nuisances and disturbances in or near communities shall be prohibited;
- Disrespecting local customs and traditions shall be prohibited;
- Smoking shall only be allowed in designated areas;
- Maintenance of appropriate standards of dress and personal hygiene;
- Requirement of completion of relevant training courses that will be provided related to the environmental and social aspects of the Contract, including on health and safety matters, and Sexual Exploitation, and Sexual Abuse (SEA);
- Failure to comply with the Code of Conduct, or the rules, regulations, and procedures implemented at the construction camp will result in disciplinary actions.

Prohibitions

The following activities shall be prohibited on or near the project site.

- Cutting of trees for any reason outside the approved project area;
- Hunting, fishing, wildlife capture, or plant collection;
- Buying of wild animals for food;
- Feeding of wild animals;
- Use of unapproved toxic materials, including lead-based paints, asbestos, etc.;
- Disturbance to anything with architectural or historical value;
- Building of fires;
- Use of firearms;
- Use of alcohol by workers during office hours;
- Washing cars or machinery in streams or creeks;
- Doing maintenance (change of oils and filters) of cars and equipment outside authorized areas;
- Disposing trash in unauthorized places;
- Driving in an unsafe manner in local roads;
- Having caged wild animals (especially birds) in camps;
- Working without safety equipment (including boots and helmets);
- Creating nuisances and disturbances in or near communities;
- The use of rivers and streams for washing clothes;
- Indiscriminate disposal of rubbish or wastes or rubble;
- Littering the site;
- Spillage of potential pollutants, such as petroleum products;
- Collection of firewood;
- Poaching of any description;
- Explosive and chemical fishing;
- Latrine outside the designated facilities;
- Burning of wastes and/or cleared vegetation;
- Engaging in any form of sexual harassment including unwelcome sexual advances, requests for sexual favours, and other unwanted verbal or physical conduct of a sexual nature with other Contractor's or Employer's Personnel;
- Engaging in sexual exploitation, rape or sexual abuse;
- Engaging in any form of sexual activity with individuals under the age of 18, except in case of pre-existing marriage.

Any workers, office staff, Contractor's employees, the implementing agencies employees or any other person related to the project found violating these prohibitions will be subjected to disciplinary actions that can range from a simple reprimand to termination of his/her employment depending on the seriousness of the violation.

Camp and Site Facilities

If applicable, the following general measures shall be considered for camp and site facilities:

- The construction, layout and extent of the construction site and its components, i.e. all offices, accommodation facilities, testing facilities / laboratories, batching areas, storage & stockpiling areas, workshops, vehicle washing areas and all other areas/facilities required for completion of the project shall be planned, designed and managed in such a manner that environmental and social impacts are minimized;
- The Contractor shall establish worker's camps, offices, workshops, testing facilities, stockpiling areas, staff accommodation etc. in a manner that does not adversely affect the environment.
- Observe applicable national (if any) and international standards²⁷ on how many workers are allowed in one room, what minimum space required per person, type of beds, cooking arrangements etc.
- Site offices, camps, depots, asphalt plants, mixing stations, and workshops shall be located in appropriate areas as agreed by local village and approved by the Supervision engineer/Consultant and not within 500 meters of existing residential settlements and not within 1,000 meters for asphalt plants;
- Site offices, camps, depots and particularly storage areas for fuel, lubricants, bitumen and asphalt plants shall not be located within 500 meters of watercourses, and be operated so that no pollutants enter watercourses, either overland or through groundwater seepage, especially during periods of rain. This will require lubricants to be recycled and a ditch to be constructed around the area with an approved settling pond/oil trap at the outlet;
- Areas for the storage of fuel or lubricants and for a maintenance workshop shall be fenced and have a compacted/impervious floor to prevent the escape of accidental spillage of fuel and or lubricants from the site. Surface water drainage from fenced areas shall be discharged through purpose designed and constructed oil traps. Empty fuel or oil drums may not be stored on site.
- Fuel wood shall not be used as a means of heating during the processing or preparation of any materials forming part of the Works;
- The Contractor shall restrict all his activities, materials, equipment and personnel to the area specified. Entry into restricted areas by any person, vehicle or equipment without the Supervision Engineer's/Consultant's permission can result in penalties;
- Potable water safe for human consumption shall be provided for at camps, site offices, and other working areas;
- Camp areas shall be located to allow effective natural drainage;
- A method shall be established for storing and disposing of all solid wastes generated by the labor camp. If applicable, kitchen wastes shall be disposed into soak pits;
- Solid wastes generated in the labor site shall be reused if recyclable or disposed of in land fill sites;
- If water is stored on site, drinking water and multi-purposed water storage facilities shall be clearly distinguished and demarcated.
- Sanitary arrangements, latrines and urinals shall be provided in every camp sites/work fronts.

First Aid Facilities

- Medical and first aid facilities shall be provided at each camp area. First aid box shall be provided at the construction campsite and under the charge of a responsible person who shall always be readily available 24 hours. He/she shall be adequately trained in administering first aid-treatment. Formal arrangement shall be prescribed to make motor transport available to carry injured person or person suddenly taken ill to the nearest hospital.

Sanitary Facilities

- In every camp site shall have gender segregated and adequate lavatory facilities (toilets and washing areas) shall be provided for the use of male and female workers. Toilet facilities should also be

provided with adequate supplies running water, soap, and toilet paper. Such facilities shall be conveniently accessible and shall be kept in clean and hygienic conditions:

- ✓ Where female workers are employed, there shall be at least one latrine for every 25 females or part thereof.
 - ✓ Where males are employed, there shall be at least one latrine for every 25 males or part thereof.
 - ✓ Every latrine shall be under cover and so partitioned off as to secure privacy, and shall have a proper door and fastenings.
 - ✓ Where workers of both sexes are employed, each latrine or urinal must be lockable from inside, and outside of each block there must be a notice in the language understood by the majority of the workers "For Men" or "For Women" as the case may be.
 - ✓ The latrines and urinals shall be adequately lighted and shall be maintained in a clean sanitary condition at all times and Water shall be provided in or near the latrines and urinals by storage in drums.
- A temporary septic tank system shall be installed for the disposal of domestic wastes and excreta without causing pollution of nearby watercourses. Wastewater should not be disposed into water bodies without treatment.

Eating areas

- If none is available, the Contractor shall provide adequate temporary shade within the project areas to ensure that site personnel do not move off site to eat;
- The Contractor shall provide adequate refuse bins at all eating areas to the satisfaction of the Supervision engineer/Consultant;
- If deemed necessary by the Supervision engineer/Consultant, the Contractor shall demarcate designated eating areas.

Security

Some security measures shall be put into place to ensure the safe and secure running of the site facilities and its residents. Some of these security measures include:

- Adequate, day-time night-time lighting shall be provided;
- A perimeter security fence at least 2m in height constructed from appropriate materials;
- Provision and installation in all buildings of firefighting equipment and portable fires extinguishers.

Impact Management Plan

Erosion and Sedimentation

In order to minimize negative impacts in the project area, the following activities shall be carried out by the Contractor:

- The Contractor shall implement erosion and sedimentation control measures to the satisfaction of the PIU and Supervision engineer/Consultant;
- The Contractor shall protect all areas susceptible to erosion by installing necessary temporary and permanent drainage works as soon as possible and by taking any other measures necessary to prevent storm water from concentrating in streams and scouring slopes, banks, etc.
- Areas of the site not disturbed by project activities shall be maintained in their existing conditions;
- Conserve topsoil with its leaf litter and organic matter, and reapply this material to local disturbed areas to promote the growth of local native vegetation;
- Apply local, native grass seed and mulch to barren erosive soil areas or closed construction surfaces;
- Apply erosion control measures before the rainy season begins preferably immediately following project works;
- Install sediment control structures where needed to slow or redirect runoff and trap sediment until vegetation is established. Sediment control structures include windrows of logging slash, rock berms, sediment catchment basins, straw bales, brush fences, and silt;
- In areas where project activities have been completed and where no further disturbance would take place, re-vegetation should commence as soon as possible;

- Spray water as needed on dirt roads, cuts, fill material and stockpiled soil to reduce wind-induced erosion;
- Traffic and movement over stabilized areas shall be restricted and controlled, and damage to stabilized areas shall be repaired and maintained to the satisfaction of the Supervision engineer/Consultant.

Earthworks, Cut and Fill Slopes

All earthworks shall be properly controlled, especially during the rainy season;

- The Contractor shall maintain stable cut and fill slopes at all times and cause the least possible disturbance to areas outside the prescribed limits of the works;
- In order to protect any cut or fill slopes from erosion, in accordance with the drawings, cut off drains shall be provided at the top and bottom of slopes and be planted with grass or other plant cover. Cut off drains should be provided above high cuts to minimize water runoff and slope erosion;
- Any excavated cut or unsuitable material shall be disposed of in designated disposal areas as agreed to by the Supervision engineer/Consultant;
- Disposal sites should not be located where they can cause future slides, interfere with agricultural land or any other properties, or cause soil from the dump to be washed into any watercourse. Drains may need to be dug within and around the tips, as directed by the Engineer

Stockpiles and Borrow Pits

In general terms, the Contractor shall:

- Identify and demarcate locations for stockpiles and borrow pits, ensuring that they are 15 meters away from critical areas such as steep slopes, erosion-prone soils, and areas that drain directly into sensitive water bodies. Location of borrow pits shall be approved by the Supervision engineer/Consultant.
- Limit extraction of material to approved and demarcated borrow pits.
- Stockpile topsoil when first opening the borrow pit. After all usable borrow has been removed, the previously stockpiled topsoil should be spread back over the borrow area and graded to a smooth, uniform surface, sloped to drain. On steep slopes, benches or terraces may have to be specified to help control erosion.
- Excess overburden should be stabilized and re-vegetated. Where appropriate, organic debris and overburden should be spread over the disturbed site to promote re-vegetation. Natural re-vegetation is preferred to the extent practicable.
- Existing drainage channels in areas affected by the operation should be kept free of overburden.
- The Contractor shall ensure that all borrow pits used are left in a trim and tidy condition with stable side slopes, re-establishment of vegetation, restoration of natural water courses, avoidance of flooding of the excavated areas wherever possible so no stagnant water bodies are created which could breed mosquitoes.
- When the borrow pits cannot be refilled or reasonably drained, the Contractor shall consult with the local community to determine their preference for reuse such as fish farming or other community purposes;
- No foreign material generated/ deposited during construction shall remain on site. Areas affected by stockpiling shall be reinstated to the satisfaction of the Supervision Engineer/Consultant.

Disposal of Debris

The Contractor shall carry out the following activities:

- Establish and enforce daily site clean-up procedures, including maintenance of adequate disposal facilities for debris;
- Debris generated due to the dismantling of existing structures shall be suitably reused, to the extent feasible, in the proposed program activities (e.g. as fill materials for embankments). The disposal of remaining debris shall be carried out only at sites identified and approved by the Supervision Engineer/Consultant. The contractor should ensure that these sites (a) are not located within designated forest areas; (b) do not impact natural drainage courses; and (c) do not impact

endangered/rare flora. Under no circumstances shall the contractor dispose of any material in environmentally sensitive areas.

- In the event any debris or silt from the sites is deposited on adjacent land, the Contractor shall immediately remove such debris or silt and restore the affected area to its original state to the satisfaction of the Supervision Engineer/Consultant.
- Water courses shall be cleared of debris and drains and culverts checked for clear flow paths;
- Include provisions for incorporating the most appropriate stabilization techniques for each disposal site and determine that the selected spoil disposal sites do not cause unwanted surface drainage;
- Assess risk of any potential impact regarding leaching of spoil material on surface water;
- Once the job is completed, all project -generated debris should be removed from the site.

Demolition of Existing Infrastructures

The following measures shall be implemented in order to protect workers and the public from falling debris and flying objects:

- Set aside a designated and restricted waste drop or discharge zones, and/or a chute for safe movement of wastes from upper to lower levels;
- Conduct sawing, cutting, grinding, sanding, chipping or chiseling with proper guards and anchoring as applicable;
- Maintain clear traffic ways to avoid driving of heavy equipment over loose scrap;
- Provide all workers with safety glasses with side shields, face shields, hard hats, and safety shoes.

Dust Control

- The Contractor shall ensure that the generation of dust is minimized and shall implement a dust control program to maintain a safe working environment, minimize nuisance for surrounding residential areas/dwellings and protect damage to natural vegetation, crops, etc.;
- Construction vehicles shall comply with speed limits and haul distances shall be minimized;
- Material loads shall be suitably covered and secured during transportation;
- Exposed soil and material stockpiles shall be protected against wind erosion and the location of stockpiles shall take into consideration the prevailing wind directions and locations of sensitive receptors;
- The Contractor shall implement dust suppression measures (e.g. water spray vehicles, covering of material stockpiles, etc.) if and when required.

Noise Control

The Contractor shall be responsible for compliance with the relevant legislation with respect to noise;

- The Contractor shall try to keep noise generating activities to a minimum;
- The Contractor shall restrict all operations that result in undue noise disturbance to local communities and/or dwellings (e.g. blasting, crushing, etc.) to daylight hours on weekdays or as agreed with the Supervision Engineer/Consultant;
- The Contractor shall warn any local communities and/or residents that could be disturbed by noise generating activities such as blasting well in advance and shall keep such activities to a minimum;
- In sensitive areas (including residential neighbourhoods, hospitals, rest homes, schools, etc.) more strict measures may need to be implemented to prevent undesirable noise levels;
- To the extent possible, night time operations shall be kept to a minimum and banned near sensitive receptors;
- No blasting shall be allowed during night time unless prior approval is obtained from the government authority and the Supervision Engineer/Consultant;
- The Contractor shall maintain the construction equipment in its best operating conditions and lowest noise levels possible.

