

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

Ethiopia Water Supply Hygiene and Sanitation Project



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Feb. 2016

**“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?**
- 4. Added Value?**

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

Project objective: to increase access to improved water supply and sanitation services for residents in participating woredas/towns and communities in Ethiopia.

Project description:

Component 1. Rural Water Supply Sanitation and Hygiene, including (i) construction and rehabilitation of community water supply schemes in communities, and in schools and health facilities; (ii) promotion of hygiene and sanitation practices, and (iii) capacity building.

Component 2. Urban Water Supply and Sanitation, including: (i) rehabilitation/reconstruction of urban water production, treatment and distribution systems in small and medium size towns; (ii) preparation of a National Urban Sanitation Strategy; (iii) strengthening capacity for managing water supply and sanitation facilities; and (iv) feasibility and other studies.

Works in larger urban centers with existing water supply and sanitation systems that need to be expanded or improved are to be financed on an on-lending basis through the Water Resources Development Fund, consistent with the Government's policy on cost recovery for urban water supply and sanitation.

Component 3. Program Management

Implementation of Safeguard Policies (actual)

OP 4.01:

- Category B project.
- The overall environmental impacts of the project are positive, and planned activities will supply safe drinking water and sanitation facilities. Negative impacts are localized, site specific, and be reduced or avoided with proper mitigation measures.
- ESMF was prepared by appraisal (building on the ESMF for the earlier WSSP project), due to uncertainty about the locations and scope of the civil works.
- Generic impacts include: removal of vegetation; increased soil erosion; (partial) loss of farm land, dwellings and other properties; pollution of water resources; soil contamination; noise and air pollution; increased risk of HIV/AIDS; occupational health and safety; impacts from labor force housing, and quarry and borrow site operation and various ancillary activities during the project implementation.

OP 4.10:

- Screening conducted by the World Bank indicated that the majority of the people in the project area meet the criteria defined under OP4.10.
- A social assessment (SA) was conducted, consulted on and disclosed by appraisal.
- Key stakeholders were consulted in the Woredas, Kebeles and communities, including identified vulnerable and undeserved groups, to seek their broad support for the project and emphasize the importance of WaSH services to themselves and their families.
- The PAD describes measures to ensure that the project has free, prior and informed consultation leading to broad community support; mitigates any adverse impacts on communities; includes culturally appropriate benefit-sharing; includes a grievance redress mechanism; and, has a monitoring and evaluation system.

Implementation of Safeguard Policies (actual)

OP 4.11:

- Triggered out of precaution as the project may entail movement of earth (digging boreholes, laying pipes).
- The ESMF, its screening forms, generic EMP and contractor guidelines include procedures for identification and management of chance finds (to be further addressed in EMPs and contracts for works).

OP 4.12:

- Rehabilitation and construction activities under components 1 & 2 may lead to permanent or temporary taking of land leading to economic or physical displacement.
- Resettlement Policy Framework (RPF) was prepared by appraisal as specific investment locations not be identified at that stage, to guide preparation of Resettlement Action Plans (RAP) as needed.

OP 4.11 (not part of the currently proposed review and update):


- Water supplies to several smaller towns and rural settlements will cause abstraction of surface and ground water.
- Riparian states were notified.

From Safeguards to E&S Standards



SAFEGUARDS POLICY	ST LUCIA DVRP
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	✓

CATEGORY B



MODERATE RISK

ESS STANDARD	Specific Applicability to Project
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, additional effort/expense under ESSF	Value?
Use of Borrower's E & S System to the extent possible	Not done	Borrower may request, WB approve in whole or in part	
E & S Assessment	ESMF includes screening mechanism. For certain subprojects full ESIA will be required, integrating environmental and social assessment (including community H&S)	ESIA include assessment of potential for specific community benefits; Non-quantitative assessment of greenhouse gas emissions (see ESS3)	
E & S Commitment Plan	Generic EMP and contractor guidelines in ESMF. In case of ESIA, EMP to be informed by ESIA. Measures to be transcribed into the works contract documents, and where necessary into the TORs of the supervision and monitoring engineers	Time-bound ESCP covering life of project, emphasis on monitoring and adaptive management	
Project Monitoring & Reporting	Requirements throughout life of project; allocation of monitoring responsibilities (and tentative costing) in ESMF. Spot checks	ESCP likely with broader range of monitoring, explicit provisions for adaptive management based on monitoring results	
Stakeholder Engagement & Info Disclosure	Public consultations on Safeguards documents ESMF, RPF, social assessment prior to appraisal (and any ESIA, RAP during project implementation)	Preparation and implementation of Stakeholder Engagement Plan, Borrower reporting to public and WB throughout life of project	

