

Review & Update of World Bank's  
Environmental & Social Safeguard Policies  
Phase 3 Consultation Meetings  
Nov. 2015

**“Road Testing” the new ESSF--Project Case Studies:  
what changes, what does not?**

- 1. What are the new requirements if any?**
- 2. What requirements are dropped, if any?**
- 3. Change in effort or expertise required?**

Review & Update of World Bank's  
Environmental & Social Safeguard Policies  
Phase 3 Consultation Meetings

## Kenya Northern Corridor transport Improvement Project



# From Safeguards to Standards

Standard	Building on	Modernizing
ESS1: Assessment and Management of ESS Risks and Impacts	OP/BP4.01(Environmental Assessment)	Non-discrimination, adaptive management, time frame for compliance
ESS2: Labor and working conditions	OP/BP4.01 and EHS Guidelines	Prohibiting child labor and forced labor, focus on OHS, grievance mechanism
ESS3: Resource Efficiency and Pollution Prevention	OP4.09 (Pest Management) and EHS Guidelines	Efficient management of energy, water, and other resources and materials
ESS4: Community Health and Safety	OP/BP4.37 (Safety of Dams) and EHS Guidelines	Focus on risks and impacts on communities through design and safety of infrastructure, equipment, products, services, traffic, and hazardous materials
ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement	OP/BP4.12 (Involuntary Resettlement)	Greater clarity on treatment of state land, land titling, access to common resources, voluntary transactions, force evictions
ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources	OP/BP4.04 (Natural Habitats) and OP/BP4.36 (Forests)	Requirement to assess and mitigate impacts on biodiversity
ESS7: Indigenous Peoples	OP/BP4.10 (Indigenous Peoples)	Clearer definitions, introduction of FPIC in specified circumstances
ESS8: Cultural Heritage	OP/BP4.11 (Physical Cultural Resources)	Adopt chance find procedure, enhanced consultation with affected communities
ESS9: Financial Intermediaries	OP/BP 4.01	Establish E&S procedures commensurate with FI nature, risk level and impact
ESS10: Information Disclosure and Stakeholder Engagement	Consolidates WB engagement provisions	Meaningful consultation, access to information and grievance redress

## **Approved 2004; Additional Financing 2009; 2<sup>nd</sup> Order Restructuring 2012**

**Original Project objectives:** (a )facilitate trade and regional integration by increasing road transport efficiency in NC; (b) raise aviation safety and security to international standards; (c) promote private sector participation in management, financing, maintenance of road assets

**Additional Project objective added in 2009:** restore vital infrastructure and public assets damaged in 2007 post-election crisis

### **Project description:**

AF in 2013 (added 3 new Municipal & one municipal utility; Restructured 2014: i.a., dropped Istanbul Water and Wastewater subproject)



# **PROJECT COMPONENTS**

**A) Rehabilitation of the Northern Road Corridor:** *priority sections, totaling ca. 381 km*

**New subcomponent in 2009 AF:** repair and replacement of roads and bridges, other public infrastructure, vehicles, equipment damaged or destroyed by floods in 2006/2007 and in post-election crisis 2007; feasibility study and designs for rerouting a section of Kenya-Uganda railway line traversing Nairobi ; implementation of mitigation measures specified in the Environmental Impact Assessment (EIAs) and support to Project Affected Persons including resettlement activities and compensation.

**B) Socio-economic Enhancement, Roadside Amenities and HIWAIDS Mitigation:** . bus and truck stops, off-road booths for local products, HIV/AIDS awareness and prevention campaign through local health centers

**C) Private Sector Participation in Road Management and Maintenance:** TA to facilitate concessioning of selected sections; implementation of pilot program of performance-based maintenance and management.

**D) Road Safety Improvement:** Consultant services to prepare and implement action program to reduce accidents/fatalities on road network

**E) Institutional Strengthening in the Roads Sector and Technical Assistance:** TA and training for institutional capacity strengthening and policy reforms in road sector (including establishment autonomous National Highways Authority)

**F) Support to the Kenya Airports Authority: (KAA).** Civil works, TA, equipment purchase, IT, training to improve operations and safety/security standards at JK, Mombasa and other airports

**G) Support to the Kenya Civil Aviation Authority (KCAA):** TA for safety inspection, training, implementation of Global Navigation Satellite System/Global Positioning System (GNSS/GPS); support to East African School of Aviation for training of trainers, air traffic control systems, engineering services, air accident investigation laboratory.

**H) Support to the Ministry of Transport (MOT):** TA to strengthen institutional capacity in MOT and Bandari College, review maritime legislation, train specialist staff in the transport sector.

Some challenges/changes during project implementation:

**Introduction of Road Sector Governance and Integrity Improvement Action Plan (RSGAP)** to improve transparency and accountability in the road sub-sector.

Caused delays in project implementation due to adding more detailed procurement reviews, new clauses in civil works contracts, etc.