Vegetation and site restoration

- Re-vegetation shall start at the earliest opportunity. Appropriate local native species of vegetation shall be selected for the compensatory planting and restoration of the natural landforms;

- Restoration of cleared areas such as borrow pits no longer in use, disposal areas, site facilities, stockpiles areas, working platforms and any areas temporarily occupied during construction of the project works shall be accomplished using landscaping, adequate drainage and re-vegetation;
- Spoil heaps and excavated slopes shall be re-profiled to stable batters, and grassed to prevent erosion;
- Restoration and re-vegetation shall be carried out timely for the exposed slopes/soils and finished areas shall be reinstated in order to achieve the stability of slopes and maintain soil integrity;
- All affected areas shall be landscaped and any necessary remedial works shall be undertaken without delay, including grassing and reforestation;
- Soil contaminated with chemicals or hazardous substances shall be removed and transported and buried in waste disposal areas.

Waste Management Plan

Waste management on site shall be strictly controlled and monitored. Only approved waste disposal methods shall be allowed. The Contractor shall ensure that all site personnel are instructed in the proper disposal of all waste.

Solid waste

- The Contractor shall submit a method statement detailing a solid waste control system (storage, provision of bins, site clean-up schedule, bin clean-out schedule, etc.) to the Supervision Engineer/Consultant for approval.
- The Contractor shall ensure that all facilities are maintained in a neat and tidy condition and the site shall be kept free of litter;
- Measures shall be taken to reduce the potential for litter and negligent behaviour with regard to the disposal of all refuse. At all places of work, the Contractor shall provide litter bins, containers and refuse collection facilities for later disposal;
- Solid waste may be temporarily stored on site in a designated area approved by the Supervision Engineer/Consultant prior to collection and disposal through a licensed waste collector;
- Waste storage containers shall be covered, tip-proof, weatherproof and scavenger proof. The waste storage area shall be fenced off to prevent wind-blown litter;
- No burning, on-site burying or dumping of waste shall occur;
- All solid waste shall be disposed of offsite at an approved landfill site. The Contractor shall supply the Supervision Engineer/Consultant with certificates of disposal;
- Random disposal of solid waste in scenery areas shall be strictly prohibited;
- During project activities, inert construction materials / excavated soil shall be reused on site as much as possible and minimize the volume requiring disposal;
- The Contractor shall identify and demarcate disposal areas clearly indicating the specific materials that can be deposited in each;
- Recyclable materials such as wooden plates for trench works, steel, scaffolding material, site holding, packaging material, etc. shall be collected and separated on-site from other waste sources. Collected recyclable material shall be re-used for other projects or sold to waste collector for recycling.

Domestic waste

- The Contractor shall provide refuse bins, all with lids, for all buildings. Refuse shall be collected and removed from all facilities at least twice per week. Domestic waste shall be transported to the approved refuse disposal site in covered containers or trucks.

Wastewater

- The Contractor shall submit a method statement to the Supervision Engineer/Consultant detailing how wastewater would be collected from all wastewater generating areas, as well as storage and disposal methods. If the Contractor intends to carry out any on-site wastewater treatment, this should also be included;
- Water from kitchens, showers, laboratories, sinks etc. shall be discharged into a conservancy tank for removal from the site;

- Runoff from fuel depots / workshops / machinery washing areas and concrete batching areas shall be collected into a conservancy tank and disposed off at a site approved by the Supervision Engineer/Consultant;
- Domestic sewage from site office and toilets shall either be collected by a licensed waste collector or treated by on-site treatment facilities. Discharge of treated wastewater must comply with the discharge limit according to the legislation;
- Chemical toilets can be provided on site for construction workers. Domestic sewage collected from the site office and chemical toilets shall be cleaned up on regular basis. Only licensed waste collectors shall be employed for this disposal;
- At completion of project works, soak pits and septic tanks shall be covered and effectively sealed off.

Hazardous and Chemical waste

- All hazardous and chemical waste (including bitumen, etc.) shall be disposed of at an approved hazardous landfill site and in accordance with local legislative requirements. The Contractor shall provide disposal certificates to the Supervision Engineer/Consultant;
- The removal of asbestos-containing materials or other toxic substances shall be performed and disposed of by specially trained workers;
- Used oil and grease shall be removed from site and sold to an approved used oil recycling company;
- Used oil, lubricants, cleaning materials, etc. from the maintenance of vehicles and machinery shall be collected in holding tanks and sent back to the supplier or removed from site by a specialist oil recycling company for disposal at an approved hazardous waste site.
- Inform the Supervision Engineer/Consultant of any accidental spill or incident;
- Initiate a remedial action following any spill or incident;
- Provide a report explaining the reasons for the spill or incident, remedial action taken, consequences/damage from the spill, and proposed corrective actions.

Materials Handling, Use and Storage Management Plan

Transportation

- The Contractor shall ensure that all suppliers and their delivery drivers are aware of procedures and restrictions (e.g. restricted areas);
- Material shall be appropriately secured to ensure safe passage between destinations during transportation;
- Loads shall have appropriate cover to prevent them spilling from the vehicle during transit;
- The Contractor shall be responsible for any clean-up resulting from the failure by his employees or suppliers to properly secure transported materials.
- Transport vehicle e.g. dumper, book truck and any equipment as may be required for offloading heavy objects should have safety equipment like cones, first aid kit, fire extinguisher, etc.

Hazardous and Chemical Substances

The Contractor shall provide a method statement detailing the hazardous substances/material that are to be used during construction, as well as the storage, handling, and disposal procedures for each substance / material and emergency procedures in the event of misuse or spillage that might negatively affect the environment.

In general terms, the following activities shall be carried out:

- All hazardous material/substances (e.g. petrochemicals, oils, etc.) shall be stored on site only under controlled conditions;
- All hazardous material/substances shall be stored in a secured, appointed area that is fenced and has restricted entry. All storage shall take place using suitable containers to the approval of the Supervision Engineer/Consultant;
- Hazard signs indicating the nature of the stored materials shall be displayed on the storage facility or containment structure;
- Fuel shall be stored in a steel tank supplied and maintained by the fuel suppliers. The tank shall be located in a secure, demarcated area and should be contained by dykes than can hold 100% of the volume of the fuel stored.

Ecological Considerations

Protection of Natural Vegetation

- The Contractor shall be responsible for informing all employees about the need to prevent any harmful effects on natural vegetation on or around the work sites as a result of their activities;
- Clearing of natural vegetation shall be kept to a minimum;
- The removal, damage and disturbance of natural vegetation without the written approval of the Supervision Engineer/Consultant are prohibited;
- The use of herbicides shall be approved by the Supervision Engineer/Consultant;
- Regularly check the work site boundaries to ensure that they are not exceeded and that no damage occurs to surrounding areas;
- Prohibit and prevent open fires during project works and provide temporary firefighting equipment in the work areas, particularly close to forest areas;
- Some trees might be of value for the communities and may not be cut, disturbed, damaged, destroyed and their products may not be possessed, collected, removed, transported, exported, donated, purchased or sold except under license granted a delegated authority.

Safety during Construction

Construction Site Safety

The Contractor's responsibilities include the protection of every person and nearby property from construction accidents. The Contractor shall be responsible for complying with all national and local safety requirements and any other measures necessary to avoid accidents, including the following:

- Provide personal protective equipment and clothing (goggles, gloves, respirators, dust masks, hard hats, steeltoed boots, etc.,) for construction workers and enforce their use;
- During heavy rains or emergencies of any kind, suspend all work;
- Brace electrical and mechanical equipment to withstand seismic events during the construction;
- Present details regarding maximum permissible vehicular speed on each section of road;
- Establish safe sight distance in both construction areas and construction camp sites;
- Place signs around the work areas to facilitate traffic movement, provide directions to various components of the works, and provide safety advice and warning. All signs shall be in English and local language and be constructed according to *[name the Country]* specifications.

Measures on blasting (if applicable)

- The Contractor shall take necessary precautions to prevent damage to special features and the general environment;
- Environmental damage caused by blasting/drilling shall be repaired at the Contractor's expense to the satisfaction of the Supervision Engineer/Consultant;
- The Contractor shall notify any occupants / owners of surrounding land at least one week prior to blasting and shall address any concerns that they may have to the satisfaction of the Supervision Engineer/Consultant;
- For the transportation, storage, process, package on site, connect, blasting and the disposal of the blasting, the procedure shall be in accordance with the relevant *[name of project country]* National Regulations.

Fire Control

- The Contractor shall submit a fire control and fire emergency method statement to the Supervision Engineer/Consultant for approval. The method statement shall detail the procedures to be followed in the event of fire;
- The contractor shall take all reasonable steps to avoid increasing the risk of fire through activities on site;
- The contractor shall ensure that basic fire-fighting equipment is available at all camp areas and facilities;
- The contractor shall appoint a fire officer who shall be responsible for ensuring immediate and appropriate action in the event of a fire;
- The contractor shall ensure that all site personnel are aware of the procedure to be followed in the event of a fire;
- Any work that requires the use of fire may only take place at a designated area approved by the Supervision Engineer/Consultant and must be supervised at all times. Fire-fighting equipment shall be available.

Traffic Management

- Estimate maximum concentration of traffic (number of vehicles/hour);
- Use selected routes to the project site, as agreed with the Supervision Engineer/Consultant, and appropriately sized vehicles suitable to the class of roads in the area, and restrict loads to prevent damage to local roads and bridges used for transportation purposes;
- Maintain adequate traffic control measures throughout the duration of the Contract and such measures shall be subject to prior approval of the Supervision Engineer/Consultant;
- Carefully and clearly mark pedestrian-safe access routes;
- If school children are in the vicinity, include traffic safety personnel to direct traffic during school hours;
- Maintain a supply for traffic signs (including paint, diesel, sign material, etc.), road marking, and guard rails to maintain pedestrian safety during construction.

Other Requirements

Contractors will be required to include in their Health and Safety Management Plans (HSMs) safety measures in different activities including the following:

- Excavations • Working from height • Working in confined spaces • Housekeeping • Other general work (hot work, power tool safety, electrical work, tagging system, etc.) • Permit-to-work system.

Protection of Heritage and Cultural Property

- If any archaeological or paleontological artefact or remains are uncovered during project excavations/ earth works activities, work in the vicinity of the find shall cease immediately. The Contractor shall immediately notify the Supervision Engineer/Consultant who shall contact the Provincial Culture Department;
- The Contractor will be required to abide by the specifications as set out by the heritage specialist appointed to investigate the find;
- The Contractor may not, without a permit issued by the relevant heritage resources authority, destroy, damage, excavate, alter, deface or otherwise disturb archaeological material.

Grievance Redress Mechanism (GRM)

The contractor shall develop a GRM for workers and community members to express concerns about the civil works. The GRM system should be easily accessible. For GBV cases, the GRM shall be designed in a way to keep strict confidentiality. All workers shall be trained about the GRM process and the contractor shall prove that each employee has been inducted with signatures to show that they have been inducted on the procedure. If the dispute is not resolved at the workplace, other resolutions mechanisms provided for in the labor legislations can be utilized.

All complaints received shall be recorded. The supervision engineer/consultant and PIU should be informed about the complaints when they are received. A mechanism shall be put in place to resolve the complaints swiftly. For complaints by community members if a resolution is not possible, the complaint shall be dealt with through the Project GRM system.

Community Relations

To enhance community relations the Contractor shall:

- Inform the local communities about construction and work schedules, interruption of services, traffic detour routes.
- Limit construction activities at night. When necessary ensure that night work is carefully scheduled and the community is properly informed so they can take necessary measures.
- Inform local community as early as possible and repeat at least one day in advance of any service interruption (including water, electricity, telephone, and bus routes) the community must be advised through postings at the project site, at bus stops, and in affected homes/businesses.
- All community infrastructures such as roads, bridges, water supply systems, micro-power generators, boat landings, irrigation systems, etc. affected during construction must be restored to the satisfaction of the communities and approved by the Supervision Engineer.
- All local roads used or by-passed by the Contractor will need to be rehabilitated to their original conditions. • Establish and maintain a unit to receive, process and reach resolution on community complaints arising from construction activities (Grievance Redress Mechanism). Records of such complaints and their resolution must be kept and be available for review by the Supervision Engineer/Consultant and PIU.

Health Services, HIV/AIDS and COVID-19 Education

The Contractor shall provide basic first aid services to the workers as well as emergency facilities for work related accidents including medical equipment suitable for treatment likely to be required prior to transportation to hospital. The Contractor shall be responsible for implementing a program for the detection screening of sexually transmitted diseases, especially with regard to HIV/AIDS, amongst laborers. The Contractor shall appoint an accident prevention officer at the Site, responsible for maintaining safety and protection against accidents. This person shall be qualified for this responsibility and shall have the authority to issue instructions and take protective measures to prevent accidents. Throughout the execution of the Works, the Contractor shall provide whatever is required by this person to exercise this responsibility and authority. The Contractor shall send, to the Supervision Engineer/Consultant details of any accident as soon as practicable after its occurrence. The Contractor shall maintain records and make reports concerning health, safety and welfare of persons, and damage to property, as the Engineer may reasonably require. The Contractor shall conduct an HIV-AIDS awareness program via an approved service provider, and shall undertake such other measures as are specified in this Contract to reduce the risk of the transfer of the HIV virus between and among the Contractor's Personnel and the local community, to promote early diagnosis and to assist affected individuals. The Contractor shall conduct information and education campaigns addressed to all the site staff and labor (including all the Contractor's employees, all Sub-Contractors and Consultants' employees, and all truck drivers and crew making deliveries to site for construction activities) and to the immediate local communities, concerning the risks, dangers and impact, and appropriate avoidance behaviour with respect to Sexually Transmitted Diseases (STD)-or Sexually Transmitted Infections. The Contractor shall also provide awareness on COVID-19 as well as putting in place necessary precautionary and emergency facilities for COVID-19 as per the national guidelines.