ESS2: Labor & Working Conditions

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF	Value?
Working Conditions & Management of Worker Relationships	No explicit requirements beyond routine OHS requirements in contracts	Explicit requirements and Borrower responsibilities relating to relationship between contractors/subcontractors and workers	
Protecting the Work Force	No equivalent requirement	Explicit requirements relating to non-discrimination; child/forced labor	
Grievance Mechanism	In RPF (and any subsequent RAP)	For all aspects of project; separate GM for workers	
Occupational Health & Safety (OHS)	General OHS in ESMF and generic EMP (for subprojects without full ESIA) and in contractor guidelines	Explicit requirements for WBG Env Health & Safety Guidelines	
Contracted Workers	General OHS provisions in contracts	Expanded requirements in contracts; application to subcontractors; enhanced Borrower responsibility for monitoring	
Workers in Community Labor	No equivalent requirement	Expanded requirements: ascertain voluntary basis; Working Conditions & Management of Worker Relationships and OHS apply in proportionate manner	
Primary Supply Workers	No equivalent requirement	Ascertain significant risk of harmful child labor or forced labor.	9

ESS3: Resource Efficiency & Pollution Prevention & Management

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF	Value?
Resource Efficiency	No requirement	Explicit consideration of opportunities to enhance energy efficiency	
Pollution Prevention & Management	ESMF and generic EMP (plus contractor guidelines) provide for prevention of water and soil pollution, safe handling of materials, disposal of waste, effluent discharge requirements etc. No mention of GHG	GHG emissions estimation?	



ESS4: Community Health & Safety

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF	Value?
Community Health & Safety	<p>ESMF, and generic EMP (and contractor guidelines) pay attention to potential impacts of construction and operation incl. traffic accidents, HIV/Aids, dust and noise, health risks due to water contamination, potential for conflict.</p> <p>Within 6 weeks of signing the contract for works, contractor must develop a community health, safety and environmental management plan</p>	<p>Consideration of other potential impacts, e.g. communicable & non-communicable diseases (?) Emergency plan (?)</p>	
Security Personnel	No requirement		

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

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF	Value?
General	RPF was prepared prior to appraisal, to guide preparation of RAP as needed.	ESCP specifies preparation/implementation of RAP prior to land acquisition for project purposes (RPF or RAP still required prior to WB Board approval?)	
Displacement	RPF covers physical & economic; permanent and temporary displacement	No change	
Collaboration with Other Responsible Agencies or Subnational Jurisdictions	RPF describes responsibilities of PIU, local authorities	ESCP might require more explicit, written agreements among parties involved in land acquisition	
Technical & Financial Assistance	RPF describes requirements for capacity strengthening	ESCP might specify time-bound assistance to strengthen Borrower capacity, with costs and monitoring provisions	

ESS6: Biodiversity Conservation & Sustainable Management of Living Natural Resources

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF	Value?
General	Not applicable	Not applicable	
Primary Suppliers			



ESS7: Indigenous Peoples

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF	Value?.
General	Social assessment done by appraisal	No change	
Circumstances Requiring Free, Prior & Informed Consent (FPIC)	No change	No change in circumstances— except FPIC instead of FPIC- LBCS. Clearer recognition of need to document; clearer recognition of pastoralists	
Mitigation & Development Benefits	Vulnerable groups to share in benefits	No change	
Grievance Mechanism	In RPF	No change	
Indigenous Peoples & Broader Development Planning	Nor	Protect IP who are in voluntary isolation	

ESS8: Cultural Heritage

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF	Value?
General	ESMF considers potential for impact; chance find procedures described in generic EMP and contractor guidelines	EIA would consider potential for impact on intangible cultural heritage (unlikely to be an issue)	
Stakeholder Consultation & Identification of Cultural Heritage	ESMF was the subject of public consultations	Meaningful consultations to identify cultural heritage that maybe impacted, assign value and develop mitigation measures	
Legally Protected Cultural Heritage Areas	No requirement		
Provisions for Specific Types of Cultural Heritage	No requirement	Intangible cultural heritage	
Commercialization of Cultural Heritage	No requirement	Inform affected communities of their rights; meaningful consultations & benefit sharing	

ESS9: Financial Intermediaries

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF	Value?
FI Environmental & Social Procedures	Not applicable 	Not applicable 	
Stakeholder Engagement			
Reporting to the Bank			

ESS10: Stakeholder Engagement & Information Disclosure

New Requirements?	Actual (under WB Ops)	Changes, additional effort/expense under ESSF	Value?
Engagement during Project Preparation	Public consultations on Safeguards instruments	Preparation of Stakeholder Engagement Plan, covering life or project ;	
Engagement during Project Implementation & External Reporting	Operation and disclosure of Grievance Mechanism in relation to land acquisition and engagement with vulnerable groups	Implementation of SEP; Regular reporting to public and World Bank on implementation	
Grievance Mechanism	Relating to RPF and vulnerable groups only	Covering all aspects of project; separate GM for workers	
Organizational Capacity & Commitment	Capacity building elements in ESMF	ESCP to specify detailed, time-bound implementation and associated capacity building plan	

Operational Implications of Proposed Framework:

Borrower: overall low incremental change in scope of work and resources; decreasing marginal costs as capacity increases

Bank: similar low incremental change

Environmental and Social Standard	Prospective Change in Effort/ Resources
ESS 1: Assessment and Management of Environmental and Social Risks and Impacts	Moderate to Substantial
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 to None
ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources	Low
ESS 7: Indigenous Peoples	None
ESS 8: Cultural Heritage	Low to None
ESS 9: Financial Intermediaries	None
ESS 10: Stakeholder Engagement and Information Disclosure	Moderate