Required for the Additional Financing approval

(NOTE: delays also due to contract procurement process, contractor performance issues, labor unrest)

**Unexpectedly high air traffic growth rates and operator's safety requirements at JKIA**

Required substantial expansion of plans to modernize and increase airport capacity: from renovation of existing 3 terminal buildings to expanding the existing three and building a fourth

(NOTE: AFDB and EIB financing the works; WB financing supervision consultancy)

## **EIA Category B (remained throughout AF and restructuring)**

### **Safeguard instruments: EIA, RPF, sub-project specific RAPs**

Minimal land acquisition --most works are rehabilitation of existing assets and new bypasses mostly within ROW owned by Recipient Acquisition. New airport terminal entirely within secure boundary of land owned by Airport Authority

Funds for implementation of EMP and RAPs included in construction contracts

### **Communications Strategy:**

Key, integral element of the project – explaining project benefits and updating stakeholders on:

- implementation progress of the physical works
- Project actions for increasing transparency and accountability in public investments and supporting the fight against corruption and fraud
- Demonstrating GoK response to new priorities and needs that emerged following the December 2007 post-elections crisis.

WB External Affairs working with MoR and KeNHA to arrange:

- joint public workshops and briefing sessions
- KeNHA website for public posting of documents on sensitive issues (e.g. road tolling strategy). appointment of key staff (e.g. Directors of the Boards of the road authorities), award of contracts, contractors' recruitment of workers, etc. -- to promote transparency in these transactions

# ***Social Assessment and Action: Poverty Reduction, Inclusion, Gender, HIV/AIDS Mitigation***

## **Kenya Poverty and Inequality Assessment Report ( KPIA - 2008):**

- Highlighted existence of underlying structural inequalities, which must be addressed to enable inclusive growth and development, end a vicious circle of elite capture, skewed distribution, social exclusion and poverty
- Called for major investments in Western and Nyanza provinces to help them move out of poverty and conflict, address high HIV/AIDs prevalence rate, achieve balanced development effort (targeting investments to poorer regions became a pillar of WB Country Assistance Strategy).

## **Project contribution to these objectives:**

**Indirect:** focus on Western and Nyanza provinces; improved transport linkages essential for economic strengthening.

## **Direct:**

- sub-component for converting road-side kiosks into socio-economic centers for small traders (mainly women)
- HIV/AIDs sub-component (including mitigation measures included in road construction contracts): HIV/AIDs awareness campaign targeting road users and sex workers; health kiosks at the roadside stations
- Other measures, e.g. new secondary school in Coast Province replacing one close to quarry site in one road contract



# Potential Environmental and Social Impacts Identified in ESIA

**Positive Impacts;** local economic benefits of reduced transport costs and time for goods, and increased access to goods and public services and facilities; employment opportunities during construction and during operation (particular benefits for women are noted)

## **Negative Impacts:**

Increased road accidents (from higher traffic volume and speeds)

Air and noise pollution, vibration during construction and operation

Clearance of vegetation for diversions, road expansion, quarries, work camps (not considered significant in terms of natural habitat)

Increased wood fuel collection (deforestation) for work camps during construction and due to improved transport during operation

Dangers (including malaria) and aesthetic impacts if borrow pits/quarries not rehabilitated

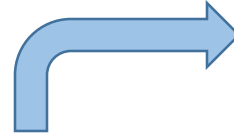
Soil erosion, soil contamination, runoff into rivers (chronic and accidental)

Public health and social impacts of influx of workers/work camps (HIV/AIDs, stress on local public services, increased crime (mainly during construction; some increase in long term due to upgraded roads)

## **Mitigation:**

- during construction: ESMP measures incorporated in construction contracts; oversight by Supervising Engineer
- during life of the road: Various measures proposed, but in some cases lacking specifics on implementation responsibilities

# From Safeguards to E&S Standards



## CATEGORY B



**SUBSTANTIAL  
(MODERATE?)  
RISK**

SAFEGUARDS POLICY		CADP
4.01	ENVIRONMENTAL ASSESSMENT	✓
4.04	NATURAL HABITATS	
4.36	FORESTS	
4.09	PEST MANAGEMENT	
4.11	PHYSICAL CULTURAL RESOURCES	
4.37	SAFETY OF DAMS	
7.50	PROJECTS ON INTERNATIONAL WATERWAYS	
7.60	PROJECTS IN DISPUTED AREAS	
4.12	INVOLUNTARY RESETTLEMENT	✓
4.10	INDIGENOUS PEOPLES	

ESS STANDARD	Specific Applicability to CADP
ESS1: Assessment and Management of ESS Risks and Impacts	✓
ESS2: Labor and working conditions	✓
ESS3: Resource Efficiency and Pollution Prevention	✓
ESS4: Community Health and Safety	✓
ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement	✓
ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources	✓
ESS7: Indigenous Peoples	
ESS8: Cultural Heritage	
ESS9: Financial Intermediaries	
ESS10: Information Disclosure and Stakeholder Engagement	✓