Environmental Emergency Procedures

The possibility exists for environmental emergencies of an unforeseen nature to occur during the course of the construction and operational phases of the project;

- By definition, the nature of such emergencies cannot be known. Therefore, the Contractor shall respond on a case-by-case basis to such emergencies and shall initiate event-specific measures in terms of notifications and reactions;
- The Contractor shall prepare a report on the incident detailing the accident, clean-up actions taken, any pollution problems and suggested measures to prevent similar accidents from happening again in future. The incident report shall then be submitted to the Supervision Engineer/Consultant and PIU for review and records.

Environmental Training and Awareness

The Contractor should ensure that all concerned staff are aware of the relevant environmental requirements as stipulated in local environmental legislation and the Contract specifications. The Contractor is responsible for providing appropriate training to all staff. This should be tailored to suit their level of responsibility for environmental matters. The Contractor should also ensure that all site staff members are aware of the emergency response procedures. All staff should receive environmental induction training and managerial staff should receive additional training. The training materials should be reviewed by the Supervision Engineer/Consultant. Additional refresher training may be provided and this should be scheduled following periodic internal review of requirements for the Project activity. Records should be maintained for staff environmental training. Records should be kept on site where possible for each project activity for easy access during site audits or enquiries. Environmental training records (e.g. attendance records for environmental awareness training, topics covered) should be kept.

Remedial Actions

Remedial actions which cannot be effectively carried out during construction should be carried out on completion of the works (and before issuance of the acceptance of completion of works):

- All affected areas should be landscaped and any necessary remedial works should be undertaken without delay, including grassing and reforestation;
- Water courses should be cleared of debris and drains and culverts checked for clear flow paths; and
- All sites should be cleaned of debris and all excess materials properly disposed;
- Borrow pits should be restored prior to formal contract closure.

Annex 7: ESIA Baseline Studies Methodology

STEP 2: Establishing E&S Baseline

This section provides methodology and guidance on how environmental and social baseline studies shall be undertaken in the future Environmental and Social Impact Assessments (ESIAs). It shall include information on the area in which subprojects are expected to be implemented. Projects may be implemented nationwide or cover specific regions or geographical areas. The baseline description shall be based on current information, and it should assess the scope of the area to be studied and describe relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences.

Where possible, the context in which the project is being implemented shall be described as part of the baseline studies. This section shall provide information on disadvantaged and vulnerable groups³, if any, who may be affected by the project, either because they are disproportionately impacted, or because they are restricted in accessing the benefits of the project.

The E&S baseline study methodology should take into consideration the requirements of the Country's Environmental and Social Law/s, Regulations and Guidelines, as applicable.

The baseline studies will inform the E&S Categorization, Assessment and Development of E&S Mitigation and Monitoring Plans, described in Step-3 below. The following set of activities shall be undertaken as part of the Baseline Studies:

I: Determining Project Area of Influence (Impact Zone)

In order to guide the extent of ESIA and Baseline studies, the subproject's area of influence should be determined to define the study boundaries. To assess and analyze the impacts, the project boundaries and impact zones should be identified. Impact zones / areas should clearly be determined during project identification. The zones will have to be reflected by the TOR for the ESIA, especially baseline analysis and impacts assessment. The area of influence should be zoned into 3 impact zones to guide the ESIA studies and associated E&S baseline studies.

a). Primary (Direct) Impact Zone/ area of influence: This is an immediate area of impacts (footprint) where the construction works will concentrate. This includes mainly the subproject installation/host site/area and its corridor (as applicable).

b). Secondary (Indirect) Impact Zone/ Area: This covers the areas adjacent to the project area and where changes in the E&S conditions may be experienced due to the project activities during the construction and operation phases. The off-site locations are mainly outside the main subproject host-site boundaries, which may be linked to sourcing materials such as gravel, aggregates, wood, water, etc. The neighbouring residents and economic activities surrounding the project sites are also considered to be part of the secondary impact area. This may cover up to a 2km radius from the project centre. Potential for cumulative impacts needs to be considered both in "direct" and "indirect" areas of influence.

c). Tertiary Impact Zone/ Area: This includes the area beyond 2 km and covers the wider geographical areas within or outside the project administrative boundaries, region, or country. This usually includes induced/perceived impacts. Perceived impacts and associated potential for reputational risk need to be considered as appropriate but should not dictate the boundaries of ESIA.

³ Refer to [World Bank Directive: Addressing Risks and Impacts on Disadvantaged or Vulnerable Individuals or Groups](#)

Given the anticipated low-moderate risk impact project activities, this impact zone is expected not to apply to most of the subprojects to be implemented.

II: Key E&S Aspects to be Considered when undertaking Baseline Studies for Future ESIAs

The following key E&S aspects, among others, should be considered when undertaking baseline studies for future ESIAs of ASCENT subprojects: physical environment, natural environment, and socio-economic environment. The baseline studies should tell us their current status, trends for elements of the project area which are important for human/environmental health and could be affected by the project. Significance of those elements and, where possible, limits of acceptable change.

The following E&S baseline aspects should be assessed:

(a) Location and Size

This should provide a description of the geographical location of the subproject/s including GPS coordinates and a Map. This can be obtained from existing Secondary data such as Feasibility studies or from field surveys, from country planning and strategic reports, etc.

(b) Physical environment, e.g.

- Landscape/Topography
- Generation of Waste and Management
- Electric and magnetic fields
- Country Community and Occupational health and safety practices in the Energy Sector

(c) Natural environment/ Biological Env, e.g.:

- Forests - National Parks/Forest Reserves at a Glance
- Protected Areas in proximity, including wetlands
- Avifauna collisions and electrocutions, identifying existing bird migratory routes, and likely existence of bird populations in the direct impact zone
- Baseline data on soil, water, air, noise levels and biological resources

(d) Socio-economic environment:, e.g.:

- Proximity/nature of a settled areas
- Land-use and Right of Way
- Population/demographic information
- Ethnic, Disadvantaged or vulnerable groups
- Presence/absence/significance of physical cultural assets Etc.

III: Methodology for Conducting Baseline Studies

The E&S baseline studies of the subprojects ESIAs to be prepared during the implementation stage, shall be undertaken using a combination of methods for data collection and comprise *desk reviews of secondary information and field-based surveys*.

(a) Desk Reviews:

The desk work will involve reviewing relevant documents from various sources, reports, maps, and drawings regarding the proposed individual subprojects. The information from existing documents will aid in supplementing the primary data from the fieldwork.

At the national level, review relevant existing laws, policies, regulations frameworks and guidelines about environmental and social risk management, and policy, programs and projects associated with the Energy sector. This should provide preliminary information on key baseline aspects of physical, biological, and socio-economic, whose extent and status are confirmed through field-based studies.

(b) Approach to field data collection

The study teams will visit subproject/s sites to collect information on location, status of infrastructure, and views and concerns of local people. Special attention should be paid to key stakeholders (administrative units' officials, e.g. local/regional governments) and local people that may be involved or affected by the project. The exercise also helped in identifying the capacity gaps and needs for the implementation of, and ensuring compliance with, environmental and social aspects of the project. During the field data collection, the team should carry out an investigation within the project site and surrounding areas on biophysical aspects to describe the vegetation, fauna and biodiversity within and around project intervention area.

The Baseline studies should be undertaken using the following methodology:

Surveys:

Undertake field surveys and consult with administrative units, relevant government and non-government institutions including visiting different known sites to be covered by the subproject/s and consulting with people within centres that do not have electricity and document the findings.

Disadvantaged and vulnerable groups who may be more likely to be adversely affected by the project impacts and/or more limited than others in their ability to take advantage of a project's benefits should be identified. "Disadvantaged and vulnerable groups" refer to persons who may be disproportionately impacted or further disadvantaged by the project(s) compared with other groups due to their vulnerable status (for example, due to age, gender identity, sexual orientation, ethnicity, disability, economic disadvantages, etc.) and may require special engagement efforts to ensure their equal representation in the consultation and decision-making process associated with the project.

Annex 8: Proposed Outline of ESHS Project Implementation Closure Report

1. Cover Page
2. Abbreviations and Acronyms
3. Project Background Info and Introduction, Project Components, PDO, including baseline situation of sanitation before and after (with selected pictorial presentation).
4. Applicable E&S Standards and Instruments Prepared by the Client and those prepared by the Contractors, including the timing. Please indicate the challenges encountered and how these were overcome.
5. Key factors that affected implementation and outcome (Key factors during preparation, and Key Factors during implementation).
6. ESHS Performance, Compliance Issues and Risks to development outcomes
 - a. ESHS Staffing – right from start up to the end of implementation. Turnover, if any, with reasons and corrective measures
 - b. Statutory permits obtained, summary of compliance to permit conditions (tabulate each), notices of non-compliance issued by the regulators.
 - c. Summary of Serious E&S Incidents, Corrective Actions implemented, Total number of incidents recorded, resolved and Outstanding (if any, with recommended way-forward).
 - d. Summary of Major Workers' Grievances, Total number recorded, resolved and Outstanding (if any, with recommended way-forward).
 - e. Summary of Major Community Grievances, Total number recorded, resolved and Outstanding (if any, with recommended way-forward).
 - f. E&S due diligence of procurement of construction materials (if applicable).
 - g. O&M implementation arrangements during the operation phase, including O&M-ESMP.
7. Lessons Learned and Recommendations - Based on all of the above, list key lessons that can be drawn from the preparation and implementation experience and which might benefit other similar projects. Start by discussing key factors during preparation and implementation that contributed to the project's achievements or non-achievements.
8. Appendix – Supporting Documents

Annex 9: Terms of Reference (TORs) for Environmental and Social Impact Assessments of Transmission and Distribution Lines in Urban and Peri-Urban Areas

Template, April 2025

Terms of Reference (TORs) for Environmental and Social Impact Assessments of Transmission and Distribution Lines in Urban and Peri-Urban Areas under Accelerating Sustainable and Clean Energy Access Transformation (ASCENT)

1. Introduction and Context

The Accelerating Sustainable and Clean Energy Access Transformation (ASCENT) aims to accelerate access to sustainable and clean energy in Eastern and Southern Africa (AFE). The project will establish an ASCENT Regional Acceleration Platform, managed by the Common Market for Eastern and Southern Africa (COMESA), which will drive implementation of Pillar 1 from the regional level, supported by additional actions and activities in participating countries. The Acceleration Platform will support both Phase 1 countries (for implementation of their projects), and to assist those countries still to enter the Multi Programmatic Approach (MPA) to prepare. In addition, the Platform will provide support to Distributed Renewable Energy (DRE) and clean cooking companies active in the region to accelerate their efforts and mobilize capital. Specifically, the Acceleration Platform will (i) support AFE countries in their adoption of digital platforms and tools facilitating management, financing, verification and monitoring of their energy access efforts, (ii) enact a digital monitoring, reporting and verification (D-MRV) platform at the regional level allowing aggregation from countries and the private sector and enabling the generation of carbon revenues and/or other climate/impact-related result-based financing; (iii) establish a Project Preparation Facility providing market intelligence and technical assistance both to Government agencies and the private sector, including for identification and enabling of cross-border electrification solutions; (iv) support planning processes and adoption of best practices and harmonization of policy and regulatory frameworks; (v) deliver energy access data and statistics, facilitating knowledge exchange and driving skill development, and (vi) provide support for monitoring and evaluation of the overall ASCENT program.

2. Background Information

The objective of the ASCENT MPA in [insert name of formal sovereign borrower name] is [Project Development Objective, from Project Concept Note (PCN), Project Appraisal Document (PAD), or other available documentation].

[Project description, including identification of components, from PCN, PAD or elsewhere]

[The section will include a brief description of the major components of the proposed project, a statement of the need for it and the objectives it is intended to meet, the implementing agency, a brief history of the project (including alternatives considered), its current status and timetable, and the identities of any associated projects. If there are other projects in progress or planned within the region which may compete for the same resources, identify them within this section. If available, please include the Map of the project area, or the Line route].

3. Objectives

[This section will summarize the general scope of the environmental assessment and discuss its timing in relation to other aspects of project preparation, design and execution. This section will identify constraints, if any, regarding the adequacy of existing environmental assessment baseline data and needs to phase additional data collection (e.g. over several seasons) and assessment efforts so as not to hinder the rest of the project development schedule. Please complete this Section is summarised above].

The National Environmental and Social requirements [specify the Country Environmental Act/Law and EIA/ESIA Regulations] and the World Bank Environmental and Social Framework require development projects supported through Investment Project Financing to be subjected to ESIA to identify E&S risks and impacts which may be associated with such projects. These Terms of Reference (ToR) are applicable to development sub projects involving transmission and distribution lines of the Accelerating Sustainable and Clean Energy Access Transformation (ASCENT) Program. The ToR outline the aspects of an Environmental and Social Impact Assessment (ESIA) which when thoroughly addressed will provide a comprehensive evaluation of the sites, in terms of predicted environmental and social impacts, needed mitigation strategies, potentially viable alternatives to the development proposed and all related legislation.

