

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

ESS1 – ANNEX 1. ENVIRONMENTAL AND SOCIAL ASSESSMENT

General

1. The Borrower will undertake an environmental and social assessment to assess the environmental and social risks and impacts of a project during each stage of the project cycle. The term 'environmental and social assessment' is a generic term that describes the process of analysis and planning used by the Borrower to ensure the environmental and social impacts and risks associated with a project are identified, avoided where possible, mitigated and managed.
2. The environmental and social assessment is the primary means of ensuring projects are environmentally and socially sound and sustainable, and will be used to inform decision making. The environmental and social assessment is a flexible process, that can use different tools and methods depending on the details of the project and the circumstances of the Borrower (see para 5 below).
3. The environmental and social assessment will be conducted in accordance with ESS1, and will consider, in an integrated way, all relevant direct, indirect and cumulative environmental and social risks and impacts of the project, including those specifically identified in ESS1-10. The breadth, depth, and type of analysis undertaken as part of the environmental and social assessment will depend on the nature and scale of the project, and the potential environmental and social risks and impacts that could result. The Borrower will undertake the environmental and social assessment at the scale and level of detail appropriate to the potential risks and impacts.¹
4. The manner in which the environmental and social assessment will be conducted and the issues to be addressed will vary for each project. The Borrower will consult with the Bank to determine the process to be used, taking into account a number of activities, including scoping, stakeholder engagement, potential environmental and social issues and any specific issues raised between the Bank and Borrower. The environmental and social assessment will include and take into account coordination and consultation with affected people and other stakeholders, particularly at an early stage, to ensure that all potentially significant environmental and social risks and impacts are identified and addressed.
5. The different methods and tools used by the Borrower to carry out the environmental and social assessment and to document the results of such assessment, including the mitigation measures to be implemented, will reflect the nature and scale of the project². As specified in ESS1³, these will include, as appropriate, a combination or elements of the following:

a. *Environmental and Social Impact Assessment (ESIA)*

Environmental and social impact assessment (ESIA) is an instrument to identify and assess the potential environmental and social impacts of a proposed project, evaluate alternatives, and design appropriate mitigation, management, and monitoring measures.

b. *Environmental and Social Audit*

Environmental and social audit is an instrument to determine the nature and extent of all environmental and social areas of concern at an existing project or activities. The audit identifies

¹ See ESS1 Section B.

² These will also reflect national regulatory requirements, which may be relied on by the Borrower to the extent they meet the requirements of the ESSs.

³ See ESS1, para 21.

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and justifies appropriate measures and actions to mitigate the areas of concern, estimates the cost of the measures and actions, and recommends a schedule for implementing them. For certain projects, the environmental and social assessment may consist of an environmental or social audit alone; in other cases, the audit forms part of the environmental and social assessment.

c. Hazard or Risk Assessment

Hazard or risk assessment is an instrument for identifying, analyzing, and controlling hazards associated with the presence of dangerous materials and conditions at a project site. The Bank requires a hazard or risk assessment for projects involving certain inflammable, explosive, reactive, and toxic materials when they are present in quantities above a specified threshold level. For certain projects, the environmental and social assessment may consist of the hazard or risk assessment alone; in other cases, the hazard or risk assessment forms part of the environmental and social assessment.

d. Social and Conflict Analysis

Social and conflict analysis is an instrument that assesses the degree to which the project may (a) exacerbate existing tensions and inequality within society (both within the communities affected by the project and between these communities and others); (b) have a negative effect on stability and human security; (c) be negatively affected by existing tensions, conflict and instability, particularly in circumstances of war, insurrection and civil unrest.

e. Environmental and Social Management Plan (ESMP)

Environmental and social management plan (ESMP) is an instrument that details (a) the measures to be taken during the implementation and operation of a project to eliminate or offset adverse environmental and social impacts, ~~or to reduce them to acceptable levels~~; and (b) the actions needed to implement these measures.

f. Environmental and Social Management Framework (ESMF)

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 sub-projects, and the risks and impacts cannot be determined until the program or sub-project details have been identified. The ESMF sets out the principles, rules, guidelines and procedures to assess the environmental and social risks and impacts. It contains measures and plans to reduce, mitigate and/or offset adverse risks and impacts, provisions for estimating and budgeting the costs of such measures, and information on the agency or agencies responsible for addressing project risks and impacts. The ESMF may be used to help define foreseeable future projects and subprojects necessary in environmentally and socially assessing cumulative effects, connected or enabled actions, long-term irreversible effects, indirect impacts, project area of influence, and risk classification for projects and subsequent projects. These assessed items will, where applicable, be made part of the UAIP.

g. Regional ESIA

Regional ESIA examines environmental and social risks and impacts, and issues, associated with a particular strategy, policy, plan, or program, or with a series of projects, for a particular region (e.g., an urban area, a watershed, or a coastal zone); evaluates and compares the impacts

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against those of alternative options; assesses legal and institutional aspects relevant to the risks, impacts and issues; and recommends broad measures to strengthen environmental and social management in the region. Regional ESIA pays particular attention to potential cumulative risks and impacts of multiple activities in a region but may not include the site-specific analyses of a specific project, in which case the Borrower must develop supplemental information.

h. Sectoral ESIA

Sectoral ESIA examines environmental and social risks and impacts, and issues, associated with a particular sector in a region or across a nation; evaluates and compares the impacts against those of alternative options; assesses legal and institutional aspects relevant to the risks and impacts; and recommends broad measures to strengthen environmental and social management in the region. Sectoral ESIA also pays particular attention to potential cumulative risks and impacts of multiple activities. A Sectoral ESIA may need to be supplemented with project- and site-specific information.

i. Strategic Environmental and Social Assessment (SESA)

Strategic environmental and social assessment (SESA) is a systematic examination of environmental and social risks and impacts, and issues, associated with a policy, plan or program, typically at the national level but also in smaller areas. The examination of environmental and social risks and impacts will include consideration of the full range of environmental and social risks and impacts incorporated in ESS 1 through 10. SESAs are typically not location-specific. They are therefore prepared in conjunction with project and site-specific studies that assess the risks and impacts of the project.

