**Environmental and Social Management Framework (ESMF)**

**Template for Low to Moderate Risk Projects**

**April 2023**

**Template Instructions:** An Environmental and Social Management Framework (ESMF) is an instrument that examines the risks and impacts when a project consists of a program and/or series of subprojects, and the risks and impacts cannot be determined until the program or subproject details have been identified. The ESMF sets out the principles, rules, guidelines, and procedures to assess the environmental and social risks and impacts. (ESS1, p. 24)

This ESMF template may be used for Low and Moderate Risk Projects. (See footnote 1[[1]](#endnote-1) and footnote 2 [[2]](#endnote-2)) for certain low and substantial risk projects. Use of this template is optional and should be used together with the accompanying Tip Sheet for the ESMF Template for Low and Moderate risk projects (separate document).

The ESMF should be clear and concise; the suggested length of the main text of the final ESMF is no more than **25 pages** (excluding cover page, table of contents, executive summary, and annexes). Each section has a suggested page limit.

There is also a **List of Annexes** accompanying the ESMF Template (separate document). These annexes may or may not be relevant for the individual project. The relevant annexes should be customized for the individual project and added to the ESMF. The annexes **should not exceed 25 pages**.

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

[COUNTRY NAME]

[NAME OF MINISTRY/IMPLEMENTING AGENCY]

[LOGO OF MINISTRY]

[NAME OF PROJECT]

[PROJECT CODE]

**ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK**

**(ESMF)**

[BORROWER APPROVAL AND DISCLOSURE DATE]

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**ANNEXES**

# **List of Tables**

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

# **Abbreviations and Acronyms**

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

# **Executive Summary** (3 pages maximum)

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

The World Bank will be supporting [the implementing agency] in implementing the[project name]. The objective of the project is to [Project Development Objective from PAD]. The project will support the following activities: [Summarize project components and activities as relevant to environmental and social risks, in simple language that would be accessible to project stakeholders.]

The project activities will take place in [broad location of project activities: nationwide or in a certain region, etc.]. Specific locations of subproject activities are not known at this stage, because [provide details on why subproject locations are not known at this time]. The subproject locations will be known [provide timeline of when subproject locations will be known].

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

The potential environmental and social risks for project activities are identified as:

Summarize key environmental and social risks in bullet point form, in simple language that would be accessible to project stakeholders. Summarize the measures that will be used in the early stages of subproject planning and design to avoid and minimize these impacts, for example, through the use of an Exclusion List.

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

Summarize key environmental and social management plans prepared or planned to be prepared, in simple language that would be accessible to project stakeholders. Explain when and/or under what circumstances plans will be prepared.

**Implementation Arrangements.** Summarize the implementation arrangements and responsible parties for different components or activities, at different levels if relevant (site, district, region, national, etc.). Describe how training will be provided to all parties responsible for implementing the ESMF, including contractors. Include the total estimated budget proposed for ESMF implementation.

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

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

# **Introduction** (1 page maximum)

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

This ESMF follows the World Bank Environmental and Social Framework (ESF) as well as the national laws [and state and local laws, if applicable] and regulations of [name of country]. The objective of the ESMF is to assess and mitigate potential negative environmental and social risks and impacts of the Project consistent with the Environmental and Social Standards (ESSs) of the World Bank ESF and national requirements. More specifically, the ESMF aims to (a) assess the potential environmental and social risks and impacts of the proposed Project and propose mitigation measures; (b) establish procedures for the environmental and social screening, review, approval, and implementation of activities; (c) specify appropriate roles and responsibilities, and outline the necessary reporting procedures, for managing and monitoring environmental and social issues related to the activities; (d) identify the staffing requirements, as well as the training and capacity building needed to successfully implement the provisions of the ESMF; (e) address mechanisms for public consultation and disclosure of project documents as well as redress of possible grievances; and (f) establish the budget requirements for implementation of the ESMF.

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

# **Project Description** (3 pages maximum)

Summarize project components and activities that have relevant environmental and social risks and impacts, in simple language that would be accessible to project stakeholders. Alternatively, you can also provide a link to the Project Information Document. See **Tip Sheet** for guidance.

When project locations are known, please insert a map. See **Tip Sheet** for good map design and contents. When information is available, summarize planned design and procurement plans for subprojects, including timing and the preparation of feasibility and design studies.