The main objective of undertaking Environmental and Social Impact Assessment (ESIA) is:

- (a) to ensure that adverse impacts arising from the proposed project are identified and either eliminated or minimized to acceptable levels;
- (b) to address environmental and social risks and impacts that might arise from *mobilization, construction, operation and decommission* activities and provide mitigation measures to prevent or minimize adverse impacts. Ultimately, the impacts mitigation recommendations will be used in the finalization of the T&D Line project designs and be included in the Tender Documents;
- (c) to ensure that potential losses arising from project implementation activities including land acquisition, assets, livelihoods mobilization, construction, operation and decommissioning are well addressed in the RAP and measures are provided to avoid, minimize and compensate for such losses and impacts, as well as identify and consider the means to protect persons with special needs and particularly those with disabilities, the elderly, women, and other members of vulnerable groups.

Specific Objectives of the Environmental and Social Assessment (ESIA) Study are:

- i. To assess the environmental and social risks and impacts of the project throughout the project life cycle. The ESIA assessment will be proportionate to the potential risks and impacts of the project, and will assess, in an integrated way, all relevant direct and indirect cumulative environmental and social risks and impacts throughout the project life cycle, including those specifically identified in line with the requirements of the relevant World Bank ESF Environmental and Social Standards (ESS) 1–10.
- ii. To establish environmental (both natural and built environment) and social (socio-economic) conditions baseline information of the project area at an appropriate level

of detail sufficient to inform characterization and identification of risks and impacts and mitigation measures.

- iii. To identify and evaluate the project's potential environmental and social risks and impacts (both beneficial and adverse); examine project alternatives;
- iv. To develop mitigation measures that aim at eliminating or minimizing the potential negative impacts and promote the positive ones (i.e. identify ways of improving project selection, siting, planning, design, and implementation in order to apply the mitigation hierarchy for adverse environmental and social impacts and seek opportunities to enhance the positive impacts of the project);
- v. To ensure that structural designs and construction of proposed T&D Lines takes into account climate change considerations, as appropriate.
- vi. To develop E&S management plan and monitoring plan to guide project implementation and monitoring; and
- vii. To ensure that stakeholder engagement is an integral part of the assessment, as per the World Bank ESS10.

4. Environmental Assessment Requirements

This section will identify regulations and guidelines which will govern the conduct of the assessment or specify the content of its report. They may include any or all of the following:

- World Bank Environmental and Social Framework, and specifically the relevant/applicable Environmental and Social Standards [refer to the project ESMF], WBG General Environmental Health and Safety Guidelines (EHSGs) and EHSGs for Transmission and Distribution Lines;
- National laws and/or regulations on environmental and social reviews and impact assessments;
- regional, provincial or communal environmental assessment regulations; and
- environmental assessment regulations of any other financing organizations involved in the project.

This section will identify design or operating standards which project components must address to be environmentally and socially acceptable. This will include, for example, effluent discharge limitations, air emission standards, receiving water quality standards, and occupational health and safety requirements.

5. Study Area

This section will specify the boundaries of the study area for assessment. Where appropriate, specify the right-of-way (ROW) width and alignment for transmission lines or distribution lines, similarly, specify locations for transmission substations.

If there are adjacent or remote areas which should be considered with respect to impacts of particular aspects of the project, identify them.

6. Scope of Work

In some cases, the tasks to be carried out by a consultant will be known with sufficient certainty to be specified completely in the terms of reference. In other cases, information deficiencies need to be alleviated or specialized field studies or modelling activities performed to assess impacts, and the consultant will be asked to define particular tasks in detail for contracting agency review and approval.

The ESIA study shall take into consideration the following aspects among others:

Planned Areas: Issues such as slope stability, impact on drainage patterns, property etc. should be examined. The path of the corridor cleared of vegetation for transmission and distribution lines should be the major focus of this exercise.

Rivers/ Riverine Areas: Issues such as erosion and siltation, macro invertebrate habitat destruction, disrupting of regular flow of rivers and the possible impact of upstream activities on the area ecosystems e.g. wetlands etc.

Distinct Terrestrial Forest Types: Issues relating to the specific growth form of the vegetation, the carrying capacity, the successional stage of the forest and the projected level of disturbance which the forest can withstand.

Sites located within and adjacent to areas listed as protected or having protected species: The main issue(s) of concern will be in part determined by the local legislation as well as responsibilities of the government under applicable international conventions. The impact of the development on the specific sensitivities of the protected area should be highlighted. Mitigation of impacts should assess if the post mitigation status would be acceptable in the protected area context. Alternative sites should be rigorously evaluated. Socio–Economic issues such as land acquisition and impact of these conveyances on commerce in the community should be closely examined.

The Specific Tasks, among others include the following:

Task 1 – Preparation of an inception report (one month)

To include:

- a. Introduction. To include overview, project objectives, study objectives, project description, site and study area, rationale of the study, scopes of service for ESIA, limitations of the study etc
- b. Mobilization. To include the management of the study, office setup and team formation.
- c. Field Visit. To include site visit, purpose and field activities.
- d. Approach and Methodology including understanding objectives of the assignment, preparation of a base map, methodology of completing scope of services for ESIA study, description of proposed project, analysis of alternatives, decommissioning plan, description of the environment and social baseline conditions, policy and regulatory framework, scoping, bounding etc.
- e. Work plan and schedule
- f. Expected support and assistance from the proponents including providing detailed information on the project, data acquisition and flow of payment.
- g. References
- h. Appendices

Task 2: Describe the Proposed Project

Provide information on the following: location of all project-related development sites and ROW's; general layout of facilities at project-related development sites; flow diagrams of facilities/operations design basis, size, capacity flow-through of unit operations; pre-construction activities; construction activities, schedule, staffing and support, facilities and services; operation and maintenance activities. Staffing and support, facilities and services, required off-site investments; life expectancy for major components.

Provide maps at appropriate scales to illustrate the general setting of project-related development sites and ROW's as well as surrounding areas likely to be environmentally affected. These maps shall include topographic contours, as available, as well as locations of major surface waters, roads, railways, town centers, parks and game-reserves, and political boundaries. Also provide, as available, maps to illustrate existing land use, including industrial, residential, commercial and institutional development, agriculture etc.

Task 3: Description of the Baseline Environment

Assemble, evaluate and present baseline data on the environmental characteristics of the study area. Include information on any changes anticipated before the project commences.

Physical environment: topography (e.g. drainage patterns around construction areas, view-sheds around facilities); soils (e.g. agriculture value, potential use for lining, or soil cover in residue disposal); climate and meteorology (e.g. prevailing wind patterns around stacks, precipitation patterns at residue disposal sites); ambient air and noise quality; surface water hydrology (e.g. downstream water resources from reservoirs); coastal and oceanic parameters (e.g. currents in platform and docking areas); receiving water quality; significant pollutant sources in the area and prospects for their mitigation.

Biological environment: flora (e.g. types and diversity); fauna (e.g. resident and migratory); rare or endangered species within or in areas adjacent to project-related development sites or ROW's; sensitive habitats, including wetlands, parks or preserves, significant wildlands within or in areas downstream/ downgradient of project-related development areas or ROW's; species of commercial importance in areas affected by the project, including coastal areas at docking facilities.

Socio-cultural environment (include both present and projected where appropriate): population (ie fulltime and seasonal); land use (ie year-round and seasonal); planned development activities; community structure; employment and labour market distribution of income, goods and services; recreation; public health; education; cultural properties (e.g. archaeological and historically significant sites); indigenous peoples and traditional tribal lands; customs, aspirations and attitudes.

Task 4: Legislative and Regulatory Considerations

Describe the pertinent regulations and standards governing environmental quality, health and safety, protection of sensitive areas, protection of endangered species, siting, land use control, etc at international, national, regional and local levels. (The TOR should specify those that are known and require the consultant to investigate for others).

Task 5: Stakeholder Consultations and Engagement

The Consultant shall identify and consult all the relevant stakeholders at national, regional and local levels, paying special attention to the participation of members of vulnerable groups and inclusion of the needs and interests of women, persons with disabilities and other members of vulnerable groups. This includes the Government Agencies, local NGOs, affected households and groups/communities and other interested parties in order to obtain their views regarding the proposed project implementation arrangement. The consultant shall indicate who they are, where they are, why they are important in this project, their interest in relation to the project, their influence and impact (-ve/+ve) they may have to the project, further, consultant will find out which issues are critical to them and how they will effectively be contacted and involved in the ESIA studies. Consultations shall also provide inputs to inform the designs, so that these cater to the community's needs. Particular attention shall be paid to groups in a situation of disadvantage (e.g., children, people with disabilities, the elderly and women) that may be affected by the proposed project. The Consultant shall undertake consultative meetings in all village centers along the project T&D Line and shall provide all evidence collected.

Task 6: Determination of the Potential Impacts of the Proposed Project

Identify all significant changes which the project would incur. These would include, but not be limited to, changes in the following: employment opportunities, wastewater effluents, thermal effluents, air emissions, land use, infrastructure, exposure to disease, noise, traffic, socio-cultural behaviour. Assess the impacts from changes brought about by the project on baseline environmental conditions as described above under Task 2.

In this analysis, distinguish between significant positive and negative impacts, direct and indirect impacts, and immediate and long-term impacts. Include indirect impacts from the increased power supply (e.g. industrial expansion and increased urbanization). Identify impacts which may occur due to accidental events. Identify impacts which are unavoidable or irreversible.

Wherever possible, describe impacts quantitatively, in terms of environmental costs and benefits. Assign economic values when feasible.

Impact analysis for energy projects should be divided between construction impacts and operation impacts. For example, for T&D Lines there are construction impacts of land clearing (e.g. loss of vegetative habit for wildlife) and operation impacts of RoW maintenance (e.g. use of herbicides).

Characterize the extent and quality of available data, explaining significant information deficiencies and any uncertainties associated with predictions of impact. If possible. Give the TOR for studies to obtain the missing information. For information which couldn't be obtained until after project execution, provide TOR for studies to monitor operations over a given time period and to modify designs and/or operational parameters based upon updated impact analysis.

Task 7: Analysis of Alternatives to the Proposed Project

The environmental assessment should include an analysis of reasonable alternatives to meet the ultimate project objective. This analysis may suggest designs that are sounder from an environmental, socio-cultural or economic point of view than the originally proposed project. Include the "no action" alternative – not constructing the project – in order to demonstrate environmental conditions without it. Alternatives should include the following: the "no action" alternative (as discussed above); alternative means of meeting the energy requirements; the alternative of upgrading existing facilities; alternative routes and sites; alternative design; and alternative methods of construction, including costs and reliability.

Describe how the alternatives compare in terms of potential environmental impacts; capital and operating costs; suitability under local conditions (e.g. skill requirements, political acceptability, public cooperation, availability of parts level of technology); and institutional, training and monitoring requirements. When describing the impacts of alternatives, indicate which impacts would be irreversible or unavoidable and which could be mitigated.

To the extent possible, quantify the costs and benefits of each alternative, incorporating the estimated costs of any associated mitigation measures. Describe the reasons for selecting the proposed project over the other alternatives.

Task 8: Development of Management Plan to Mitigate Negative Impact

For the proposed project, recommend feasible and cost-effective measures to prevent or reduce significant negative impacts to acceptable levels. Include measures to address emergency response requirements for accidental events.

Estimate the impacts and costs of those measures, and of the institutional and training requirements to implement them. Consider compensation to affected parties for impacts which cannot be mitigated. Prepare a management plan including proposed work programs budget estimates, schedules, staffing and training requirements, and other necessary support services to implement the mitigation measures.

The following shall be developed as part of the ESMP and included in relative detail in the Annex, as may be applicable and relevant: Health and Safety Management Plan, Waste Management Plan, Biodiversity Management Plan, and Gender Based Violence and Sexual Exploitation and Abuse-Sexual Harassment (GBV/SEA-SH) and Protection Action Plan.

Task 9: Identification of Institutional Needs to Implement Environmental Assessment Recommendations

Review the authority and capacity of institutions at local, provincial/regional, and national levels and recommend steps to strengthen or expand them so that the management and monitoring plans in the environmental and social assessment are likely to be implemented. The recommendations may extend to new laws and regulations, new agencies or agency functions, intersectoral arrangements, management procedures and training, staffing, operation and maintenance training, budgeting and financial support.

Task 10: Development of a Monitoring Plan

Prepare a detailed plan to monitor the implementation of mitigating measures and the impacts of the project during construction and operation. Include in the plan an estimate of capital and operating costs and a description of other inputs (such as training and institutional strengthening) needed to conduct it.

Task 11: Assist in inter-Agency Coordination and Public/NGO Participation

Assist in coordinating the environmental assessment with other government agencies, in obtaining the views of local NGOs and affected groups, and in keeping records of meetings and other activities, communications, and comments and their disposition. (The TOR should specify the types of activities; for example, interagency scoping session, environmental briefings for project staff and interagency committees, support to environmental advisory panels, public forum).