## ESS1: Assessment & Management of E & S Risks & Impacts

New Requirements/Approaches?	Actual (under WB Ops)	Changes under ESSF
<b>Use of Borrower's E &amp; S Framework to the extent possible</b>	No explicit gap analysis or discussion in ESIA  ESIA/ESMP describes framework and responsibilities for environmental monitoring and compliance during operational phase	<ul style="list-style-type: none"> <li>Presumption is to use national systems to achieve ESS, assessed by and at discretion of WB</li> <li>Bank and Borrower jointly identify measures to fill gaps.</li> </ul>
<b>E &amp; S Assessment</b>	Positive and negative social impacts included in ESIA, ESMP as well as in project design	Possibly some additional social risks to be considered (per Para 26(b) of ESS1
<b>E &amp; S Commitment Plan</b>	No ESCP:	Time-bound ESCP, covering life of project; part of Legal Agreement; emphasis on monitoring and adaptive management
<b>Project Monitoring &amp; Reporting</b>	ESMP provides monitoring indicators, responsibilities and estimated costs E&S Unit established in Road Department	No change
<b>Stakeholder Engagement &amp; Info Disclosure</b>	Public consultations on Safeguards documents;  Detailed Communications Strategy throughout life of project	Preparation, disclosure, reporting on Stakeholder Engagement Plan – likely little substantive change from actual Communications Strategy but might be more explicitly interactive

## ESS2: Labor & Working Conditions

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>Working Conditions &amp; Management of Worker Relationships</b>	No explicit requirements beyond routine OHS requirements in contracts	Explicit requirements and Borrower responsibilities across broader range of issues, for direct hires, contracted and subcontracted workers
<b>Protecting the Work Force</b>	No explicit requirements	Explicit requirements relating to non-discrimination; child/forced labor
<b>Grievance Mechanism</b>	Only in RAPs	Separate GM for workers
<b>Occupational Health &amp; Safety (OHS)</b>	general OHS included in EMP and contracts	Explicit requirements for WBG Env Health & Safety Guidelines or other international standard
<b>Contracted Workers</b>	Only OHS provisions in contracts, as above	Expanded requirements in contracts; application to subcontractors; enhanced Borrower responsibility for monitoring
<b>Workers in Community Labor</b>	No requirement	Not applicable (no community labor in project)
<b>Primary Supply Workers</b>	No requirement	Not applicable

## ESS3: Resource Efficiency & Pollution Prevention & Management

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>Resource Efficiency</b>	No explicit requirements	ESIA explicitly address any opportunities for efficiencies during construction and operation: water, energy and materials
<b>Pollution Prevention &amp; Management</b>	<ul style="list-style-type: none"><li>• ESIA/ESMP includes specific pollution prevention measures (construction and operation phases)</li><li>• No greenhouse assessment</li></ul>	<ul style="list-style-type: none"><li>• General analysis of Greenhouse gas emissions (probably below threshold for detailed analysis); potential climate change impacts on project sustainability</li></ul>

## ESS4: Community Health & Safety

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>Community Health &amp; Safety</b>	ESIA/ESMP addressed worker camp/influx issues, HIV/AIDs, increased pressure on local services and local air/water/noise pollution; malaria risk of unrehabilitated quarries	<ul style="list-style-type: none"><li>• Consideration of other potential impacts, e.g. other communicable &amp; non-communicable diseases; impacts on ecosystem services including climate change impacts</li><li>• Preparation of emergency response plan</li></ul>
<b>Security Personnel</b>	No requirement	No issues in this project (?)




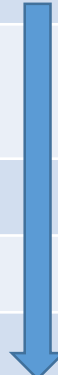
## ESS5: Land Acquisition, Restrictions on Land Use & Involuntary Resettlement

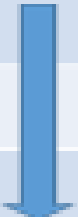
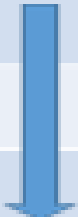
New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>General</b>	Resettlement Policy Framework and site-specific Resettlement Action Plans as needed	Consideration of gender-specific impacts in land acquisition
<b>Displacement</b>	RPF covers physical & economic, permanent & temporary displacement, reduced access	No change
<b>Collaboration with Other Responsible Agencies or Subnational Jurisdictions</b>	RPF describes responsibilities of PIU, local authorities, contractors	RPF/ESCP might require more explicit, written agreements among parties involved in land acquisition
<b>Technical &amp; Financial Assistance</b>	<p>Land acquisition costs included in construction contracts</p> <p>ESMP includes general para on need for training and capacity building, to be provided by E&amp;S Unit</p>	<p>ESCP would specify time-bound plan for needed capacity building for project implementation, including cost estimates and progress indicators</p> <p>Would also promote strengthening of Borrower capacity beyond project needs (sectoral, policy level)</p>