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

# **Environmental and Social Policies, Regulations, and Laws** (4 pages maximum)

**3.1 [Borrowing Country] Legal Framework**

Complete Table 1 below. List Borrowing country national, state, and local policies, laws, and regulations that are **relevant and directly applicable** to the environmental and social risks and impacts of subproject activities. Keep descriptions of laws and regulations brief, and only describe elements applicable to subproject activities. The list should include the existence or nonexistence of laws and regulations that prohibit discrimination based on personal characteristics, such as gender, disability, race, sexual orientation, or gender identity (mention if such laws cover all people equally or just certain groups).

**Table 1. [Borrowing Country] Relevant Legal Framework**

|  |  |
| --- | --- |
| Law | Description and Relevance to Project Activities |
| [Example: Environmental Protection] |  |
| [Example: Occupational Health and Safety]  |  |
| [Example: Labor Law] |  |
| [Example: Anti-discrimination Law] |   |
|  |  |

**3.2 National Environmental and Social Assessment and Permitting**

State the name of the public authority, ministry, or agency responsible for managing environmental assessments and permitting. Summarize the Environmental Impact Assessment review and approval process **relevant and directly applicable** to the project activities, including requirements for submitting project environmental assessment checklists and screening forms. This should include how the responsible agency screens and categorizes projects into different risk categories. Include a table showing the Environmental Impact Assessment categorizations and requirements **relevant and directly applicable** **to the project activities**. If the environmental categorizations for different subprojects eligible under the Project are known, state this clearly for different types of subprojects.

**3.3 World Bank Standards and Key Gaps with the National Framework**

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

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

Fill out the table below, with the applicable World Bank Environmental and Social Standards. In the “Relevance” column, briefly summarize why the standard is relevant under the project given the specific environmental and social risks and impacts of project activities. A summary of the Concept ESRS sections can be used to fill out these sections. If some standards are not relevant, delete those rows.

**Table 2. Relevant World Bank ESS and Key Gaps with the National Framework**

|  |  |
| --- | --- |
| E&S Standard | Relevance |
| 1. Assessment and Management of Environmental and Social Risks and Impacts | [Example: ESS1 is relevant for the project because project activities are expected to pose moderate environmental and social risks such as...] |
| 2. Labor and Working Conditions | [Example: ESS2 is relevant for the project because there are certain labor risks for project workers. Labor-related risks include (i) security risks to project workers, (ii) traffic and road safety issues, (iii) inadequate terms and conditions of employment, and (iv) occupational health and safety risks.] |
|  |  |
|  |  |
| 10. Stakeholder Engagement and Information Disclosure | ESS10 is relevant for all projects given the need to engage with beneficiaries and stakeholders on development activities that affect their lives. |

# **Potential Environmental and Social Risk Impacts and Standard Mitigation Measures** (6 pages maximum)

This section should list relevant subproject activities, including the procurement of goods, services, and civil works that may have environmental and social risks and impacts. For each type of activity, it should list the potential environmental and social risks and impacts, as well as standard mitigation measures and processes that are expected to be applied. In listing risks and impacts, consider risks and impacts due to project activities (for example, water scarcity, air quality) and the environmental and social baseline context that may affect project activities (for example, existing waste disposal practices and sites, existing social vulnerabilities).

Summarizing this information in a table like the one suggested below is recommended. For basic examples on how to fill out this table, see below. For more detailed examples of standard environmental and social risk management and mitigation measures, refer to the [World Bank Group Environmental, Health and Safety (EHS) Guidelines](https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/policies-standards/ehs-guidelines), which offer general and industry-specific measures. The aim of this section is to describe the risks, impacts, and mitigation measures at a broad level. For subprojects, the contractors will need to assess risks and impacts at a site-specific level and propose appropriate mitigation measures.

For infrastructure activities, and other relevant activities, there may need to be separate environmental and social risk and mitigation tables for the planning, implementation, and post-implementation phases.