7. The ESIA Report

Provide an environmental assessment report which is concise and limited to significant environmental issues. The main text should focus on findings, conclusions, and recommended actions, supported by summaries of the data collected and citations for any references used in interpreting those data. Detailed or uninterpreted data are not appropriate in the main text and should be presented in appendices or a separate volume. Unpublished documents used in the assessment may not be readily available and should also be assembled in an appendix. Organise the environmental assessment report according to the outline below. [This is the format suggested in harmony with what is presented in ESS-1; the TOR may specify a different one to satisfy national agency requirements as long as the topics required in the Bank's directive are covered]:

- Executive summary
- Policy, Legal and Administrative Framework
- Description of the Proposed Project
- Description of the Baseline environment
- Description of Environmental and Social Risks and Impacts
- Analysis of Alternatives
- Cumulative Impact Assessment
- Mitigation Management Plan
- Stakeholder Consultations and Public Disclosure
- Inter-Agency and Public/NGO Involvement/ Arrangements
- Environmental Management and Training
- Environmental and Social Monitoring Plan
- Design Measures
- List of References
- Appendices

8. Consulting Team

The environmental assessment requires interdisciplinary analysis. The general skills required of an environmental assessment team are: environmental management planning, socio-economics, ecology, air quality analysis, water quality analysis. For T&D Line project, the project team will be specified to include specialists appropriate to the type of components (e.g. for transmission lines, a terrestrial biologist and cultural resources specialist). When possible, the TOR should provide an estimate of staff weeks/months required.

The Consultant team should have a minimum of five (5) years working experience in environmental and social assessment, or other relevant fields. It is desirable that the consultant team have experience with working with international development institutions like the World Bank. Knowledge about World Bank ESF and experience in similar operation is vital. The consultant's team shall be composed of professionals with experience in socio-economic analysis, spatial/ urban, surveying and valuation.

Consultants Qualification

The consulting firm shall have experience in conducting ESIA's for electric power transmission and distribution projects and surveys of flora and fauna in Eastern and Southern Africa.

Role	Qualification
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ESIA team leader	The Team Leader shall at least have Masters Degree in Environment Science/ Environmental Engineering / Environmental Management/Natural Resource Management / Ecology with 10 years of professional experience (including international experience ideally in the Region) in the related field. The expert is required to have specific experience in preparation of ESIA in Transmission and Distribution Line projects as per national requirements and have the knowledge and working experience in preparation of ESIA according to the World Bank's/any other MDB's Environmental and Social policies and guidelines and Resettlement Policy.
Specialist 1: <i>Botanist or Forest Biologist/Ecologist</i>	Must be familiar with the flora of Study Country/region and field experience. He or she should have an MSc in biology, forest management or similar with at least five (5) years' experience in assessing the quality of forest habitat and in developing forest management recommendations in line with ESS 6. He/she must have knowledge and working experience in preparation of Ecological Impact Assessments and BMPs according to the World Bank's/any other MDB's Environmental and Social policies and guidelines.
Specialist 2: <i>Ornithologist</i>	<i>The Ornithologist</i> must have an MSc in biology, or similar with at least five (05) years of experience in conducting rapid bird surveys and should be familiar with the avifauna of Eastern and Southern Africa including regional and global migratory species, and with bird migration patterns in the region. Familiarity with the avifauna of the project area/region is an added advantage. He or she will need to be able to assess collision and electrocution risks posed by power lines and to recommend mitigation measures. Must have knowledge and working experience in preparation of Ornithological Impact Assessments and management plans according to the World Bank's/any other MDB's Environmental and Social policies and guidelines.
Specialist 3: <i>Zoologist/Wildlife Biologist [In-case there are Protected or Wildlife Areas in the Project Area of Influence]</i>	<i>Zoologist/Wildlife Biologist</i> must have an advanced degree and at least five years of experience in rapid field surveys and risk assessment in Eastern and Southern Africa. Should be familiar animal habitats and their migration patterns, and also with the bat species found in the project Country/ region, their habitats, flight patterns and migrations.

	Must have knowledge and working experience in preparation of impact assessments according to the World Bank's/any other MDB's Environmental and Social policies and guidelines.
Specialist 4: <i>Social Scientist/Sociologist</i>	<i>Social Scientist/Sociologist</i> must possess a minimum qualification of a Masters degree in Sociology, Development Studies, Demography, Social work or any other related field. Must have ten (10) years' experience in undertaking resettlement and social impact assessment assignments of similar nature in the project Country. Proficiency in a local language is an added advantage. Must have knowledge and working experience in preparation of socio – economic assessments and management plans according to the World Bank's/any other MDB's Environmental and Social policies and guidelines.

Expertise Required

Team Leader. The Team Leader shall be an environmental and professional ESIA practitioner conversant with the World Bank ESF. Must have an advanced degree in Environmental Engineering/Science, Ecology, Natural Resource Management and any related qualification. The lead shall have at least ten (10) years' experience in environmental and social impact assessment for transmission line projects in Eastern and Southern Africa. Host Country experience will be an added advantage.

Botanist or Forest Biologist/Ecologist. This expert must be familiar with the flora of host Country and field experience. He or she should have an advanced degree and at least ten (5) years' experience in assessing the quality of forest habitat and in developing forest management recommendations.

Ornithologist. This expert must have an advanced degree and at least ten (5) years of experience in conducting rapid bird surveys and should be familiar with the avifauna of Eastern and Southern Africa including regional and global migratory species, and with bird migration patterns in the region. Familiarity with the avifauna of the host Country is an added advantage. He or she will need to be able to assess collision and electrocution risks posed by power lines and to recommend mitigation measures.

Zoologist/Wildlife Biologist. Must have advanced degree and at least five years of experience in rapid field surveys and risk assessment. Should be familiar with large mammals of Eastern and Southern Africa, their habitats and their migration patterns, and also with the bat species found in the host Country, their habitats, flight patterns and migrations. They should be able to assess the risks posed by power lines to large migrating mammals and to bats, and to recommend mitigation measures.

Social Scientist/Sociologist. Must possess a minimum qualification of a Master's degree in Sociology, Development Studies, Demography, Social work or any other related field. Must have ten (10) years' experience in undertaking resettlement and social impact assessment assignments of similar nature in Eastern and Southern Africa. The expert must be familiar with applicable ESF standards and proficiency in a local language is an added advantage.

Support Staff

In addition to the above key staff, the Consultant shall determine the Support and Backup staff deemed necessary to assist with successful completion of the assignment. However, their qualifications will not be considered in the evaluation of the proposals.

Improvement of Terms of Reference. The Consultant may offer suggestions and improvements to the Terms of Reference that s/he considers would result in better implementation of the project. Such proposals if accepted will form part of the Terms of Reference of the assignment. The effect on time and cost estimates given under the above clause shall be clearly identified.

International Firms are encouraged to include participation of the local firms/or experts, as may be required by the individual Country Regulations.

9. Schedule of Deliverables

This section will specify dates for progress reviews, interim and final reports, and other significant events.

The expected output is a report that provides detailed information on the scope of adverse social impacts and mitigation measures actions to be taken by the project. The Consultant is expected to submit to the PIU the following [please customize the timelines to project scope; the ones provided below are indicative]:

- Deliverable 1: Inception report describing the procedures and timetable for completion of the ESIA preparation process to be delivered by the Second week after contract signing;
- Deliverable 2: Report summarizing the consultations with key stakeholders to be delivered two months after contract signing; and
- Deliverable 3: Draft ESIA Report to be delivered twelve (12) weeks after contract signing;
- Deliverable 4: Final report to be delivered fifteen (15) weeks after contract signing.

The consultant shall be required to attend a Kick-Off Meeting with the Client/Borrower in the first week of the engagement. The consultant shall present major deliverables in the ESIA at two workshops with the Client/Borrower, the timing of which will be agreed during the Kick-Off Meeting.

The Consultant will keep the Client/Borrower advised on progress through the submission of a monthly progress reports and participation in progress meetings that will take place once per month. The Consultant shall be responsible for making any modifications that the authorities may demand before approval of the report/s.

The final report will be reviewed and cleared by the World Bank and disclosed publicly by [insert name of formal sovereign borrower name] and the World Bank's website.

10. Communication

All reports shall be submitted in an electronic format as directed by the Client. Hard copy reports shall be submitted to the following address:

[Provide Client/ Borrower Contact Person/by Title and Address]

11. Other information

Include here lists of data sources, project background reports and studies, relevant publications, and other terms to which the consultant's attention should be directed.

ANNEX A: Indicative Outline of the Environmental and Social Impact Assessment Report (Extracted from ESS1-Annex 1. Environmental and Social Assessment).

The Environmental and Social Impact Assessment should follow the proposed outline:

a. Executive summary

- Concisely discusses significant findings and recommended actions.

b. Legal and institutional framework

- Analyses the legal and institutional framework for the project, within which the environmental and social assessment is carried out, including the issues set out in ESS1, paragraph 264.
 - Compare the Borrower's existing environmental and social framework and the ESSs and identify the gaps between them.
 - Identifies and assesses the environmental and social requirements of any co-financiers.
 - Outline the pertinent regulations and standards governing environmental quality, safety and health, protection of sensitive areas, protection of endangered species, siting and land use control at the national and local levels. The examination of the legislation should include at minimum, legislation such as the land law, Environmental protection and conservation law, expropriation law, the Public Health Act, the urban Planning Act, Building Codes and Standards, Development Orders and Plans and the appropriate international convention/protocol/treaty where applicable.
- ### **c. Description of the subproject**
- Concisely describes the proposed subproject and its geographic, environmental, social, and temporal context, including any offsite investments that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well as the project's primary suppliers.
 - Through consideration of the details of the project, indicates the need for any plan to meet the requirements of ESS 1 through 10.
 - Includes a map of sufficient detail, showing the project site and the area that may be affected by the project's direct, indirect, and cumulative impacts.

d. Baseline data

- Sets out in detail the baseline data that is relevant to decisions about project location, design, operation, or mitigation measures. This should include a discussion of the accuracy, reliability, and sources of the data as well as information about dates surrounding project identification, planning and implementation.
- Identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions;
- Based on current information, assesses the scope of the area to be studied and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences.
- Takes into account current and proposed development activities within the project area but not directly connected to the project.

The baseline will be analyzed based on the physical, biological and Socio-economic and cultural

constraints as follows:

- Physical environment
- Biological environment
- Socio-economic and cultural constraints.

It is expected that methodologies employed to obtain baseline and other data be clearly detailed. Baseline data should include:

Physical

- A detailed description of the existing geology and hydrology. Special emphasis should be placed on storm water run-off, and drainage patterns. Any slope stability issues that could arise should be thoroughly explored.
- Water quality of any existing rivers, ponds, streams or coastal waters in the vicinity of the corridor or substation. Quality Indicators should include but not necessarily be limited to suspended solids, turbidity, oil and grease.
- Climatic conditions and air quality in the area of influence including particulate matter wind speed and direction, precipitation, relative humidity and ambient temperatures,
- Obvious sources of pollution existing and extent of contamination.

Biological

- Present a detailed description of the flora and fauna (aquatic and terrestrial) in the proposed corridor of influence, with special emphasis on rare, endemic, protected or endangered species. Migratory species should also be considered. There may be the need to incorporate microorganisms to obtain an accurate baseline assessment. Generally, species dependence, niche specificity, community structure and diversity ought to be considered.

Socio-economic & cultural

- Present and projected population; present and proposed land use; planned development activities, issues relating to squatting and relocation, community structure, employment, distribution of income, goods and services; recreation; public health and safety;
- Cultural peculiarities, aspirations and attitudes should be explored. The historical importance of the area should also be examined. While this analysis is being conducted, it is expected that an assessment of public perception of the proposed development be conducted. This assessment may vary with community structure and may take multiple forms such as public meetings or questionnaires.

e. Identification of Potential Environmental and Social Impacts

Considers all relevant environmental and social risks and impacts of the project. This will include the environmental and social risks and impacts specifically identified in ESS2 – 8, and any other environmental and social risks and impacts arising as a consequence of the specific nature and context of the project, including the risks and impacts identified in ESS1, paragraph 28.

Identify potential impacts as they relate to, (but are not restricted by) the following:

- public health and safety, risk assessment, change in drainage pattern flooding potential and aesthetics;
- landscape impacts of excavation and construction;
- loss of natural features, habitats and species by construction and operation;
- noise, air pollution, pollution of potable, coastal, surface and ground water - Socio-economic and cultural impacts;

- Loss of land and assets due new transmission lines construction, clearance regulations, and operation;
- Distinguish between significant positive and negative impacts, direct and indirect, long term and immediate impacts;
- Identify, avoidable reversible and irreversible impacts.

f. Environmental and Social Management Plan/ Mitigation measures

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

Design a plan to monitor implementation of mitigation or compensation measures and project impacts during and post construction and decommissioning of the power lines. **An Environmental and Social Management Plan** for the long-term operations of the development should also be prepared.