6. Specific features of a project may require the Borrower to utilize specialized methods and tools for assessment, such as a Resettlement Plan, Livelihood Restoration Plan, Indigenous Peoples Plan, Biodiversity Action Plan, Cultural Heritage Management Plan, and other plans as agreed with the Bank.

7. To ensure a comprehensive environmental and social assessment, the Borrower will:

a. Conduct a scoping exercise to identify all aspects of the project with the potential to cause environmental or social risks and impacts. If needed, the Borrower will support a visit by the Bank specialist(s) to resolve uncertainty in project scoping/screening.

b. Define the applicable legal and regulatory environment, including the requirements of national and local law and permits ([documenting the absence of national and local laws and regulations to protect disadvantaged and vulnerable groups](#)), relevant requirements of ESS1-10, EHSGs and relevant GIIP. The Borrower will also identify any inconsistencies or conflicts between applicable requirements, and explain how these will be resolved.

c. Define and characterize the people and environmental and natural resources that could be affected by the project, including the extent to which people may rely upon or benefit from potentially affected ecosystems and their associated attributes.

d. Identify and evaluate the project's potential direct, indirect and cumulative environmental and social risks and impacts. The level of detail and analysis should be commensurate with the potential risks and impacts and the need for specific mitigation.

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e. Identify and evaluate project alternatives, including the no project alternative, focusing on alternatives that could avoid or reduce impacts, including size, siting, materials use, labor force, construction methods, and other elements of design and operation. If the least-impact alternative is not preferred, this should be fully justified.⁴

f. Identify measures to reduce risks and impacts in accordance with the mitigation hierarchy set out in ESS1, para 25. Where complex or multiple measures and actions are needed to control risks, including those that are the subject of ESS 5 or ESS7, stand-alone plans may be required to ensure the project meets the ESSs.

g. Where adverse impacts are anticipated to fall disproportionately on disadvantaged or vulnerable individuals or groups, measures and actions should be identified and adopted to prevent such disproportionate impacts⁵. These measures and actions will take into account any group which, by virtue of (for example) age⁶, gender, ethnicity, religion, physical or mental disability, social or civic status, sexual orientation, gender identity, economic disadvantages or indigenous status, and/or dependence on unique natural resources may be more likely to be:

- i. adversely affected by the project impacts; and/or
- ii. more limited than others in their ability to take advantage of a project's benefits; and/or
- iii. excluded from or unable to participate fully in mainstream consultation processes.

h. Provide the documents comprising the environmental and social assessment for review by the Bank to determine whether they provide an adequate basis for disclosure by the Bank and for processing the project for Bank support.

i. Revise or refine the documents comprising the environmental and social assessment as needed to be acceptable to the Bank and suitable for disclosure by the Bank.

j. Engage and consult with stakeholders, including affected communities, and disadvantaged or vulnerable individuals or groups, in accordance with ESS10.

8. Borrowers should initiate the environmental and social assessment as early as possible in project processing and integrate it closely with the economic, financial, institutional, social, and technical analyses of the proposed project. Borrowers will consult with the Bank as early as possible so the environmental and social assessment is designed from the outset to meet the requirements of the ESSs, relying heavily on ESS 10 disclosure and consultation to assist in the early processing of economic, financial, institutional, social, and technical analyses.

9. When the Borrower has completed or partially completed environmental and social assessment prior to the Bank's involvement in a project, the environmental and social assessment is subject to the Bank's review to ensure that it meets the requirements of the ESSs. If appropriate the ESA does not meet all of

⁴ Project design (including location, size, components, etc.) should be an iterative process that considers the results of impact assessment and that allows refinements of design to further avoid or reduce significant impacts, including the need for less active mitigation.

⁵ See ESS1, para 27.

⁶ Considerations relating to age (both the elderly and minors) and persons with disabilities include the elderly and minors, including in circumstances where they may be separated from their family, the community or other individuals upon whom they depend.

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the requirements of the ESSs, the Borrower is required to conduct additional work, including public consultation and disclosure.

10. Depending on the potential significance of risks and impacts, the Borrower may be required to retain independent third party specialists to prepare or review all or part of the environmental and social assessment.⁷

11. Where the Borrower is required by ESS1⁸ to engage internationally recognised independent experts, the experts will be expected to advise on key aspects of the project, including stakeholder engagement. Their role will depend on the degree to which project preparation has progressed, and on the extent and quality of the environmental and social assessment that has been completed at the time the Bank begins to consider the project.

Special Project Types

Subprojects

12. Where a project involves the development of subprojects, the Borrower will carry out appropriate environmental and social assessment for each subproject in accordance with national law⁹. Where subprojects are classified as High Risk, the environmental and social assessment will be consistent with ESSs 1 to 8 and ESS10, including this Annex. The Borrower will demonstrate to the Bank's satisfaction that it has the capabilities needed to (a) screen subprojects; (b) obtain the necessary expertise to carry out environmental and social assessment; (c) review all findings and results of environmental and social assessment for individual subprojects; (d) ensure implementation of mitigation measures; and (e) monitor environmental and social conditions during project implementation. If the Bank is not satisfied that adequate capacity exists for carrying out environmental and social assessment, and otherwise at the Bank's discretion, environmental and social assessment for High Risk subprojects will be subject to prior review and approval by the Bank.