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

**Table 3. Environmental and Social Risks and Mitigation Measures**

|  |  |  |
| --- | --- | --- |
| **Subcomponent Activity** | **Risks and Impacts** | **Mitigation Measures** |
| [Example: Cash and seed assistance to farmer households] | [Example: Exclusion of disadvantaged and vulnerable households] | [Examples: - In identifying subproject activities and beneficiaries, conduct inclusive and accessible consultations with community members, community leaders and representatives, and local authorities.- Provide transparent information on project activities, benefits, and eligibility criteria to communities, through accessible channels, trusted intermediaries, and in relevant ethnic languages.- Proactively identify, consult with, and reach out to disadvantaged and vulnerable groups and households (through surveys, consultations, or other means, as appropriate).- For livelihood assistance activities, include specific measures to address the potential obstacles to access for disadvantaged and vulnerable groups. For example, if electronic money transfers are not accessible to certain households, ensure cash transfer.- Ensure that the grievance/beneficiary feedback mechanism is accessible by disadvantaged and vulnerable groups through raising awareness among these groups and in relevant ethnic languages, providing different intake channels, etc. Follow the relevant measures included in the ***project design*** and the ***Stakeholder Engagement Plan (SEP)*** prepared for the project.] |
| [Example: Renovation of community center] | [Example: Waste generation, disposal, and pollution] | [Example: - Store solid waste temporarily on-site in a designated place prior to off-site transportation and disposal. - Dispose of waste at designated place identified and approved by local authority. Open burning or burial of solid waste shall not be allowed. It is prohibited for the contractor(s) to dispose of any debris or construction material/paint in environmentally and culturally sensitive areas (including watercourses, natural habitats, and cultural sites).- To the degree feasible, recyclable materials such as wooden plates for trench works, steel, site holding, packaging material, etc., shall be segregated and collected on-site from other waste sources for reuse or recycle (sale).- Follow the ***Environmental and Social Codes of Practice (ECOPs) included in Annex X***. ] |
| [Example: Vaccine delivery] | [Example: Risks related to cold chain management] | [Example: - Follow the relevant measures for safe storage and transport of vaccines, as summarized in ***Annex X***. ] |
|  |  |  |

**4.1 Risks and Mitigation Measures Specific to Disadvantaged and Vulnerable Groups**

This section should identify disadvantaged and vulnerable groups who may be more likely to be adversely affected by the project impacts and/or more limited than others in their ability to take advantage of a project’s benefits. It should then propose mitigation measures tailored to addressing these specific risks and impacts. “Disadvantaged and vulnerable groups” refer to persons who may be disproportionately impacted or further disadvantaged by the project(s) compared with other groups due to their vulnerable status (for example, due to age, gender identity, sexual orientation, ethnicity, disability, economic disadvantages, etc.) and may require special engagement efforts to ensure their equal representation in the consultation and decision-making process associated with the project.

**4.2 Planning and Design Considerations for Avoidance of Environmental and Social Risks and Impacts**

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

# **Procedures and Implementation Arrangements** (10 pages maximum)

**5.1 Environmental and Social Risk Management Procedures**

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

Complete table below and adapt as relevant for project.

**Table 4. Project Cycle and E&S Management Procedures**

|  |  |  |
| --- | --- | --- |
| **Project Stage** | **E&S Stage** | **E&S Management Procedures** |
| **[a. Assessment and Analysis:** Subproject identification  | [Screening | [- During subproject identification, ensure subproject eligibility by referring to the ***Exclusion List in table 5*** below.- For all activities, use the ***Screening Form in Annex******1*** to identify and assess potential environmental and social risks and impacts, and identify the appropriate mitigation measures for the subproject. - Identify the documentation, permits, and clearances required under the government’s Environmental Regulation. |
| **b. Formulation and Planning:** Planning for subproject activities, including human and budgetary resources and monitoring measures | Planning | - Based on ***Screening Form*** adopt and/or prepare relevant environmental and social procedures and plans. - For activities requiring Environmental and Social Management Plans (ESMPs), submit the first 5 ESMPs [or another number agreed with the World Bank] for prior review and no objection by the World Bank prior to initiating bidding processes (for subprojects involving bidding processes) and/or launching activities (for subproject activities not subject to bidding).- Ensure that the contents of the ESMPs are shared with relevant stakeholders in an accessible manner and consultations are held with the affected communities in accordance with the SEP.- Complete all documentation, permits, and clearances required under the government’s Environmental Regulation.- Train staff responsible for implementation and monitoring of plans.- Incorporate relevant environmental and social procedures and plans into contractor bidding documents; train contractors on relevant procedures and plans. |
| **c. Implementation and Monitoring:** Implementation support and continuous monitoring for projects | Implementation | - Ensure implementation of plans through site visits, regular reporting from the field, and other planned monitoring.- Track grievances/beneficiary feedback.- Continue awareness raising and/or training for relevant staff, volunteers, contractors, communities.  |
| **d. Review and Evaluation:** Qualitative, quantitative, and/or participatory data collection on a sample basis] | Completion] | - Assess whether plans have been effectively implemented.- Ensure that physical sites are properly restored.] |