An outline **monitoring** program should be included in the EIA including:

- The activity being monitored, and the parameters chosen to effectively carry out the exercise.
- The methodology to be employed and the frequency of monitoring.
- The sites and project components being monitored. These may in instances incorporate a control site where no impact from the development is expected.

g. Analysis of alternatives

- systematically compares feasible alternatives to the proposed project site, technology, design, and operation--including the "without project" situation--in terms of their potential environmental and social impacts;
- assesses the alternatives' feasibility of mitigating the environmental and social impacts; the capital and recurrent costs of alternative mitigation measures, and their suitability under local conditions; the institutional, training, and monitoring requirements for the alternative mitigation measures.
- For each of the alternatives, quantifies the environmental and social impacts to the extent possible, and attaches economic values where feasible.

h. Design measures

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

i. Key measures and actions for the Environmental and Social Commitment Plan (ESCP)

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

j. Appendices

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

Annex 10: Terms of Reference (TOR) for The Development of Resettlement Plans (RP) of Transmission and Distribution Lines in Urban and Peri-Urban Areas

ASCENT MPA

Terms of Reference (TOR) for The Development of Resettlement Plans (RP) of Transmission and Distribution Lines in Urban and Peri-Urban Areas

I. Context:

The Accelerating Sustainable and Clean Energy Access Transformation (ASCENT) aims to accelerate access to sustainable and clean energy in Eastern and Southern Africa (AFE). The project will establish an ASCENT Regional Acceleration Platform, managed by the Common Market for Eastern and Southern Africa (COMESA), which will drive implementation of Pillar 1 from the regional level, supported by additional actions and activities in participating countries. The Acceleration Platform will support both Phase 1 countries (for implementation of their projects), and to assist those countries still to enter the Multi Programmatic Approach (MPA) to prepare. In addition, the Platform will provide support to Distributed Renewable Energy (DRE) and clean cooking companies active in the region to accelerate their efforts and mobilize capital. Specifically, the Acceleration Platform will (i) support AFE countries in their adoption of digital platforms and tools facilitating management, financing, verification and monitoring of their energy access efforts, (ii) enact a digital monitoring, reporting and verification (D-MRV) platform at the regional level allowing aggregation from countries and the private sector and enabling the generation of carbon revenues and/or other climate/impact-related result-based financing; (iii) establish a Project Preparation Facility providing market intelligence and technical assistance both to Government agencies and the private sector, including for identification and enabling of cross-border electrification solutions; (iv) support planning processes and adoption of best practices and harmonization of policy and regulatory frameworks; (v) deliver energy access data and statistics, facilitating knowledge exchange and driving skill development, and (vi) provide support for monitoring and evaluation of the overall ASCENT program.

II. Project Objectives and Description:

The objective of the ASCENT MPA in [insert name of formal sovereign borrower name] is [Project Development Objective, from Project Concept Note (PCN), Project Appraisal Document (PAD), or other available documentation].

[Project description, including identification of components, from PCN, PAD or elsewhere]

[Identification of components that may require physical displacement or land acquisition for project use, including description of likely scale of land required for use. If feasible, a description of likely resettlement-related impacts and an estimated number of persons likely to be affected by them is also included.]

III. Objectives of the TORs:

These Terms of Reference (ToR) are applicable to development sub projects involving transmission and distribution lines of the Accelerating Sustainable and Clean Energy Access Transformation (ASCENT) Program. The ToR outline the aspects of an Environmental and Social Impact Assessment (ESIA) which when thoroughly addressed will provide a comprehensive evaluation of the sites, in terms of predicted environmental impacts, needed mitigation strategies, potentially viable alternatives to the development proposed and all related legislation.

IV. Objectives of the RP

The aim of the RP is to identify and assess the human impact of the planned energy projects in [insert location of works] and to prepare an Action Plan to be implemented in coordination with the civil works in line with World Bank ES Standards and Government of [insert name of formal sovereign borrower name] policies and laws. The Resettlement Plan will identify the project affected persons (PAPs), engage them in participatory discussions regarding the plan and formulating a plan of action to adequately compensate people for their losses.

V. Scope of Work

The consultant will prepare the Resettlement Plan (RP) on the basis of the most recent and accurate information on the: (i) selected projects and the impacts on displaced persons and other adversely affected groups; and (ii) legal issues affecting resettlement. The RP must be based on the principles, planning procedures and implementation arrangements established in the project RPF. Specifically, the consultant will:

- Prepare a RP that is consistent in policy and context to the laws, regulations, and procedures adopted by the [insert name of formal sovereign borrower name] and the World Bank's ESS5 covering displacement, resettlement, and livelihood restoration;
- Conduct consultations with identified project affected persons (PAPs), based on a census of the affected sites;
- Complete a baseline socio-economic survey of PAPs and host communities.
- Establish committees as appropriate who will be part of RP implementation, valuation and compensation approaches;
- Develop in a participatory manner the proposed grievance mechanism to be covered in the RP; and

VI. Contents of a RP

(a) Description of the investment/project under MEAP, project area and area of influence: Information presented in this section will include description of the project area showing location, sitting of plants, structures, lands, affected dwellings etc; MEAP objectives and strategy; the investment/project objectives; policy and legal framework; timeframe; geographical coverage; project strategic context and rationale.

(b) Potential Impacts: Description of investment/project components or activities which would trigger resettlement; the cultural, social, economic and environmental impacts envisioned; and the alternatives considered to avoid or minimize resettlement.

(c) Review of relevant laws and regulations pertaining to acquisition, compensation, and other assistance to displaced persons, and identification of gap-filling measures needed to achieve ESS5 requirements.

This will be the same as the RPF

(d) Socio-economic Studies

These will include the following: Population census of the project area including a description of production systems, household organization, baseline information on livelihoods and standards of living of the displaced population (and host communities)

- An inventory of assets of displaced households; the magnitude of the expected loss (total or partial for individual or group assets); and extent of physical and economic displacement;
- Information on disadvantaged/vulnerable groups or persons for whom special provisions may have to be made. Such groups and persons include those living below the poverty line, the

landless, the elderly, women, children, indigenous people, ethnic minorities and displaced persons who are not protected through national land compensation legislation. Resettlement involving vulnerable/disadvantaged groups/persons should be preceded by a social preparation phase to build their capacity to deal with issues of resettlement;

- Provisions for updating information on the livelihood of displaced people and their standards of living at regular intervals;
- Description of land tenure systems including common property and non-title-based land ownership, or allocation recognized locally and related issues;
- Public infrastructure and social services that will be affected; and
- Social and cultural characteristics of displaced and host communities. Appropriate patterns of social organization should be promoted, and the existing social and cultural institutions of resettled persons and their host should be retained, supported and used to the extent possible.

(e) Description of tenure arrangements, including collective, communal, or customary use or ownership claims

(f) Eligibility

Definition of displaced persons and criteria for compensation and other resettlement assistance including relevant cut off dates. The assurance should be given that lack of legal title should not bar affected persons from being compensated.

(g) Valuation and Compensation for losses

- The methodology to be employed for valuing losses in order to determine their replacement cost. This is a description of the levels of compensation under the local laws and supplementary measures aimed at determining replacement of cost for lost assets.
- A description of the packages of compensation and other resettlement measures that will ensure that each category of eligible displaced persons get their fair compensation. In conformity with the World Bank ESS5, displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them to pre-displacement levels or to levels prevailing prior to the start of project implementation whichever is higher.

(h) Identification of alternative sites, selection of resettlement site(s), site preparation and relocation

- Institutional and technical arrangements for identifying and preparing relocation sites for which a combination of productive potential, location advantages and other factors, should be at least comparable to ancillary resources.
- Procedures for physical relocation including timetable for site preparation and land title transfer and description of resettlements sites.
- Measures to prevent the influx of ineligible people (encroachers and squatters) into the selected sites such as the identification and recording of affected people at the project identification stages.
- Legal arrangements for regularizing tenure and transferring titles to resettled persons.

(i) Description of programs for improvement and restoration of livelihoods and standards of living of the affected people. The programs aimed at improving and restoring the livelihoods and standards of living of the affected people should in line with the Resettlement Policy framework

(j) Community Participation:

This sub-section includes:

- Description of the consultation and participation of the displaced and host communities in design and implementation of resettlement activities including a summary of the views expressed and how these views were incorporated during the preparation of the resettlement plan.
- A review of the resettlement alternatives identified, and choices made by the displaced people, including choices related to forms of compensation and resettlement assistance, relocating as individual families or as part of pre-existing families and to retaining access to cultural property (e.g. cemeteries, places of worship, etc.)
- Description of procedures for grievances recress by affected people throughout the planning and implementation period.
- Description of measures aimed at sensitizing and educating the affected and host communities on matters of resettlement.

(k) Integration with host communities

- Arrangements for consultation with host communities and procedures for prompt payment to the host for land and other assets should be provided to the resettled persons.
- Arrangements for resolving conflicts which may arise between the resettled persons.
- Arrangements for resolving conflicts which may arise between the resettled persons and host communities should be put in place.
- Appropriate measures to augment public services such as education, water, health in host communities in order to avoid disparities between resettled persons and the host communities should be put in place.
- Plan for resettled persons should be integrated economically and socially into host communities so that adverse impacts to host communities are minimized.

(l) Shelter, infrastructure and social services

This sub-section provides details regarding plans to provide or finance housing, infrastructure (e.g. roads, water supply, etc.) and social services (schools, health services) and plans aimed at ensuring that services and any necessary site development to host.

(m) Institutional arrangement and responsibilities

This will be the same as the RPF

(n) Implementation Schedules

An implementation schedule covering all resettlement activities from project preparation through implementation to monitoring and evaluation. The schedule should indicate dates for achievement of expected benefits to resettled persons and hosts and dates for terminating the various forms of assistance.

(o) Consultation and disclosure arrangements

A description of the consultation to be carried out before, during, and after the resettlement process. A summary of any past consultation sessions can be included.

(p) Grievance mechanism

A description of the grievance mechanism for the involuntary resettlement process in relation to the project wide GRM developed in the Stakeholder Engagement Plan.

(q) Costs and Budget

The breakdown of cost estimates for all resettlement activities including allowances for inflation and other contingencies, timetable for expenditures, sources of funds and arrangements for timely disbursement of funds.

(r) Monitoring and evaluation

Under this sub-section, information regarding arrangements for monitoring of resettlement activities by the implementing agency is presented. When appropriate, independent monitors will supplement the role of the implementing agency to ensure objectivity and completeness of information. Performance indicators for measuring inputs, outputs and outcomes of resettlement activities and for evaluating impacts for a reasonable period of time after the resettlement activities have been completed are also presented. (Similar to the RPF)

For projects causing physical displacement, the RP should include planning measures relating to the following, as relevant for project circumstances:

- a) Description of relocation arrangements, including options available to displaced persons, and including transitional support for moving or other expenses
- b) Description of resettlement site selection, site preparation, and measures to mitigate any impacts on host communities or physical environment, including environmental protection and management
- c) Measures to improve living standards and otherwise address particular needs of relocating poor or vulnerable households, including measures to ensure that replacement housing is at least consistent with minimum community standards and is provided with security of tenure
- d) Description of project design measures to improve living standards, access to or functioning of community services or facilities, or for providing other project-related benefits
- e) Any measures necessary to address impacts of resettlement on host communities.

For projects causing significant economic displacement,^{xi} the RP describes (as relevant):

- a) The scale and scope of likely livelihoods-related impacts, including agricultural production for consumption or market, all forms of commercial activity, and natural resource use for livelihoods purposes
- b) Livelihoods assistance options (for example, employment, training, small business support, assistance in providing replacement land of equivalent productive value, other) available to persons losing agricultural land or access to resources
- c) Assistance measures available to commercial enterprises (and workers) affected by loss of assets or business opportunities directly related to land acquisition or project construction
- d) Project measures to promote improvement of productivity or incomes among displaced persons or communities.

VII. Coordination

The Consultant will closely liaise with the Environmental and Social Specialists at the Project PIU. The PIU will facilitate initial contacts with relevant stakeholders, including the World Bank. Liaison with the ES and technical team at the PIU is particularly important to ensure that SEA/SH mitigation measures are incorporated into the relevant ES instruments, bidding documents, and project programs.

VIII. Timetable and Outputs

The expected output is a report that provides detailed information on the scope of adverse social impacts and mitigation measures (resettlement/rehabilitation) actions to be taken by the project. The Consultant is expected to submit to the PIU the following:

- Deliverable 1: Inception report describing the procedures and timetable for completion of the RP preparation process by first week after contract signing;
- Deliverable 2: Report summarizing the preliminary results of the baseline socio-economic survey and PAPs census (by six weeks after contract signing);
- Deliverable 3: Report summarizing the consultations with PAPs and other key stakeholders (by two months after contract signing); and
- Deliverable 4: Draft RP report (by nine weeks after contract signing).
- Deliverable 5: Final RP report.

The main findings of the draft RP will be shared in consultation forum with PAPs and communities and the final report will be reviewed and cleared by the World Bank and disclosed publicly by [insert name of formal sovereign borrower name] and the World Bank's website.

IX. Qualifications and Experience

The Consultant team should have a minimum of five (5) years working experience in social assessment, involuntary resettlement, or other relevant fields. It is desirable that the consultant team have experience of working with international development institutions like the World Bank. Knowledge about World Bank ESF and experience in similar operations is vital. The consultant's team shall be composed of professionals with experience in socio-economic analysis, spatial/ urban, surveying and valuation.

Annex 11: Proposed Outline of ESHS Project Implementation Closure Report

Accelerating Sustainable and Clean Energy Access Transformation (ASCENT)

Terms of Reference (TORs) for a Sexual Exploitation, Abuse, and Sexual Harassment (SEA/SH) Action Plan for Projects Consisting of Transmission and Distribution Lines in Urban and Peri-Urban Areas

I. Context

The Accelerating Sustainable and Clean Energy Access Transformation (ASCENT) aims to accelerate access to sustainable and clean energy in Eastern and Southern Africa (AFE). The project will establish an ASCENT Regional Acceleration Platform, managed by the Common Market for Eastern and Southern Africa (COMESA), which will drive implementation of Pillar 1 from the regional level, supported by additional actions and activities in participating countries. The Acceleration Platform will support both Phase 1 countries (for implementation of their projects), and to assist those countries still to enter the Multi Programmatic Approach (MPA) to prepare. In addition, the Platform will provide support to Distributed Renewable Energy (DRE) and clean cooking companies active in the region to accelerate their efforts and mobilize capital. Specifically, the Acceleration Platform will (i) support AFE countries in their adoption of digital platforms and tools facilitating management, financing, verification and monitoring of their energy access efforts, (ii) enact a digital monitoring, reporting and verification (D-MRV) platform at the regional level allowing aggregation from countries and the private sector and enabling the generation of carbon revenues and/or other climate/impact-related result-based financing; (iii) establish a Project Preparation Facility providing market intelligence and technical assistance both to Government agencies and the private sector, including for identification and enabling of cross-border electrification solutions; (iv) support planning processes and adoption of best practices and harmonization of policy and regulatory frameworks; (v) deliver energy access data and statistics, facilitating knowledge exchange and driving skill development, and (vi) provide support for monitoring and evaluation of the overall ASCENT program.