Financial Intermediary Lending

13. For a financial intermediary (FI) operation, each FI is required to screen proposed subprojects and ensure that sub-borrowers carry out appropriate environmental and social assessment for each subproject commensurate with national law and the identified environmental and social risks and impacts. Where a subproject is classified as High Risk, the environmental and social assessment will be consistent with ESSs 1 to 8 and ESS10, including this Annex.

Institutional Capacity

14. Environmental and social assessment can provide opportunities for coordinating environmental and social-related responsibilities and actions in the host country in a way that goes beyond project boundaries/responsibilities and, as a result, where feasible should be linked to other environmental and social strategies and action plans, and free-standing projects. The environmental and social assessment

⁷ Environmental and social assessment is closely integrated with the project's economic, financial, institutional, social, and technical analyses to ensure that (a) environmental and social considerations are given adequate weight in project selection, siting, and design decisions; and (b) environmental and social assessment does not delay project processing. However, the Borrower ensures that when individuals or entities are engaged to carry out environmental and social assessment, any conflict of interest is avoided. For example, when an independent ESIA is required, it should not be carried out by the consultants who prepare the engineering design.

⁸ ESS1, para 31.

⁹ ESS1, para 29.

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for a specific project can thereby help strengthen environmental and social management capability in the country and both Borrowers and the Bank are encouraged to take advantage of opportunities to use it for that purpose.

15. The Borrower may include components in the project to strengthen its legal or technical capacity to carry out key environmental and social assessment functions. If the Bank concludes that the Borrower has inadequate legal or technical capacity to carry out such functions, the Bank may require strengthening programs to be included as part of the project. If the project includes one or more elements of capacity strengthening, these elements will be subject to periodic monitoring and evaluation as required by ESS1.

Other requirements for certain projects

16. Where relevant, the environmental and social assessment will take into account the requirements of OP 7.50 for projects on international waterways and OP 7.60 for projects in disputed areas.

Indicative Outline of ESIA

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

(A) ***Executive summary***

- Concisely discusses significant findings and recommended actions.

(B) ***Legal and institutional framework***

- Analyzes the legal and institutional framework for the project, within which the environmental and social assessment is carried out, including the issues set out in ESS1, para 24¹⁰.
- 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.

(C) ***Project description***

- Concisely describes the proposed project and its geographic, environmental, social, and temporal context, including any offsite investments that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well as the project's primary supply chain.
- Through consideration of the details of the project, indicates the need for any plan to meet the requirements of ESS 1 through 10.

¹⁰ ESS1, para 24, states that the environmental and social assessment takes into account in an appropriate manner all issues relevant to the project, including: (a) the country's applicable policy framework, national laws and regulations, and institutional capabilities (including implementation) relating to environment and social issues; variations in country conditions and project context; country environmental or social studies; national environmental or social action plans; and obligations of the country directly applicable to the project under relevant international treaties and agreements; (b) applicable requirements under the ESSs; and (c) the EHSG, and other relevant GIIP.

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- 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 (i.e., the project area of influence; see Annex 2, paragraph 12(D)).

(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.

- The detail will include differentiated measures for design, operation, or mitigation measures to account for disaggregation of different groups within the community so that adverse impacts do not fall disproportionately on the disadvantaged or vulnerable, and they are not disadvantaged in sharing any development benefits and opportunities resulting from the project

- Identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions (ensuring accessibility and inclusion issues regarding disadvantaged or vulnerable groups is assessed as to whether there is existing in-country protective legislative provisions or are such protection are noticeably missing)¹¹;

- 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.

(E) *Environmental and social risks and impacts*

-Takes into account 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. These will include:

(a) Environmental risks and impacts, including:

(i) those defined by the EHS^{12 11};

(ii) those related to community health and safety, including those issues specifically identified in ESS4 (including dam safety and safe use of pesticides);

(iii) those related to climate change and other transboundary or global impacts;

¹¹ See paragraph ESS1, paragraphs 18 and 24.

¹² ¹¹ The Environmental, Health, and Safety Guidelines (EHSs) are technical reference documents with general and industry-specific statements of Good International Industry Practice. The EHSs contain information on industry-specific risks and impacts and the performance levels and measures that are generally considered to be achievable in new facilities by existing technology at reasonable cost.

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- (iv) any material threat to the protection, conservation, maintenance and rehabilitation of natural habitats and biodiversity; and
 - (v) those related to the use of living natural resources, such as fisheries and forests.
- (b) Social risks and impacts¹³, including:
- (i) threats to human security through the escalation of personal, communal or inter-state conflict, crime or violence;
 - (ii) risks that project impacts fall disproportionately on disadvantaged or vulnerable groups;
 - (iii) any prejudice or discrimination toward individuals or groups in providing access to development resources and project benefits, particularly in the case of disadvantaged or vulnerable groups ;
 - (iv) negative economic and social impacts relating to the involuntary taking of land or restriction on access to natural resources, including as set out in ESS5 (including physical displacement and economic displacement);
 - (v) risks or impacts associated with land and natural resource tenure and use, including (as relevant) potential project impacts on local land use patterns and tenurial arrangements, land access and availability, food security and land values, and any corresponding risks related to conflict or contestation over land and natural resources;
 - (vi) impacts on the health, safety and well-being of workers and project-affected communities; and
 - (vii) risks to cultural heritage.