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

1. **Subproject Assessment and Analysis – E&S Screening**

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

 **Table 5. Exclusion List – Complete as relevant to project.**

* [Weapons, including but not limited to mines, guns, ammunition, and explosives
* Support of production of any hazardous good, including alcohol, tobacco, and controlled substances
* Any construction in protected areas or priority areas for biodiversity conservation, as defined in national law
* Activities that have the potential to cause any significant loss or degradation of critical natural habitats, whether directly or indirectly, or which would lead to adverse impacts on natural habitats
* Activities that involve extensive harvest and sale/trade of forest resources (post, timber, bamboo, charcoal, wildlife, etc.) for large-scale commercial purposes
* Activities involving changing forestland into agricultural land or logging activities in primary forest
* Purchase or use of banned/restricted pesticides, insecticides, herbicides, and other dangerous chemicals (banned under national law and World Health Organization (WHO) category 1A and 1B pesticides)
* Construction of any new dams or rehabilitation of existing dams including structural and or operational changes; or irrigation or water supply subprojects that will depend on the storage and operation of an existing dam, or a dam under construction for the supply of water
* Activities that involve the use of international waterways
* Any activity affecting physical cultural heritage such as graves, temples, churches, historical relics, archeological sites, or other cultural structures
* Activities that may cause or lead to forced labor or child abuse, child labor exploitation or human trafficking, or subprojects that employ or engage children, over the minimum age of 14 and under the age of 18, in connection with the project in a manner that is likely to be hazardous or interfere with the child’s education or be harmful to the child’s health or physical, mental, spiritual, moral, or social development
* Any activity on land that has disputed ownership or tenure rights
* Any activity that will cause physical relocation of households or will require the use of eminent domain
* Any activity with significant environmental and social risks and impacts that require an Environmental and Social Impact Assessment (ESIA)
* Any activity that will require Free, Prior and Informed Consent (FPIC) as defined in ESS7.]

As a second step, the [responsible party in the implementing agency] will use the ***E&S Screening Form in Annex 1*** to identify and assess relevant environmental and social risks specific to the activities, and identify the appropriate mitigation measures. The *Screening Form* lists the various mitigation measures and plans that may be relevant for the specific activities (such as the Environmental and Social Codes of Practice, the Environmental and Social Management Plan, the Labor Management Procedures, Chance Find Procedures, etc.)

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

1. **Subproject Formulation and Planning – E&S Planning**

Based on the process above and the Screening Form, the [responsible party in the implementing agency] will adopt the necessary environmental and social management measures already included in the Annexes of this ESMF (such as the ESCOPs, the LMP, etc.) or develop relevant site-specific environmental and social management plans.

If site-specific ESMPs are necessary, the [responsible party in the implementing agency] will prepare these ESMPs and other applicable documents as needed. The [responsible party in the implementing agency] will provide approval and compile ESMPs and other applicable forms. The contents of the ESMPs will be shared with relevant stakeholders in an accessible manner, and consultations will be held with the affected communities on the environmental and social risks and mitigation measures. If certain subprojects or contracts are being initiated at the same time or within a certain location, an overall ESMP covering multiple subprojects or contracts can be prepared. Some moderate risk subprojects may also benefit from the preparation of a site-specific environmental and social assessment prior to the preparation of an ESMP.

The first [five] ESMPs [or alternatively, the first five ESMPs in each category of subproject or a different number to be agreed with the World Bank] will also be submitted to the World Bank for prior review and no objection. After this first 5, the World Bank and the [responsible party in the implementing agency] will reassess whether prior review is needed for further ESMPs or a certain category of ESMPs (for example, for activities exceeding a certain budget, for certain types of activities).

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

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

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

1. **Implementation and Monitoring – E&S Implementation**

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

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

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

Throughout the Project implementation stage, the [responsible party in the implementing agency] will continue to provide training and awareness raising to relevant stakeholders, such as staff, selected contractors, and communities, to support the implementation of the environmental and social risk management mitigation measures. An initial list of training needs is proposed below, in Section 6.3.

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

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

Last, if the [responsible party in the implementing agency] becomes aware of a serious incident in connection with the project, which may have significant adverse effects on the environment, the affected communities, the public, or workers, it should notify the World Bank within 48 hours of becoming aware of such incident. A fatality is automatically classified as a serious incident, as are incidents of forced or child labor, abuses of community members by project workers (including gender-based violence incidents), violent community protests, or kidnappings.