## ESS6: Biodiversity Conservation & Sustainable Management of Living Natural Resources

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>General</b>	OP 4.04 not triggered: ESIA stated no flora/fauna of conservation importance likely to be affected	<p>More detailed assessment of potential impacts on biodiversity values and ecosystem services (considering both natural and modified habitats;</p> <p>more detailed assessment of potential indirect impacts, e.g. fuelwood collection; increased access to National Park and other conservation areas)</p>
<b>Primary Suppliers</b>	No requirement	Not applicable (no sourcing of primary living natural resources)

## ESS7: Indigenous Peoples, ESS9 Financial Intermediaries

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>General</b>	Not applicable	Not applicable
<b>Circumstances Requiring Free, Prior &amp; Informed Consent (FPIC)</b>		
<b>Mitigation &amp; Development Benefits</b>		
<b>Grievance Mechanism</b>		
<b>Indigenous Peoples &amp; Broader Development Planning</b>		

<b>FI Environmental &amp; Social Procedures</b>	Not Applicable	Not Applicable
<b>Stakeholder Engagement</b>		
<b>Reporting to the Bank</b>		

## ESS8: Cultural Heritage

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>General</b>	Not applicable (no physical cultural heritage affected)	EIA would consider potential for impact on intangible cultural heritage (but unlikely to be an issue as no greenfield development)
<b>Stakeholder Consultation &amp; Identification of Cultural Heritage</b>	No requirement	Likely not applicable
<b>Legally Protected Cultural Heritage Areas</b>		
<b>Provisions for Specific Types of Cultural Heritage</b>		
<b>Commercialization of Cultural Heritage</b>		

## ESS10: Stakeholder Engagement & Information Disclosure

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>Engagement during Project Preparation</b>	Public consultations on Safeguards instruments; Preparation of detailed and comprehensive Communications Strategy (not required by Safeguard Policies but part of project design)	Preparation of Stakeholder Engagement Plan, much like Comm. Strategy but possibly more emphasis on stakeholder identification and interaction/participation beyond communication
<b>Engagement during Project Implementation &amp; External Reporting</b>	Implementation of Communications Strategy, emphasizing public reporting on sensitive issues of project implementation	Implementation of SEP (minor change)  Regular reporting to public and WB on all aspects of implementation, including any project changes resulting in increased risks/impacts
<b>Grievance Mechanism</b>	Relating to RAP only	Covering all aspects of project; separate GM for workers
<b>Organizational Capacity &amp; Commitment</b>	ESIA/ESMP and RPF/RAP identify institutional responsibilities; general statement on need for capacity building	ESCP includes detailed requirements and commitments for implementation and specific, time-bound capacity building measures

## Operational Implications of Proposed Framework

Environmental and Social Standard	Prospective Change in Effort/ Resources
ESS 1: Assessment and Management of Environmental and Social Risks and Impacts	Low to Moderate
ESS 2: Labor and Working Conditions	Moderate to Substantial
ESS 3: Resource Efficiency and Pollution Prevention and Management	Low
ESS 4: Community Health and Safety	Low
ESS 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement	Low
ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources	Low to Moderate
ESS 7: Indigenous Peoples	None
ESS 8: Cultural Heritage	Low to None
ESS 9: Financial Intermediaries	None
ESS 10: Stakeholder Engagement and Information Disclosure	Low to Moderate



# Kenya Informal Settlements Improvement Programme



One of three inter-related projects requested by Government around 2010 to address core issues that constrain development potential, efficiency, equity, and competitiveness of Kenya's urban areas, improve overall functioning of cities and upgrade living conditions in informal settlements:

**Kenya Municipal Program:** focus on strengthening the essential institutions of urban management (planning, financial management, operations & maintenance, etc) in 15 of Kenya's largest cities, and investments in city-wide infrastructure