(F) Mitigation measures

- Identifies mitigation measures and any residual negative impacts that cannot be mitigated and, ~~to the extent possible, assesses the acceptability of those~~ documents the level of risks based on the Bank's Risk Classification of the remaining residual negative impacts¹⁴.
- 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.

¹³ Social risks and impacts include social barriers to human interactions and any barriers to the built environment such as those for persons with disabilities regarding accessible infrastructure which include but are not limited to buildings, health centers, shopping facilities, transportation, workplace spaces, markets, walkways, educational materials, and accessible technology. See ESS1, Annex 1.

¹⁴ The Borrower, subject to acceptance by the Task Teams and OPCS ESSAT staff will assess whether the residual potential risks are classified as High, Substantial, Moderate, or Low based on the Information Note: Environmental and Social Risk Classification, October 7, 2014. See also ESS1, Annex1, paragraph 12.

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- specifies issues that do not require further attention, providing the basis for this determination.

(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, comparison of such costs of alternative mitigation to overall project costs, 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 with additional attention to disadvantaged and vulnerable groups to the extent possible, and attaches economic values where feasible.

- For each of the alternatives, ~~quantifies-gives an assessment of the quality of potential the~~ environmental and social benefits, especially for disadvantaged and vulnerable groups. ~~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 ESHG or if the ESHG is determined to be inapplicable, justifies recommended mission levels and approaches to pollution prevention and abatement that are consistent with GIIP.

(I) Universal Accessibility and Inclusion Plan (UAIP) measures and actions

- All relevant Borrower project actions, activities, and mitigation hierarchy measures associated with the human element of the project which do or may potentially affect accessibility and inclusion adversely or are to ensure equitable sharing in project benefits are to be documented in the UAIP.

- The documentation is to include all actions, activities, or mitigation measures from any subprojects and subsequent or connected activities whether from the Borrower or another entity in the project's area of influence (e.g., adjacent communities, neighbors, or individuals potentially affected by the Borrower's present project.)

- The UAIP will specifically identify whether the project actions, activities, and mitigation measures are for the purpose of preserving or enhancing the accessibility and/or inclusion of disadvantaged and vulnerable persons or groups as required meeting the directives of this ESS1 or any of the other ESSs¹⁵; this includes project alternatives identified as ways of improving project selection, siting, planning, design and implementation in order to prevent, minimize, mitigate, or compensate for adverse environmental and social impacts and enhance the positive impacts of the project.

¹⁵ Specific attention is to be given to persons with disabilities and children which are commonly affected on a multidimensional basis of socially and environmentally. See Annex 2, UAIP, paragraph 12 for more detail.

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- The UAIP will be written to stand on its own and will be used in whole as part of the development of the Environmental and Social Commitment Plan (ESCP).

(J)(4) Key measures and actions for the Environmental and Social Commitment Plan (ESCP)

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

(K) (4) Appendices

- (i) List of the individuals or organisations that prepared or contributed to the environmental and social assessment, including their area of expertise and experience, and the particular sections of the document they were responsible for preparing.
- (ii) References—setting out the written materials both published and unpublished, that have been used.
- (iii) Record of meetings, consultations and surveys with stakeholders, including those with affected people and local NGOs. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected groups and local NGOs.
- (iv) Tables presenting the relevant data referred to or summarized in the main text.
- (v) List of associated reports or plans.

Indicative Outline of ESMP

18. An ESMP consists of the set of mitigation, monitoring, and institutional measures to be taken during implementation and operation of a project to eliminate adverse environmental and social risks and impacts, offset them, or reduce them to acceptable levels¹⁶. The ESMP also includes the measures and actions needed to implement these measures. The Borrower will (a) identify the set of responses to potentially adverse impacts; (b) determine requirements for ensuring that those responses are made effectively and in a timely manner; and (c) describe the means for meeting those requirements.

19. Depending on the project, an ESMP may be prepared as a stand-alone document¹⁷⁻⁴² or the content may be incorporated directly into the ESCP. All ESMP actions, activities, and mitigation hierarchy measures directed at the human element of the project's potential adverse impacts on accessibility and inclusion are to be documented in the UAIP. The content of the ESMP will include the following:

(A) Mitigation

¹⁶ Acceptable levels means potential risks and impacts that the stakeholders through accessible and inclusive disclosure and engagement have willingly agreed to and given written consent through the ESS10 process. Issues in the grievance process or the subject of an on-going case are not considered to be at an acceptable level.

¹⁷⁻⁴² This may be particularly relevant where the Borrower is engaging contractors, and the ESMP sets out the requirements to be followed by contractors and the capacity of expertise and experience considered necessary to complete their tasks under the project. In this case the ESMP should be incorporated as part of the contract between the Borrower and the contractor, together with appropriate monitoring and enforcement provisions.

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

(i) identifies and summarizes all anticipated significant adverse environmental and social impacts (including those involving indigenous people or involuntary resettlement);

(ii) specifically identifies all anticipated significant adverse environmental and social impacts associated with human accessibility and inclusion (see ESS1, Annex 2 UAIP);

(iii) (iii) describes--with technical details--each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate;

(iv) (iii) estimates any potential environmental and social impacts of these measures; and

(v) (iv) takes into account, and is consistent with, other mitigation plans required for the project (e.g., for involuntary resettlement, indigenous peoples, or cultural heritage).