II. Project Objectives and Description

The objective of the ASCENT MPA in [insert name of formal sovereign borrower name] is [Project Development Objective, from Project Concept Note (PCN), Project Appraisal Document (PAD), or other available documentation].

[Include project description, including identification of components, from PCN, PAD or elsewhere]

III. Objectives of the TORs

These Terms of Reference (ToR) are applicable to development sub projects involving transmission and distribution lines of the Accelerating Sustainable and Clean Energy Access Transformation (ASCENT) Program. The ToR outline the tasks to carry out a Sexual Exploitation, Abuse, and Sexual

Harassment (SEA/SH) Action Plan for Projects Consisting of Transmission and Distribution Lines in Urban and Peri-Urban Areas.

IV. Scope of the SEA/SH Action Plan

The SEA/SH Action Plan for projects with civil works such as Transmission and Distribution Lines in Urban and Peri-Urban Areas elaborates on a range of potential mitigation measures for works that were assessed to be at Substantial/High SEA/SH risk. To develop an SEA/SH Action Plan, the consultant carry out the following key tasks:

- i. Carry out an assessment of the project's underlying SEA/SH risks as part of the project social assessment and (if possible) ensure SEA/SH risks are adequately reflected in all E&S project documentation;
- ii. Carry out consultations with women and girls and other groups at risks, including on SEA/SH, as part of the project SEP to keep them informed about the project, get their feedback on project design and safeguard issues, knowledge and efficacy of mitigation measures;
- iii. Based on the assessment of SEA/SH risks, develop SEA/SH Action Plan, with key indicators, estimated budget, timelines for implementation and monitoring indicators
- iv. Develop an Accountability and Response Framework that captures the steps for handling, reviewing, verifying and investigating allegations, including timeframe, and responsibilities for each stage of the process, reporting requirements, and specific provisions for child survivors.
- v. Establish mandatorily enforceable codes of conduct for each category of project workers;
- vi. Train project workers on expected behaviors and prohibitions related to SEA/SH, GM and support services, ways to file a complaint, etc.;
- vii. Map GBV service providers in all areas of project implementation;
- viii. Establish SEA/SH pathways in GMs (community-based and for workers) and capacity to safely and ethically receive and respond to SEA/SH cases;

The Action Plan can follow the templates that are found in Annex to these ToRs, which is aligned with the recommendations of the ESF Good Practice Note on Addressing SEA/SH in IPF Involving Major Civil Works (Civil Works GPN). The templates correspond to Moderate/Substantial and High SEA/SH risk categories. The consultant will use the template that corresponds to the risk category of the project at hand.

To strengthen monitoring reporting, the Action Plan template integrates recommended standardized indicators. The actions described in the template below should provide a starting point to consider appropriate mitigation of SEA/SH risks and associated budget and responsibility constraints. Decisions about necessary actions should be informed by the project context and design and SEA/SH risk.

V. Coordination

The Consultant will closely liaise with the Environmental and Social Specialists at the Project PIU. The PIU will facilitate initial contacts with relevant stakeholders, including the World Bank. Liaison with the ES and technical team at the PIU is particularly important to ensure that SEA/SH mitigation measures are incorporated into the relevant ES instruments, bidding documents, and project programs.

VI. Timetable and Outputs

The consultant will be responsible for the timeliness, content and form of the contracted reports, products and activities that are described as follows, including the coordination of any team that is implicated:

- Deliverable 1: An inception report describing the procedures and timetable for completion of the SEA/SH Action Plan preparation process by first week after contract signing;
- Deliverable 2: A report summarizing the consultations with key stakeholders (by two months after contract signing); and
- Deliverable 3: Draft SEA/SH Action Plant (by three months after contract signing).

The main findings of the draft SEA/SH Action Plan will be shared in consultation forum with key stakeholders and the final report will be reviewed and cleared by the World Bank and disclosed publicly by [insert name of formal sovereign borrower name] and the World Bank's website.

VII. Qualifications and Experience

The Consultant team should have a minimum of five (5) years working experience in the gender and development field. It is desirable that the consultant team have experience with working with international development institutions like the World Bank. Knowledge about World Bank ESF and experience in similar operation is vital.

ANNEX 1: SEA/SH Action Plan sample – Substantial SEA/SH risk

Project Name :

Project P code:

Country :

Date of SEA/SH Action Plan :

SEA/SH risk level : **Moderate/Substantial**

Brief description of main drivers of risks, including component-specific risks:

Mitigation actions	Responsible for action (Clearly indicate lead agency/ies), and contributing party/ies)	Timeline for action	Budget	Indicators	Responsible for monitoring and reporting (Clearly indicate lead agency/ies), and contributing party/ies)
RISK ASSESSMENT					
Carry out an assessment of the project's underlying SEA/SH risks as part of the project social assessment and ensure SEA/SH risks are adequately reflected in all E&S project documentation (i.e., Project ESMF/P, C-ESMP, LMP, SEP, etc.). <i>Sample intermediary steps to implement this mitigation action</i>	IA, SEA/SH assessment consultant			SEA/SH risks integrated in E&S assessment report (Y/N)	IA, SEA/SH assessment consultant

<i>are listed here to facilitate planning and budgeting and may include:</i> - o Integrate assessment of SEA/SH risks in TOR of social assessment (or of stand-alone SEA/SH assessment), including mapping of GBV service providers (see below), assessment of existing behavioral standards on SEA/SH, mandatory reporting requirements, etc. - o Train teams carrying out assessment as needed, including on safety and ethical considerations related to GBV data collection - o Carry out assessment - o Plan for and update assessment as part of stakeholder engagement during project implementation					
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• Carry out consultations with women and girls and other groups at risks, including on SEA/SH, as part of the project SEP to keep them informed about the project, get their feedback on project design and safeguard issues, knowledge and efficacy of mitigation measures, etc.^[1] - o Identify groups particularly at risks of SEA/SH as part of the SEP - o Establish methodology and approaches to consult with the most vulnerable - o Carry out consultations in a safe and enabling manner, with facilitator of the same sex and with the right expertise and culturally sensitive approaches	IA, consultant mobilized to carry out the SEP			• # women and girls involved in sex-specific consultations/total number of community members consulted with (SEP) or # of focus groups carried out with women only (SEP) • # of CSOs advocating for women and girls, children, LGBTQI, disability rights consulted	IA, consultant mobilized to carry out the SEP
• Develop SEA/SH Action Plan - o Based on the assessment of SEA/SH risks, develop SEA/SH	IA, SEA/SH assessment consultant			• An SEA/SH action plan has been developed (Y/N) • Action plan is regularly updated (Y/N)	IA

Action Plan, with key indicators, estimated budget, timelines for implementation and monitoring indicators and reflect it in the project ESMF/P - o Integrate responsibilities and expectations related to SEA/SH in all contracts, including those related to E&S and incident reporting and in the C-ESMP - o Define timelines and processes to update the SEA/SH actions plans throughout implementation, based on emerging risks and the evolution of the project - o Update regularly and as needed the SEA/SH action plan					
BEHAVIORAL STANDARDS					
• Develop an Accountability and Response Framework	IA			• Project has a SEA/SH Prevention	IA

- o Document in one place the steps for handling, reviewing, verifying and investigating allegations, including timeframe, and responsibilities for each stage of the process, reporting requirements, and specific provisions for child survivors. - o Ensure coherence with GM and referral protocols/GBV service mapping - o Reflect in the Ops Manual - o Ensure that accountability and response framework is reflected as needed in bidding documents, offers and contracts - o Update the accountability and response framework based on lessons learned from incident response and other feedbacks.				and Response Action Plan (Y/N) • Project has an Accountability and Response Framework as part of the ESMP (Y/N)	
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Establish mandatorily enforceable codes of conduct for each category of project workers - o Develop proportional project-specific codes of conduct - o Integrate requirements on CoC in all contracts (see dedicated action) - o Roll-out codes of conduct to ensure they are in place before workers start project-related activities(i.e. have workers sign them individually or as part of training, ensuring that they are aware/trained and that CoC are enforceable)	IA, all project consultants and contractors			• Behavioral standards or CoC which addresses SEA/SH is in place (Y/N) • # training sessions carried out for project actors about Behavioral standards or CoC	IA, supervising engineer, all project consultants and contractors
• Train project workers on expected behaviors and prohibitions related to SEA/SH, GM and support services, ways to file a complaint, etc. - o Identify proportional training/sensitization solutions for each	All project consultants and contractors, GBV service provider if relevant			• # of project actors trained on CoC / total # of project actors active in reporting period • # training session carried out for project actors	Supervising engineer, all project consultants and contractors, GBV service providers (if relevant)

category of project workers - o Ensure that requirement and expectations on training are included in contracts with consultants/contractors - o Mobilize expertise to ensure that project related training is of quality, rights-centered, etc. - integrate training of workers in responsibilities of GBV actor to be recruited for TA - o Training all project workers before they start activities (solutions proportional to risk level) - o Conduct refresher- or on-the-job training/awareness as part of workers and civil servants ongoing training				• GM coordinator has been trained in the survivor centered approach (Y/N)	
GRIEVANCE MECHANISM AND INCIDENT RESPONSE					

• Map GBV service providers in all areas of project implementation - o Consult what mapping exists in country - o Develop TOR and methodology for mapping, including quality assessment (include in TOR for SEA/SH/social assessment) - o Carry out mapping - o Integrate gap filling GBV service provision in the TOR of GBV service provider as needed - o Develop localized referral protocols, to be integrated in the project Accountability and Response Framework. - o Update referral pathways regularly, as needed	IA, SEA/SH assessment consultant			• Localized referral protocols available for all areas of project implementation (Y/N, disaggregated by region)	IA
• Establish SEA/SH pathways in GMs (community-based and for workers) and capacity to	IA			• SEA/SH sensitive SOPs in place as part of broader GM SOPs	IA

safely and ethically receive and respond to SEA/SH cases - o Develop survivor-centered SOPs to receive and response to SEA/SH complaints - o Develop intake forms, referral protocols, information sharing tools, etc. - o Develop training plans for all stakeholders involved in management of SEA/SH complaints - o Carry out GM training plans - o Mobilize expertise as needed to provide TA to operationalization and training related to SEA/SH GM (include in TOR of GBV actor, if relevant). - o Roll out SEA/SH sensitive GM - o Reflect key elements of the GM in the Accountability and				• # of SEA/SH cases received by the project, (disaggregated by age, sex, form of violence reported, status/open/closed, etc.);	
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Response Framework and Ops Manual					
• Respond to SEA/SH incidents reported to the project in line with a survivor-centered approach - o Offer referral to GBV services based on mapping and referral protocols - o Verify and take action, prioritizing survivors' rights and wishes - o Identify and implement corrective actions	IA, GBV service providers (if relevant), all project consultants and contractors			% of SEA/SH cases where survivors were connected to services (disaggregated by services)	IA
• Raise community awareness on SEA/SH, standards of conduct, GM and GBV services available: - o Develop plan for mobilization, depending on project timelines and risk level - o Integrate responsibility in TOR of actor raising awareness on	IA, GBV service provider			• # of community members targeted by awareness raising (disaggregated by sex) •	IA

broader GM or of GBV actor to be mobilized for SEA/SH TA o Develop and review awareness materials, messages, IEC, etc. regularly, based on community's feedbacks, consultations and evolving understanding of risks					
MOBILIZATION OF TECHNICAL EXPERTISE					
• Mobilize GBV expert in the PIU - o Reflect requirement for GBV specialist in PIU in ESCP and allocate funding - o Plan to mobilize adequate expertise during preparation - o Develop TOR and recruit	IA			• The IA has a GBV specialist in place (Y/N)	IA
• Clearly define the SEA/SH requirements and expectations, including on CoC, in bid documents and contracts:	IA (social specialists and procurement)			• SEA/SH requirements and expectations are clearly defined in	IA

- o Include requirements on CoC, workers training, SEA/SH reporting, etc. in the bidding documents, based on project action plan and risk level (key elements already on ICB SPD). - o Explain SEA/SH requirements to bidders. - o Assess SEA/SH risk mitigation proposal as part of bidding evaluation - o SEA/SH requirements reflected in C-ESMP and part of offer evaluation, including of contractor's Accountability and Response Framework. - o Requirements on SEA/SH in contracts of consultants with escalation clauses for non-compliance. - o SEA/SH costs clearly reflected in contracts (i.e. line items in bill of				the bid documents (Y/N) • SEA/SH requirements and expectations are clearly defined in the procurement documents (Y/N)	
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quantities for clearly defined SEA/SH activities (such as preparation of relevant plans, or specified provisional sums for activities that cannot be defined in advance, such as for implementation of relevant plan/s, etc.)					
• For supervision, have a social specialist in the supervising engineer's team with GBV specific skills to supervise issues related to SEA/SH. - o Include responsibilities around SEA/SH monitoring in TOR of supervising engineers social specialist (e.g. supervise signing of CoCs, training of workers, and compliance with other commitment by contractor)	IA, supervising engineer			• Supervising engineer with SEA/SH responsibilities and expertise in place (Y/N)	IA
<u>Action to be considered</u>	IA, TPM			• TPM with SEA/SH responsibilities and	IA