**KISIP:** Strengthen tenure security, participatory planning, settlement infrastructure in same 15 municipalities

**Nairobi Metropolitan Services Project:** investments in infrastructure and service delivery in Nairobi

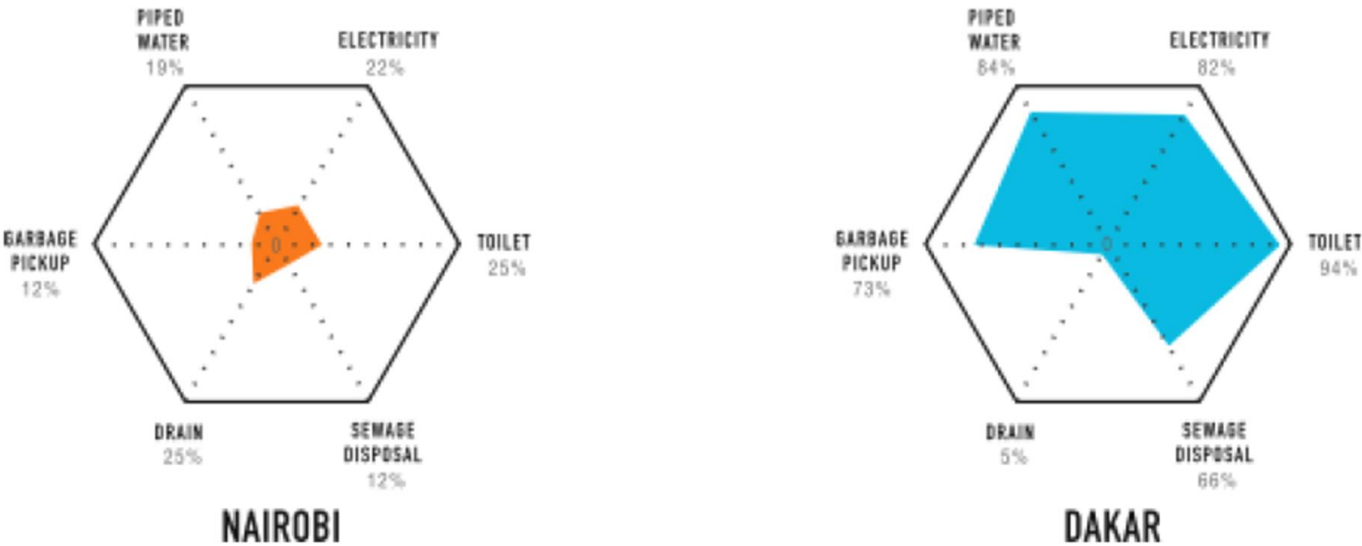
	Nairobi	Dakar
% Completed primary education	78	38
% Completed secondary education	24	7
% working (report paid employment)	68	39
Report paid employment	68	39
% HH above poverty line	28	18
% residents with access to home with solid walls, power and water connection	3	74
Average infrastructure index	20	60
% that own their residents (vs. tenants)	8	74
% feeling secure in tenure	51	71
% feeling safe	37	48
Average years residence in home	5	19

### Conclusions:

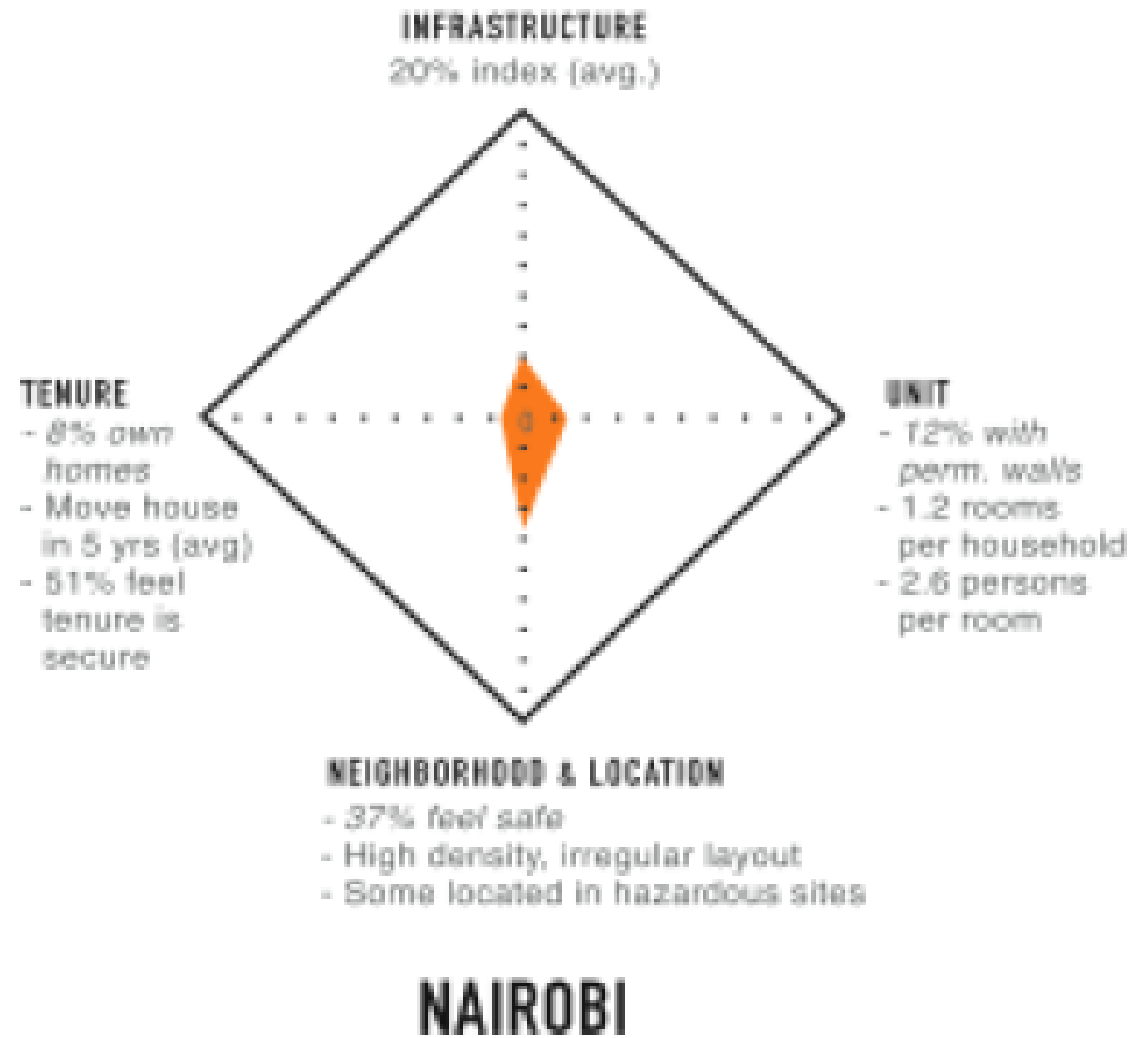
- increases in education, jobs and/or incomes do not automatically translate into better living conditions
- Importance of tenure variables—duration of stay and proportion of owner-occupiers to tenants—in determining approach to upgrading