(B) Monitoring

- The ESMP identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP^{18 43}. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

(C) Capacity development and training

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

- Specifically, the ESMP provides a specific description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures

^{18 43} Monitoring during project implementation provides information about key environmental and social aspects of the project, particularly the environmental and social impacts of the project and the effectiveness of mitigation measures. Awareness of the effectiveness of such mitigation actions and measures as they pertain to disadvantaged and vulnerable persons or groups is critically important to achieving the priority of avoiding adverse impacts under the mitigation hierarchy and ensuring equitable inclusion in project benefits. Persons with disabilities are uniquely vulnerable to such effects because their issues are not generally well understood and are exposed to multidimensional risks and impacts from social and environmental barriers. Such The gathered information enables the Borrower and the Bank to evaluate the success of mitigation as part of project supervision, and allows corrective action to be taken when needed.

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(e.g. for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training).¹⁹

- To strengthen environmental and social management capability in the agencies responsible for implementation, the ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.

(D) Implementation schedule and cost estimates

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

(E) Integration of ESMP with project

- The Borrower's decision to proceed with a project, and the Bank's decision to support it, are predicated in part on the expectation that the ESMP (either stand alone or as incorporated into the **UAIP and** ESCP) will be executed effectively. Consequently, each of the measures and actions to be implemented will be clearly specified, including the individual mitigation and monitoring measures and actions and the institutional responsibilities relating to each, and the costs of so doing will be integrated into the project's overall planning, design, budget, and implementation.

Indicative Outline of Environmental and Social Audit

20. The aim of the audit is to identify significant environmental and social issues in the existing project or activities, and assess their current status, specifically in terms of meeting the requirements of the ESSs.

(A) Executive summary

- Concisely discusses significant findings and set out recommended measures and actions and timeframes.

(B) Legal and institutional framework

- Analyzes the legal and institutional framework for the existing project or activities, including the issues set out in ESS1, para 24, and (where relevant) any applicable environmental and social requirements of existing financiers.

(C) Project description

¹⁹ The Borrower must demonstrate adequate capacity, experience, and expertise, including the use of independent external expertise, to make informed judgments, determinations, and recommendations regarding the ESMP actions and mitigation measures considered necessary to complete their tasks. All such expertise and experience of responsible staff is to be documented prior to any actions being taken. It is particularly important where persons with disabilities are involved because their issues regarding social and environmental barriers to accessibility and inclusion are routinely misunderstood and multidimensional.

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- Concisely describes the existing project or activities, and the geographic, environmental, social, and temporal context, including any offsite investments that may exist (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities).

- Identifies the existence of any plans already developed to address specific environmental and social impacts (e.g. land acquisition or resettlement plan, cultural heritage plan, biodiversity plan)

- Identifies the existence of any disadvantaged and vulnerable groups and shows a disaggregation of these groups by the virtue of being disadvantaged or vulnerable (see ESS1, para. 26(b)).

- Includes a map of sufficient detail, showing the site of the existing project or activities and the proposed site for the proposed project.

(D) Environmental and social Issues associated with the existing project or activities

- The review will consider the key issues relating to the existing project or activities. The issues addressed in the ESSs will serve as a starting point and these will be addressed as relevant to the existing project or activities. The audit will also review issues not covered by the ESSs, to the extent that they represent key issues in the circumstances of the project.

- Issues typically covered under an environmental and social audit include a review of the following:

- the existing systems for managing environmental and social risks and impacts
- Stakeholder engagement, including identification of stakeholders, disclosure of information and conduct of consultations, as required by ESS10
- the organisational capacity and resources available for managing environmental and social risks and impacts
- Policies or procedures relating to labor issues, e.g., terms and conditions of employment, child labor, forced labor, non-discrimination, accessible workplace, reasonable accommodations for workspace, equal opportunity and grievance mechanisms
- Procedures relating to management of contractors
- Occupational health and safety (local and national requirements, key health and safety issues, control and major accident hazards, current health and safety monitoring program, provisions for workplace safety and fire routes/exits for persons with disabilities, summary of regulatory compliance status, summary of health and safety expenditures, emergency response etc.)
- Management of potentially hazardous works
- Pollution prevention measures and overall compliance with applicable requirements and other pertinent standards, including GIIP

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- Management of waste, including the use and management of hazardous materials
- Community health, safety and security as it relates to the project or activities, including summary of incidents, standing claims of misconduct, and grievances
- Major hazards assessment and management; environmental/emergency response management plans in the event of an incident, accident or spill, including measures for a safe clean-up of space and persons from exposure, and an accessible, barrier free exit
- Biodiversity conservation and management
- Policy, procedures and practice relating to land acquisition and resettlement (e.g. process, consultation, compensation, grievance redress, methods for ensuring appropriate accommodations for accessibility and inclusion for persons with disabilities). This should include a review of grievance reports, available mitigation techniques per the mitigation hierarchy, and resolution
- Policy, procedures and practice relating to Indigenous Peoples
- Issues set out in the Indicative Outline for an ESIA, section (E) and (I)

(E) *Environmental and social analysis*

- The audit will also assess (i) the potential impacts of the proposed project (taking into account the findings of the audit with regard to the existing project or activities and any foreseeable future project activities); and (ii) the ability of the proposed project to meet the requirements of the ESSs.

(F) *Proposed environmental and social measures*

- Based on the findings of the audit, this section will set out the suggested measures to address such findings. These measures will be included in the Environmental and Social Commitment Plan (ESCP) for the proposed Project.