1. **Review and Evaluation – E&S Completion**

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

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

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

**5.3 Contingency Emergency Response Component (only include this section if relevant to your Project)**

The Contingency Emergency Response Components (CERC) Manual to be prepared for the Project will include a description of the environmental and social risk assessment and management arrangements if the CERC component becomes activated. This may include a CERC ESMF or an Addendum to this ESMF based on the subproject activities that will be funded under the CERC component. If such additional documentation or revision to documentation is needed, the [responsible party in the implementing agency] will prepare, consult, adopt, and disclose these in accordance with the CERC Manual, and implement the measures and actions necessary.

**5.4 Implementation Arrangements**

Describe the institutions and staff responsible for implementing the environmental and social procedures outlined above. Ensure that national, regional, and local level responsibilities are covered (including administrative and financial responsibilities), as well as contractors’ and supervision consultants’ responsibilities. Include an analysis of institutional capacity for all responsible institutions and identify capacity gaps that need to be addressed in Section 5.3. Who is accountable and responsible for each part of the procedure should be clear, as well as any reporting lines and responsibilities.

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

Regional level, local level… will be responsible for…

**Local contractors** will be required to comply with the Project’s E&S risk management plans and procedures, including the ESMP, ESCOPs, LMP, and local legislation. This provision will be specified in the contractor’s agreements. Contractors will be expected to disseminate and create awareness within their workforce of environmental and social E&S risk management compliance for their effective implementation.

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

**Table 6. Implementation Arrangements** - examples

|  |  |
| --- | --- |
| Level/Responsible Party  | Roles and Responsibilities  |
| [National/regional | [- Provide support, oversight, and quality control to field staff working on environmental and social risk management.- Collect, review, and provide quality assurance and approval to Screening Forms and ESMPs as relevant. Keep documentation of all progress.- Oversee overall implementation and monitoring of environmental and social mitigation and management activities, compile progress reports from local levels/subprojects, and report to the World Bank on a quarterly [or biannual] basis.- Train central and field staff and contractors who will be responsible for implementing the ESMF.- If contracting is managed centrally, ensure that all bidding and contract documents include all relevant E&S management provisions per screening forms, ESMPs, and ESCOPs. |
| Regional/local field staff  | - Ensure project activities do not fall under the Negative List. Fill out Screening Forms for relevant subproject activities and submit forms to the national level.- If relevant, complete site-specific ESMPs for subproject activities and submit forms to the national level.- Oversee daily implementation and monitoring of environmental and social mitigation measures, and report progress and performance to the national level on a monthly basis.- Provide training to local contractors and communities on relevant environmental and social mitigation measures, roles, and responsibilities. - If contracting is managed regionally, ensure that all bidding and contract documents include all relevant E&S management provisions per screening forms, ESMPs, and ESCOPs. |
| Local contractors]  | - Comply with the Project’s environmental and social mitigation and management measures as specified in ESMPs, ESCOPs, and contract documents, as well as national and local legislation.- Take all necessary measures to protect the health and safety of workers and community members, and avoid, minimize, or mitigate any environmental harm resulting from project activities.] |

**5.5 Proposed Training and Capacity Building**

Describe what training and capacity building activities will take place. Successful implementation of the Project will depend, among others, on the effective implementation of the environmental and social risk management measures outlined in this ESMF. Training and capacity building will be necessary for the key stakeholders in order to ensure effective implementation of the ESMF, SEP, and other environmental and social documents. An initial training approach is outlined in the table below. To the extent possible, training on environmental and social risk management will be integrated into the project cycle and operational procedures. Given the need to raise awareness among project workers and stakeholders at many levels, a cascading model is proposed where information will follow from the national level to the field levels.

**Table 7. Proposed Training and Capacity Building Approach – examples**

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

**5.6 Estimated Budget**

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

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

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

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

# **Stakeholder Engagement, Disclosure, and Consultations** (1 page maximum)

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

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

**Endnotes**

1. In certain contexts, such as projects in fragility, conflict and violence (FCV) countries, the project activities may pose low to moderate environmental and social risks, but the project E&S rating may be Substantial due to country contextual risk factors. This template may be used in such projects provided that there is prior agreement among the project team and Environmental and Social (E&S) Practice Managers (PM). The ESMF may then need to include an additional section describing the contextual factors that contribute to the Substantial risk rating. [↑](#endnote-ref-1)
2. For low-risk projects, some of the provisions in this template, such as the Environmental and Social Codes of Practice, may be incorporated into the Project Operations Manual (POM) without a separate stand-alone ESMF when applicable. For some low-risk projects, a stand-alone ESMF may not be necessary; a simplified E&S Scoping document may be sufficient. [↑](#endnote-ref-2)