## Study comparing slum residents and conditions in Dakar and Nairobi (2010)

FIGURE 2: INFRASTRUCTURE POLYGON



- **PROJECT OBJECTIVES:** improve living conditions in informal settlements in selected municipalities in Kenya, by improving security of tenure and investing in infrastructure based on plans developed in consultation with the community.
- *Component 1: Strengthening institutions and program management:* institutional strengthening and capacity building of the Ministry of Housing, the Ministry of Lands, and the selected municipalities; management activities associated with program implementation and establishment of M&E system.
- *Component 2: Enhancing tenure security:* systematization and scale-up of ongoing efforts to strengthen settlement planning and tenure security in urban informal settlements.
- *Component 3: Investing in infrastructure and service delivery:* investment in settlement infrastructure, and extension of trunk infrastructure to settlements.
- *Component 4: Planning for urban growth:* support for planning and development of options that facilitate the delivery of infrastructure services, land, and housing for future population growth.



Using the “living conditions diamond” as a framework for intervention: defined as composite of indicators across four dimensions: (a) unit, (b) infrastructure, (c) tenure, and (d) neighborhood and location

## Principles:

- Focus on improving living conditions.
- Target settlements that score poorly on at least two of the four dimensions of the LC diamond.
- Intervene through improvements in infrastructure, tenure security, or neighborhood planning, but not directly through improvements of housing units.
- Deliver an upgrading package that is tailored to settlement context and community priorities.
- Adopt a city-wide approach: cover multiple slums in a given city, seek to connect them to city-wide trunk infrastructure and maintenance systems.
- Adopt a cost cap per hectare for infrastructure investments, to ensure that more slums can be reached within the limited budget envelope of the project.
- Develop and follow a transparent system for selection of settlements.
- Strive to build strong ownership and implementation by municipalities:
  - Municipalities participate in identification of settlements for upgrading, lead the work on community mobilization/consultation, supervise implementation of upgrading. KMP/KISIP help build capacity of municipalities to increasingly take over responsibility for procuring goods and services
  - Voluntary participation of municipalities: municipality must adopt a municipal council resolution that explicitly states its interest in participating and willingness to adhere to the project's rules



# From Safeguards to E&S Standards



## CATEGORY B



**SUBSTANTIAL  
(MODERATE?)  
RISK**

SAFEGUARDS POLICY	CADP
4.01 ENVIRONMENTAL ASSESSMENT	✓
4.04 NATURAL HABITATS	
4.36 FORESTS	
4.09 PEST MANAGEMENT	
4.11 PHYSICAL CULTURAL RESOURCES	✓
4.37 SAFETY OF DAMS	
7.50 PROJECTS ON INTERNATIONAL WATERWAYS	
7.60 PROJECTS IN DISPUTED AREAS	
4.12 INVOLUNTARY RESETTLEMENT	✓
4.10 INDIGENOUS PEOPLES	

ESS STANDARD	Specific Applicability to CADP
ESS1: Assessment and Management of ESS Risks and Impacts	✓
ESS2: Labor and working conditions	✓
ESS3: Resource Efficiency and Pollution Prevention	✓
ESS4: Community Health and Safety	✓
ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement	✓
ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources	✓
ESS7: Indigenous Peoples	
ESS8: Cultural Heritage	
ESS9: Financial Intermediaries	
ESS10: Information Disclosure and Stakeholder Engagement	✓

## **EXPECTED POSITIVE E&S IMPACTS**

Greater awareness and knowledge of local environment, enabling environmentally sustainable planning in future

Employment and business opportunities for local communities

Improved community safety including traffic and disease; access to public services (including emergency response)

Reduction of accidents and crime due to improved lighting


Health and aesthetic benefits of better waste management

Reduced flooding and stagnant water through improved drainage

Reduced fire risk

# POTENTIAL NEGATIVE IMPACTS

## Social impacts:

- Displacement of businesses,
  - Influx of speculators and job seekers
  - Accidental damage to existing infrastructure
  - “social decadence of workers”
- 
- Main concerns of local residents
- PAD (not ESMF) identifies need to ensure women benefit from tenure regularization and can participate in/influence choice and location of infrastructure investments and describes institutional and other measures for this
  - PAD (not ESMF) identifies potential risks such as perception of favoritism in selection of beneficiary settlements, social conflict due to perception of uneven benefits to legal land rights, “elite capture,” rent increases.