- specific actions required to meet the requirements of the ESSs
- corrective measures and actions to mitigate potentially significant environmental and/or social risks and impacts associated with the existing project or activities and any foreseeable future project activities
- measures and to avoid or mitigate any potential adverse environmental and social risks or impacts (associated with any of either the existing project or activities, foreseeable future project activities, or the proposed project)
- actions and measures specifically taken for disadvantaged and vulnerable persons or groups for the purposes of implementing the mitigation hierarchy for adverse impacts to avoid first, minimize second, and compensate/offset as last resort or ensuring equitable sharing of project benefits.

Endorsing Organizations

1. Afghan Landmine Survivors Organization (ALSO)	Afghanistan
2. Algerian Federation of Persons with Disabilities	Algeria
3. Associacao Nacional De Deficientes Angolanos (ANDA)	Angola
4. "Disabilityinfo" information NGO	Armenia
5. The Union of Legal Entities "National Disability Advocacy Coalition"	Armenia
6. Australian Federation of Disability Organisations	Australia
7. Deaf Australia	Australia
8. First Peoples Disability Network (FPDN) formely known as Aboriginal Disability Network	Australia
9. International Council for Education for People with Visual Impairment (ICEVI)	Australia
10. Motivation Australia Development Organisation	Australia
11. Rights Inclusion Australia	Australia
12. World Blind Union - Asia Pacific (WBU-AP), Pacific Oceania Sub - Region	Australia
13. Disabled Persons Organization	Bahamas
14. Access Bangladesh Foundation	Bangladesh
15. ADD Bangladesh	Bangladesh
16. Adibashi Protibandhi Kallan Samithy	Bangladesh
17. Agropothik Protibandhi Unnayan Sangstha	Bangladesh
18. Baisakanda Protibandhi Unnayan Sangstha	Bangladesh
19. Bandhan Samaj Unnayan Sangstha (BSUS)	Bangladesh
20. Bangladesh Equality Society (BES)	Bangladesh
21. Bangladesh Legal Aid Service Trust (BLAST)	Bangladesh
22. Bangladesh Protibandhi Unnion Sangstha (BPUS)	Bangladesh
23. Bangladesh Society for the Change and Advocacy Nexus (B-SCAN)	Bangladesh
24. Caritas Bangladesh	Bangladesh
25. CCH-Mymensing	Bangladesh
26. Chittagong Society for the Disabled	Bangladesh
27. Choto Tara Samajkalan Sangstha	Bangladesh
28. Coastal Development Organization for Women (CDOW)	Bangladesh
29. Coastal DPO Alliance (CDA)	Bangladesh
30. Dhamrai Protibandhi Unnayan Sangstha	Bangladesh
31. Disable Child Foundation	Bangladesh
32. Dishary Protibandhi Sangstha (DPS)	Bangladesh
33. Dristy Sangstha	Bangladesh
34. Federation of DPOs Sitakund	Bangladesh
35. Foundation of the Differently Abled (FDA)	Bangladesh
36. IDCEP	Bangladesh
37. Jadabpur Protibandhi Unnayan Sangstha	Bangladesh
38. Jatiyo Trinomul Protibandhi Sangstha (NGDO)	Bangladesh
39. Kalpana Protibandhi Unnayan Shongtha (KPUS)	Bangladesh

40. Karapara Nari Kalyan Shangstha (KNKS)	Bangladesh
41. Khoksa Protibondhi Kallan Sangstha	Bangladesh
42. LCDB Bangladesh	Bangladesh
43. Leprosy Mission International	Bangladesh
44. Nannar Protibandhi Unnayan Sangstha	Bangladesh
45. Narayangong Sadar Upazilla Protibandhi Unnayan Parishad	Bangladesh
46. National Council of Disabled Women (NCDW)	Bangladesh
47. NOWZUWAN	Bangladesh
48. Panchari Upojela Protibondhi Kallyan Shongho	Bangladesh
49. Parbatty Pratibondi Kalyan Sangsta (PPKS)	Bangladesh
50. Physically Challenge Development Foundation	Bangladesh
51. Poverty Alleviation And Social Development Organization (PAASDO)	Bangladesh
52. Progoti Protibondhi Unnoyan Sangstha (PPUS)	Bangladesh
53. Protibandhi Hawkers unnayan Society	Bangladesh
54. Protibandhi Kallyan Songstha (Prokas)	Bangladesh
55. Protibandi Sechchasebi Society (PSS)	Bangladesh
56. Protibondhi Community Centre (PCC)	Bangladesh
57. Protibondhi Nagorik Shangathaner Parishad (PNSP)	Bangladesh
58. Protibondhi Unnayan Sangstha Hobigang	Bangladesh
59. Protik Mohila O Sheshu Sangstha	Bangladesh
60. Rehabilitation Center of the Disabled (RCD)	Bangladesh
61. SATHI	Bangladesh
62. Savar Protibandhi Unnayan Sangstha	Bangladesh
63. SEBA	Bangladesh
64. SEID Trust	Bangladesh
65. Shamadhan Sangstha	Bangladesh
66. Society for Unique Capable Citizens (SUCC)	Bangladesh
67. Society of the Deaf and Sign Language users (SDSL)	Bangladesh
68. Spinal Cord Injuries' Development Association Bangladesh (SCIDAB)	Bangladesh
69. Surma Andha Kallyan Samity	Bangladesh
70. Turning Point Foundation	Bangladesh
71. UDDOG	Bangladesh
72. Village Initiative For Empowerment of Women (VIEW)	Bangladesh
73. Women with Disabilities Development Foundation (WDDF)	Bangladesh
74. Young Power in Social Action	Bangladesh
75. Fédération des Associations des Personnes handicapées du Bénin (FAPHB)	Benin
76. Disabled Persons' Association of Bhutan (DPAB)	Bhutan
77. Association of paraplegics, persons with polio and other physical disabilities of Dobo Region	Bosnia and Herzegovina
78. Union des Personnes Handicapées du Burundi (UPHB)	Burundi
79. Cambodian Disabled People's Organisation (CDPO)	Cambodia
80. Cook Islands National Disability Council (CINDC)	Cook Islands