• Ensure oversight through an independent Third-Party Monitoring (TPM) organization/Independent Verification Agent (IVA) with experienced GBV staff to monitor implementation of the SEA/SH Action Plan - o Include responsibilities around SEA/SH monitoring in TOR of TPM - o Mobilize TPM - o Integrate SEA/SH monitoring in TPM reports				expertise in place (Y/N)	
• Recruit GBV service provider(s) to facilitate access to timely, safe and confidential services for survivors disclosing incidents to the projects in areas where these services are otherwise unavailable. GBV service provider(s)/consultant(s) may also provide technical assistance with the implementation of some of the above mentioned SEA/SH risk mitigation measures at the community level (i.e. workers training,	IA			• # of survivors that were provided GBV services funded by the project (disaggregates by type of service, project link (Y/N), etc.) • # of referrals to GBV services • GBV service provider (consultant) in place (Y/N)	IA

awareness raising, GM operationalization, etc.) - o Enable funding - o Develop TOR - o Recruit - o Supervise contract and review reports - o Enable coordination with all different project stakeholders					
• Train all project stakeholders on project approach to SEA/SH risk management	IA				
M&E					
• Undertake regular M&E of progress on SEA/SH prevention and response activities, including reassessment of risks as appropriate. - o Integrate advancement of SEA/SH action plan implementation in E&S reporting (all stakeholders) and reports on ESCP implementation (IA) - o Update the ESCP and/or the relevant E&S management tools to incorporate	IA, contractors, consultants (including GBV actor), supervising engineer.			• Protocol for M&E of the project is in place (Y/N) • E&S instruments are updated throughout the life span of the project (Y/N)	IA

necessary corrective and preventive actions.					
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[\[1\]](#) This activity can put women and girls at risk, when not planned and implemented accordingly. It is imperative that consultations are prepared and rolled out in line with basic safeguarding measures, enable referrals of participants disclosing experiences of violence, that stakeholders responsible for data collection are trained and experienced in facilitated such consultations and that no individual data on GBV experiences is collected. For further information, consult Annex 2 of the SEA/SH GPN for civil works.

ANNEX 2: SEA/SH Action Plan sample – IPF with Civil Works, high SEA/SH risk

Project Name :

Project P code:

Country :

Date of SEA/SH Action Plan :

SEA/SH risk level : High

Brief description of main drivers of risks, including component-specific risks:

Mitigation actions	Responsible for action (Clearly indicate lead agency/ies), and contributing party/ies)	Timeline for action	Budget	Indicators	Responsible for monitoring and reporting (Clearly indicate lead agency/ies), and contributing party/ies)
RISK ASSESSMENT					
Carry out an assessment of the project's underlying SEA/SH risks as part of the project social assessment and ensure SEA/SH risks are adequately reflected in all E&S project documentation (i.e., Project ESMF/P, C-ESMP, LMP, SEP, etc.). <i>Sample intermediary steps to implement this mitigation action are listed here to facilitate planning and budgeting and may include:</i> - Integrate assessment of SEA/SH risks in TOR of social assessment (or of stand-alone SEA/SH assessment), including mapping of GBV service providers (see below), assessment of existing behavioral	IA, SEA/SH assessment consultant			SEA/SH risks integrated in E&S assessment report (Y/N)	IA, SEA/SH assessment consultant

standards on SEA/SH, mandatory reporting requirements, etc. ○ Train teams carrying out assessment as needed, including on safety and ethical considerations related to GBV data collection ○ Carry out assessment ○ Plan for and update assessment as part of stakeholder engagement during project implementation					
● Carry out consultations with women and girls and other groups at risks, including on SEA/SH, as part of the project SEP to keep them informed about the project, get their feedback on project design and safeguard issues, knowledge and efficacy of mitigation measures, etc.⁴ ○ Identify groups particularly at risks of SEA/SH as part of the SEP ○ Establish methodology and approaches to consult with the most vulnerable ○ Carry out consultations in a safe and enabling manner, with facilitator of the same sex and with the right expertise and culturally sensitive approaches	IA, consultant mobilized to carry out the SEP			● # women and girls involved in sex-specific consultations/total number of community members consulted with (SEP) or # of focus groups carried out with women only (SEP) ● # of CSOs advocating for women and girls, children, LGBTQI, disability rights consulted	IA, consultant mobilized to carry out the SEP

⁴ This activity can put women and girls at risk, when not planned and implemented accordingly. It is imperative that consultations are prepared and rolled out in line with basic safeguarding measures, enable referrals of participants disclosing experiences of violence, that stakeholders responsible for data collection are trained and experienced in facilitated such consultations and that no individual data on GBV experiences is collected. For further information, consult Annex 2 of the SEA/SH GPN for civil works.

• Develop SEA/SH Action Plan ○ Based on the assessment of SEA/SH risks, develop SEA/SH Action Plan, with key indicators, estimated budget, timelines for implementation and monitoring indicators and reflect it in the project ESMF/P ○ Integrate responsibilities and expectations related to SEA/SH in all contracts, including those related to E&S and incident reporting and in the C-ESMP ○ Define timelines and processes to update the SEA/SH actions plans throughout implementation, based on emerging risks and the evolution of the project ○ Update regularly and as needed the SEA/SH action plan	IA, SEA/SH assessment consultant			• An SEA/SH action plan has been developed (Y/N) • Action plan is regularly updated (Y/N)	IA
BEHAVIORAL STANDARDS					
• Develop an Accountability and Response Framework ○ Document in one place the steps for handling, reviewing, verifying and investigating allegations, including timeframe, and responsibilities for each stage of the process, reporting requirements, and specific provisions for child survivors. ○ Ensure coherence with GM and referral protocols/GBV service mapping ○ Reflect in the Ops Manual	IA			• Project has a SEA/SH Prevention and Response Action Plan (Y/N) • Project has an Accountability and Response Framework as part of the ESMP (Y/N)	IA

○ Ensure that accountability and response framework is reflected as needed in bidding documents, offers and contracts ○ Update the accountability and response framework based on lessons learned from incident response and other feedbacks.					
Establish mandatorily enforceable codes of conduct for each category of project workers ○ Develop proportional project-specific codes of conduct ○ Integrate requirements on CoC in all contracts (see dedicated action) ○ Roll-out codes of conduct to ensure they are in place before workers start project-related activities (i.e. have workers sign them individually or as part of training, ensuring that they are aware/trained and that CoC are enforceable)	IA, all project consultants and contractors			• Behavioral standards or CoC which addresses SEA/SH is in place (Y/N) • # training sessions carried out for project actors about Behavioral standards or CoC	IA, supervising engineer, all project consultants and contractors
• Train project workers on expected behaviors and prohibitions related to SEA/SH, GM and support services, ways to file a complaint, etc. ○ Identify proportional training/sensitization solutions for each category of project workers ○ Ensure that requirement and expectations on training are included in contracts with consultants/contractors ○ Mobilize expertise to ensure that project related training is of quality, rights-centered, etc. -integrate	All project consultants and contractors, GBV service provider if relevant			• # of project actors trained on CoC / total # of project actors active in reporting period • # training session carried out for project actors • GM coordinator has been trained in the survivor centered approach (Y/N)	Supervising engineer, all project consultants and contractors, GBV service providers (if relevant)

training of workers in responsibilities of GBV actor to be recruited for TA ○ Training all project workers before they start activities (solutions proportional to risk level) ○ Conduct refresher- or on-the-job training/awareness as part of workers and civil servants ongoing training					
GRIEVANCE MECHANISM AND INCIDENT RESPONSE					
• Map GBV service providers in all areas of project implementation ○ Consult what mapping exists in country ○ Develop TOR and methodology for mapping, including quality assessment (include in TOR for SEA/SH/social assessment) ○ Carry out mapping ○ Integrate gap filling GBV service provision in the TOR of GBV service provider as needed ○ Develop localized referral protocols, to be integrated in the project Accountability and Response Framework. ○ Update referral pathways regularly, as needed	IA, SEA/SH assessment consultant			• Localized referral protocols available for all areas of project implementation (Y/N, disaggregated by region)	IA
• Establish SEA/SH pathways in GMs (community-based and for workers) and	IA			• SEA/SH sensitive SOPs in place as part of broader GM SOPs	IA

capacity to safely and ethically receive and respond to SEA/SH cases ○ Develop survivor-centered SOPs to receive and response to SEA/SH complaints ○ Develop intake forms, referral protocols, information sharing tools, etc. ○ Develop training plans for all stakeholders involved in management of SEA/SH complaints ○ Carry out GM training plans ○ Mobilize expertise as needed to provide TA to operationalization and training related to SEA/SH GM (include in TOR of GBV actor, if relevant). ○ Roll out SEA/SH sensitive GM ○ Reflect key elements of the GM in the Accountability and Response Framework and Ops Manual				● # of SEA/SH cases received by the project, (disaggregated by age, sex, form of violence reported, status/open/closed, etc.);	
● Respond to SEA/SH incidents reported to the project in line with a survivor-centered approach ○ Offer referral to GBV services based on mapping and referral protocols ○ Verify and take action, prioritizing survivors' rights and wishes ○ Identify and implement corrective actions ○ Refer to the disqualification mechanism as needed	IA, GBV service providers (if relevant), all project consultants and contractors			% of SEA/SH cases where survivors were connected to services (disaggregated by services)	IA

• Raise community awareness on SEA/SH, standards of conduct, GM and GBV services available: ○ Develop plan for mobilization, depending on project timelines and risk level ○ Integrate responsibility in TOR of actor raising awareness on broader GM or of GBV actor to be mobilized for SEA/SH TA ○ Develop and review awareness materials, messages, IEC, etc. regularly, based on community's feedbacks, consultations and evolving understanding of risks	IA, GBV service provider			• # of community members targeted by awareness raising (disaggregated by sex) •	IA
MOBILIZATION OF TECHNICAL EXPERTISE					
• Mobilize GBV expert in the PIU ○ Reflect requirement for GBV specialist in PIU in ESCP and allocate funding ○ Plan to mobilize adequate expertise during preparation ○ Develop TOR and recruit	IA			• The IA has a GBV specialist in place (Y/N)	IA
• Clearly define the SEA/SH requirements and expectations, including on CoC, in bid documents and contracts: ○ Include requirements on CoC, workers training, SEA/SH reporting, etc. in the bidding documents, based on project action	IA (social specialists and procurement)			• SEA/SH requirements and expectations are clearly defined in the bid documents (Y/N) • SEA/SH requirements and expectations are clearly defined in the procurement documents (Y/N)	IA

plan and risk level (key elements already on ICB SPD). ○ Explain SEA/SH requirements to bidders. ○ Assess SEA/SH risk mitigation proposal as part of bidding evaluation ○ SEA/SH requirements reflected in C-ESMP and part of offer evaluation, including of contractor's Accountability and Response Framework. ○ Requirements on SEA/SH in contracts of consultants with escalation clauses for non-compliance. ○ SEA/SH costs clearly reflected in contracts (i.e. line items in bill of quantities for clearly defined SEA/SH activities (such as preparation of relevant plans, or specified provisional sums for activities that cannot be defined in advance, such as for implementation of relevant plan/s, etc.) ○ Disqualification mechanisms integrated in contracts.					
• For supervision, have a social specialist in the supervising engineer's team with GBV specific skills to supervise issues related to SEA/SH. ○ Include responsibilities around SEA/SH monitoring in TOR of supervising engineers social	IA, supervising engineer			• Supervising engineer with SEA/SH responsibilities and expertise in place (Y/N)	IA

specialist (e.g. supervise signing of CoCs, training of workers, and compliance with other commitment by contractor)					
• Ensure oversight through an independent Third-Party Monitoring (TPM) organization/Independent Verification Agent (IVA) with experienced GBV staff to monitor implementation of the SEA/SH Action Plan ○ Include responsibilities around SEA/SH monitoring in TOR of TPM ○ Mobilize TPM ○ Integrate SEA/SH monitoring in TPM reports	IA, TPM			• TPM with SEA/SH responsibilities and expertise in place (Y/N)	IA
• Recruit GBV service provider(s) to facilitate access to timely, safe and confidential services for survivors disclosing incidents to the projects in areas where these services are otherwise unavailable. GBV service provider(s)/consultant(s) may also provide technical assistance with the implementation of some of the above mentioned SEA/SH risk mitigation measures at the community level (i.e. workers training, awareness raising, GM operationalization, etc.) ○ Enable funding ○ Develop TOR ○ Recruit ○ Supervise contract and review reports	IA			• # of survivors that were provided GBV services funded by the project (disaggregates by type of service, project link (Y/N), etc.) • # of referrals to GBV services • GBV service provider (consultant) in place (Y/N)	IA

• Train all project stakeholders on project approach to SEA/SH risk management	IA				
M&E					
• Undertake regular M&E of progress on SEA/SH prevention and response activities, including reassessment of risks as appropriate. ○ Integrate advancement of SEA/SH action plan implementation in E&S reporting (all stakeholders) and reports on ESCP implementation (IA) ○ Update the ESCP and/or the relevant E&S management tools to incorporate necessary corrective and preventive actions.	IA, contractors, consultants (including GBV actor), supervising engineer.			• Protocol for M&E of the project is in place (Y/N) • E&S instruments are updated throughout the life span of the project (Y/N)	IA