(PAD Risk Assessment does not identify risk of Implementing Agencies limited experience with participatory planning, particularly involving slum dwellers)

## Environmental impacts:

- During construction: mostly typical small scale construction issues (dust, noise, temporary access restrictions, waste management and disposal (construction and workers), Occupational Health and Safety, etc.
- Borrow site/quarry impacts (habitat degradation, aesthetics, safety hazards)
- Potential larger impacts of extension of trunk infrastructure
- Following construction (operation): noise in open spaces and parks, increased surface runoff from pavements and roads. impacts of non-maintenance e.g. solid waste and domestic effluent due to blocked drains or non-collection of waste.

## **Safeguards Instruments:**

### **Environmental and Social Management Framework, providing guidance on:**

- environmental screening for all investments
- determining the nature /magnitude of E&S issues and, where necessary, the scope of municipal project-specific EIAs and social impact assessments, per government regulations and WB E&S Safeguard policies
- development of EMPs and guidelines, with budgetary provisions
- identification of mechanisms for implementation and monitoring of EMPs, including integration of EMPs into detailed engineering design, bid and contract documents prior to award of works.
- capacity building needs

### **Resettlement Policy Framework, covering:**

- process for various pre-construction activities such as screening, social impact assessments, baseline census surveys, and preparation and implementation of (RAPs) for individual investments.
- description of the compensation for land acquisition and loss of other assets and assistance to be provided for different types of impacts.

(NOTE: most investments likely to be rehabilitation, not large scale new works, but high population density means likelihood of some displacement)

## ESS1: Assessment & Management of E & S Risks & Impacts

New Requirements/Approaches?	Actual (under WB Ops)	Changes under ESSF
<b>Use of Borrower's E &amp; S Framework to the extent possible</b>	ESMF specifies national and WB requirements will both be met (states that EMCA recognizes other sectoral laws while WB has safeguards for specific interests)	<ul style="list-style-type: none"> <li>• Presumption is to use national systems to achieve all ESS, assessed by and at discretion of WB</li> <li>• Bank and Borrower jointly identify measures to fill gaps.</li> </ul>
<b>E &amp; S Assessment</b>	Detailed social assessment was part of project design; ESMF also calls for both E & S assessment and mitigation	Possibly some additional social risks to be considered (per Para 26(b) of ESS1)
<b>E &amp; S Commitment Plan</b>	No ESCP	Time-bound ESCP, covering life of project; part of Legal Agreement; emphasis on monitoring and adaptive management
<b>Project Monitoring &amp; Reporting</b>	ESMF guidance for defining sub-project monitoring indicators, responsibilities and estimated costs; Municipal PCT's E&S specialists will monitor implementation under oversight of National PCT specialists.	Might include explicit Stakeholder and/or 3 <sup>rd</sup> party monitoring of project/SG implementation
<b>Stakeholder Engagement &amp; Info Disclosure</b>	Public consultations on Safeguards documents (ESMF/RPF and project-specific EIA/EMP/RAP) ; Consultation to continue throughout project implementation	Preparation, disclosure, reporting on Stakeholder Engagement Plan – clear regarding mechanisms for consultation/participation with communities as well as Municipal authorities

## ESS2: Labor & Working Conditions

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>Working Conditions &amp; Management of Worker Relationships</b>	No explicit requirements beyond routine OHS requirements in contracts	Explicit requirements and Borrower responsibilities across broader range of issues, for direct hires (national and municipal), contracted and subcontracted workers
<b>Protecting the Work Force</b>	No explicit requirements	Explicit requirements relating to non-discrimination; child/forced labor
<b>Grievance Mechanism</b>	Only in RAPs	Separate GM for workers
<b>Occupational Health &amp; Safety (OHS)</b>	general OHS included in EMP and contracts	Explicit requirements for WBG Env Health & Safety Guidelines or other international standard
<b>Contracted Workers</b>	Only OHS provisions in contracts, as above	Expanded requirements in contracts; application to subcontractors; enhanced Borrower responsibility for monitoring
<b>Workers in Community Labor</b>	No requirement	Not applicable (no community labor in project)
<b>Primary Supply Workers</b>	No requirement	Not applicable



## ESS3: Resource Efficiency & Pollution Prevention & Management

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>Resource Efficiency</b>	No explicit requirements under OP; no mention in ESMF	ESMF guidance would call for attention to energy and resource efficiency in design of new/restored infrastructure
<b>Pollution Prevention &amp; Management</b>	<ul style="list-style-type: none"><li>• ESIA/ESMP includes specific pollution prevention measures (construction and operation phases)</li><li>• No greenhouse assessment</li></ul>	<ul style="list-style-type: none"><li>• General analysis of Greenhouse gas emissions (probably below threshold for detailed analysis); potential climate change impacts on project sustainability</li></ul>