81. Czech National Disability Council	Czech Republic
82. Dominica Association of Persons with Disabilities	Dominica
83. Association of 7 million Handicapped	Egypt
84. Pohnpei Consumer Organization of and for Persons living with disabilities and their families in Pohnpei and around the Federated State of Micronesia	Federated States of Micronesia
85. Fiji Association of the Deaf (FAD)	Fiji
86. Fiji Disabled People's Federation (FDPF)	Fiji
87. Psychiatric Survivors Association (PSA)	Fiji
88. Spinal Injury Association Of Fiji (SIA)	Fiji
89. United Blind Persons of Fiji (UBP)	Fiji
90. Pohnpei Consumer Organization (PCO)	FSM
91. Gambia Federation of the Disabled	Gambia
92. ISL Germany (Interessenvertretung selbstbestimmt Leben in Deutschland e.V.)	Germany
93. Guyana Blindcricket Association	Guyana
94. Guyana Council of Organisations for Persons with Disabilities	Guyana
95. Guyana Society for the Blind	Guyana
96. Young Voices Guyana	Guyana
97. Action for Ability Development and Inclusion (AADI)	India
98. Gerakan Peduli Disabilitas Dan Lepra Indonesia (GPDLI)	Indonesia
99. People Affected by Leprosy	Indonesia
100. ADD International	International
101. Disabled People's International Arab Regional Office	International
102. Disabled People's International (DPI)	International
103. Inclusion International	International
104. International Disability Alliance (IDA)	International
105. International Disability and Development Consortium (IDDC)	International
106. Light for the World Confederation	International
107. Pacific Disability Forum	International
108. Association of Iraqis with Disabilities in Dhi Qar	Iraq
109. Association of the Blind in Dhi Qar	Iraq
110. Committee for Building Capacity and Empowerment - Society of Little People in Dhi Qar	Iraq
111. Committee for International Cooperation, Partnership and Inclusive Development - Society of Little People in Dhi Qar	Iraq
112. Committee for Monitoring, Information and Research - Society of Little People in Dhi Qar	Iraq
113. Communications and Media Committee - Society of Little People in Dhi Qar	Iraq
114. Disability, Poverty and Conflict Committee - Society of Little People in Dhi Qar	Iraq
115. Equality and Protection Committee - Society of Little People in Dhi Qar	Iraq
116. Iraqi Association for Short Statured People in Baghdad (Qassier Association)	Iraq
117. Society of Little People in Dhi Qar	Iraq

118. Spcecial Rights Committee - Society of Little People in Dhi Qar	Iraq
119. Federations of Associations for Social Promotion of Disabled	Ivory Coast
120. Combined Disabilities Association (CDA)	Jamaica
121. Development and Rights Center	Jordan
122. Equality for People with Disabilities Charity Association	Jordan
123. United Disabled Persons of Kenya (UDPK)	Kenya
124. Association of Women with Disabilities "Shyrak"; Central Asian Disability Forum	Khazakastan
125. Kiribati Red Cross Society	Kiribati
126. Te Toa Matoa (TTM)	Kiribati
127. The Association of parents of disabled - children (APDC), Bishkek City	Kyrgyztan
128. Lao Disabled People's Association (LDPA)	Laos
129. Association of Blind People	Lebanon
130. Association of Lebanese Friends of those with Multiple Sclerosis	Lebanon
131. Dareb Al Wafaa Association for the Disabled	Lebanon
132. Lebanese Association for Down Syndrome	Lebanon
133. Lebanese Physical Handicapped Union	Lebanon
134. Potentials Association	Lebanon
135. Teaching Center for the Deaf	Lebanon
136. Youth Friendship Club	Lebanon
137. Youth Association for the Blind	Lebanon
138. Lesotho National Federation of Organizations of the Disabled (LNFOD)	Lesotho
139. National Union Of Disabled (NUOD)	Liberia
140. Libyan Organization for the Rights of People with Disabilities	Libya
141. Polio Plus – movement against disability from Macedonia	Macedonia
142. Maldives Association of Physical Disables	Maldives
143. Breaking Limits	Malta
144. Joseph Camilleri (Individual)	Malta
145. Marshall Islands Disable Person Organization (RMI DPO)	Marshall Islands
146. Association for the Inclusion and Rehabilitation of Blind People	Mauritania
147. Association to save the victims of Leprosy	Mauritania
148. Basic Rehabilitation Committee for Persons with Disabilities	Mauritania
149. Blind Youth Association	Mauritania
150. FEMANPH and PAFOD	Mauritania
151. Health Association to Promote the Disabled	Mauritania
152. Mauritanian Association for the coalition of Women with Disabilities	Mauritania
153. Mauritanian Organization for the Disabled certificates holders	Mauritania
154. Rescue the Disabled Association	Mauritania
155. Will and Development (Irada Wal Tanmia) Network for Disabled People in Mauritania	Mauritania
156. Confederación Mexicana de Limitados Físicos y Representantes de Deficientes Mentales a.c.	Mexico
157. Association for Challenging Disability	Morocco

158. Dove Society	Morocco
159. Moroccan Union for the Organizations of the Rights of Persons with Disabilities	Morocco
160. National Federation for the Deaf in Morocco	Morocco
161. Network for Disabled People's Rights in South East Morocco Beni Tajjite	Morocco
162. Organization for Alternatives for the Blind and Low Vision	Morocco
163. The Leprosy Mission Myanmar	Myanmar
164. Nauru Persons with Disability Organisation (NPDO) formerly known as Nauru Disabled Persons Association	Nauru
165. Disability Human Rights Promotion Society	Nepal
166. National Federation of the Disabled Nepal (NFDN)	Nepal
167. Collectif Handicap	New Caledonia
168. Akamarama Advocacy	New Zealand
169. Deaf Aotearoa NZ	New Zealand
170. Disabled Persons Assembly (New Zealand) Incorporated (DPA New Zealand)	New Zealand
171. Vision Pacific Charitable Trust	New Zealand
172. Organización de Revolucionarios Discapacitados (ORD)	Nicaragua
173. DPI Niger	Niger
174. FNPH	Niger
175. Niger Deaf Association	Niger
176. Joint National Association Of Person With Disabilities (JONAPWD)	Nigeria
177. Niue Tolomaki Auloa Association (NTAA)	Niue
178. Plan Norway	Norway
179. Oman Paralympic Committee	Oman
180. Pakistan Disable People's International (PDPI) / Estanara Group	Pakistan
181. Omekasang Association	Palau
182. Committee for Building Capacity and Empowerment	Palestine
183. Committee for Campaign Asks, Legislation and Policies	Palestine
184. Committee for International Cooperation, Partnership and Inclusive Development	Palestine
185. Committee for Monitoring, Information and Research	Palestine
186. Communications and Media Committee	Palestine
187. Disability and Poverty Committee	Palestine
188. Equality and Protection Committee	Palestine
189. General Palestinian Union for Persons with Disabilities	Palestine
190. Special Rights Committee	Palestine
191. National Union of the Blind	Panama
192. PNG Assembly of Disabled Persons	Papua New Guinea
193. Confederación Nacional de Personas con Discapacidad del Perú (CONFENADIP)	Peru
194. Sociedad Peruana de Síndrome Down– SPDS	Peru
195. Sociedad y Discapacidad – SODIS	Peru

196. Center for Advocacy, Learning and Livelihood (CALL) Foundation of the Blind Inc.	Philippines
197. Government Union for the Integration of Differently-Abled Employees or GUIDE	Philippines
198. Nationwide Organization of Visually-Impaired Empowered Ladies (NOVEL)	Philippines
199. PNG National Assembly of Disabled Persons, (PNG - NADP)	PNG
200. Union of Disabled People Organizations (UDPO)	Republic of Azerbaijan
201. Centrul de Asistență Juridică pentru Persoanele cu Dizabilități (Center of Legal Assistance for Disabled People)	Republic of Moldova
202. Dizabnet	Romania
203. ONPHR	Romania
204. All-Russia Organization for People with Disabilities	Russia
205. Nuanua O Le Alofa (NOLA)	Samoa
206. Nacionalne organizacije osoba sa invaliditetom Srbije (NOOIS)	Serbia
207. YHD	Slovenia
208. Youth Handicapped Deprivilged Association	Slovenia
209. People With Disabilities, Solomon Islands (PWDSI)	Solomon Islands
210. Somali Disability Empowerment Network (SODEN)	Somali
211. Disabled People South Africa	South Africa
212. South Sudan Association of the Visually Impaired (SSAVI)	South Sudan
213. Cerebral Palsy Lanka Foundation	Sri Lanka
214. Wheels in Motion	Sri Lanka
215. National Council of and for Persons with Disabilities (NCPD)	St. Lucia
216. ADD Sudan	Sudan
217. Cultural Forum for Special Needs in Syria	Syria
218. Horizons' Soul (Afaq Al Rooh) Association for Disabled Women and Mothers of Disabled Children	Syria
219. HUMA MERO Association	Tahiti
220. Comprehensive Community Based Rehabilitation in Tanzania (CCBRT)	Tanzania
221. Tanzania Federation of Disabled People Organisation (SHIVYAWATA)	Tanzania
222. Tanzania Joy Woman Entrepreneurship for Deaf (T.J.E.D)	Tanzania
223. Naunau O' E' Alamaite, Tonga Association (NATA)	Tonga
224. Disability Advocate	Trinidad and Tobago
225. Tunisian Organization for the Defense of Persons with Disabilities	Tunisia
226. Türkiye Özürlüler Eğitim ve Dayanışma Vakfı	Turkey
227. Fusi Alofa Association Tuvalu (FAAT)	Tuvalu
228. National Union of Disabled Persons of Uganda (NUDIPU)	Uganda
229. Kherson city public organization of persons with disabilities "initiative to protect public rights of disabled persons" in conjunction with the National Assembly of the Disabled of Ukraine	Ukraine
230. Bank Information Center (BIC)	United States
231. United States International Council on Disabilities (USICD)	United States
232. Disability Promotion & Advocacy Association (DPAA Vanuatu)	Vanuatu

233. Hanoi Association of People with Disabilities	Vietnam
234. Club Handisport de Futuna	Wallis & Futuna
235. Saeeda Organization for the Caring and Rehabilitation of Deaf Girls	Yemen