## ESS4: Community Health & Safety

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>Community Health &amp; Safety</b>	<p>Improving community health and safety is a core objective of the program.</p> <p>ESMF mentions several risks including HIV/AIDs, drug abuse</p> <p>Mitigation mostly through provisions in construction contracts</p> <p>ESMF refers to IAs mounting sensitization campaigns, but no details</p>	<ul style="list-style-type: none"> <li>• Consideration of other potential impacts, e.g. other communicable &amp; non-communicable diseases; loss of ecosystem services; impacts of climate change</li> <li>• ESCP to include detailed, time-bound plan for managing community health and safety risks</li> <li>• Preparation of emergency response plan</li> </ul>
<b>Security Personnel</b>	No requirement	No issues in this project (?)



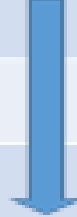
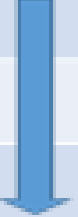
## ESS5: Land Acquisition, Restrictions on Land Use & Involuntary Resettlement

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>General</b>	Resettlement Policy Framework and site-specific Resettlement Action Plans as needed	Consideration of gender-specific impacts in land acquisition
<b>Displacement</b>	RPF covers physical & economic, permanent & temporary displacement, reduced access	No change
<b>Collaboration with Other Responsible Agencies or Subnational Jurisdictions</b>	RPF describes responsibilities of Implementing agencies, local authorities, contractors	RPF/ESCP might require more explicit, written agreements among parties involved in land acquisition
<b>Technical &amp; Financial Assistance</b>		<p>ESCP would specify time-bound plan for needed capacity building for project implementation, including cost estimates and progress indicators</p> <p>Would also promote strengthening of Borrower capacity beyond project needs (sectoral, policy level)</p>

## ESS6: Biodiversity Conservation & Sustainable Management of Living Natural Resources

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>General</b>	<p>OP 4.04 not triggered</p> <p>ESMF does not identify any specific issues; all works to occur in developed areas</p>	<p>Possibly closer attention to potential direct/indirect impacts relating to water supply, waste water disposal, fuelwood demand, impacts of larger scale works for extension of trunk infrastructure</p>
<b>Primary Suppliers</b>	No requirement	Not applicable (no sourcing of primary living natural resources)

## ESS7: Indigenous Peoples, ESS9 Financial Intermediaries

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
General	Not applicable (?)	Not applicable (?)
Circumstances Requiring Free, Prior & Informed Consent (FPIC)		
Mitigation & Development Benefits		
Grievance Mechanism		
Indigenous Peoples & Broader Development Planning		
FI Environmental & Social Procedures	Not Applicable	Not Applicable
Stakeholder Engagement		
Reporting to the Bank		

## ESS8: Cultural Heritage

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>General</b>	ESMF includes provisions for identifying/protecting physical cultural heritage	EIA would consider potential for impact on intangible cultural heritage (but unlikely to be an issue as no greenfield development)
<b>Stakeholder Consultation &amp; Identification of Cultural Heritage</b>	No requirement	Likely not applicable
<b>Legally Protected Cultural Heritage Areas</b>		
<b>Provisions for Specific Types of Cultural Heritage</b>		
<b>Commercialization of Cultural Heritage</b>		

## ESS10: Stakeholder Engagement & Information Disclosure

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF
<b>Engagement during Project Preparation</b>	Project emphasizes community participation in identifying investments Public consultations on Safeguards instruments;	Preparation of Stakeholder Engagement Plan to ensure continued strong engagement throughout life of project
<b>Engagement during Project Implementation &amp; External Reporting</b>		Implementation of SEP  Regular reporting to public and WB on all aspects of implementation, including any project changes resulting in increased risks/impacts
<b>Grievance Mechanism</b>	Relating to RAP only	Covering all aspects of project; separate GM for workers
<b>Organizational Capacity &amp; Commitment</b>	Institutional roles set out in ESMF; provisions for Implementing Agencies to engage E&S staff but no analysis of capacity to engage with communities in manner called for	ESCP includes detailed requirements and commitments for implementation, detailed capacity assessment and specific, time-bound capacity building measures

## Operational Implications of Proposed Framework

Environmental and Social Standard	Prospective Change in Effort/ Resources
ESS 1: Assessment and Management of Environmental and Social Risks and Impacts	Low to Moderate
ESS 2: Labor and Working Conditions	Moderate to Substantial
ESS 3: Resource Efficiency and Pollution Prevention and Management	Low to moderate
ESS 4: Community Health and Safety	Low to moderate
ESS 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement	Low
ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources	Low to Moderate
ESS 7: Indigenous Peoples	None
ESS 8: Cultural Heritage	Low to None
ESS 9: Financial Intermediaries	None
ESS 10: Stakeholder Engagement and Information Disclosure	Low to Moderate



**Thank you for your  
Attention**