

Ukrainian Social Investment Fund

COMMUNITY-BASED SOCIAL SERVICE DELIVERY PROJECT

**ENVIRONMENTAL AND SOCIAL
MANAGEMENT FRAMEWORK**

Table of contents

LIST OF ACRONYMS.....	2
EXECUTIVE SUMMARY	3
1. DESCRIPTION OF PROJECT ACTIVITIES WHICH REQUIRE ENVIRONMENTAL AND SOCIAL ASSESSMENT.....	5
2. UKRAINIAN AND THE WORLD BANK ENVIRONMENTAL AND SOCIAL ASSESSMENT POLICIES, RULES AND PROCEDURES.....	6
2.1. UKRAINIAN LEGISLATION REGULATING ENVIRONMENTAL ASSESSMENT.	6
2.2. WORLD BANK SAFEGUARDS POLICIES	7
2.3. COMPARATIVE REVIEW OF THE WORLD BANK SAFEGUARD POLICIES AND UKRAINIAN ENVIRONMENTAL NORMS	8
3. POTENTIAL ENVIRONMENTAL AND SOCIAL IMPACTS OF CSSDP ACTIVITIES	9
3.1. POTENTIAL ENVIRONMENTAL IMPACTS AND ASSOCIATED MITIGATION MEASURES	9
3.2. POTENTIAL SOCIAL IMPACTS.....	10
4. GUIDELINES FOR ENVIRONMENTAL SCREENING	11
5. ESMF IMPLEMENTATION AND INSTITUTIONAL ARRANGEMENTS.....	12
6. ESMP/-CL PREPARATION AND IMPLEMENTATION.....	13
7. MONITORING AND REPORTING	14
8. DISCLOSURE AND CONSULTATIONS	14
9. TRAINING AND CAPACITY BUILDING	15
ANNEX 1. SUB-PROJECT ENVIRONMENTAL SCREENING CRITERIA	16
ANNEX 3. ESMP-CL FOR SMALL SCALE CIVIL WORKS, PART 1: DESCRIPTION OF MICRO-PROJECT	24
ANNEX 4. ESMP-CL FOR SMALL SCALE CIVIL WORKS, PART 2: MITIGATION PLAN	26
ANNEX 5. ESMP-CL FOR SMALL SCALE CIVIL WORKS, PART 3: MONITORING PLAN.....	28
ANNEX 6. REFERENCE LIST OF THEMES TO BE COVERED DURING CAPACITY BUILDING TRAININGS.....	30

LIST OF ACRONYMS

CMU	Cabinet of Ministers of Ukraine
CSSDP	Community Social Support Project
EA	Environmental Assessment
EIA	Environmental Impact Assessment
ESIA	Environmental and Social Impact Assessment
ESMP	Environmental and Social Management Plan
ESMP-CL	Environmental and Social Management Plan-Checklist
ESMP/-CL	ESMP or ESMP-CL (whichever is applicable to the sub-project)
MENR	Ministry of Ecology and Natural Resources
MRDC	Ministry of Regional Development and Construction
OM	Operational Manual
OP	Operational Policy
OSA	Oblast State Administration
OVNS	In Ukrainian: <i>Otsinka Vplyvu na Navkolyshnie Seredovysche</i> - process and document of environmental impact assessment in Ukraine
SSES	State Sanitary Epidemiological Service
USIF	Ukrainian Social Investment Fund
WB	World Bank

EXECUTIVE SUMMARY

1. *Project objective.* The proposed JSDF: Community-based Social Service Delivery project (CSSDP) would support piloting of community-driven social protection delivery models through development of community-based social protection services in 30 amalgamated communities in the poorest rayons of Odessa and Ternopil regions selected using the vulnerability methodology, based on key drivers of vulnerability and exclusion. Specifically, the project would finance community-based micro-projects to improve coverage by the services of vulnerable groups such as the elderly, disabled, families at risk, and others. Under the micro-projects, local governments would be able to deliver demand-driven, high-priority services for citizens through various providers including civil society organizations (CSOs), private and public providers. In doing so, they would be able to expand the range of providers beyond the current public facilities and to learn to contract the service out to non-state providers, where feasible.

Introduction of the new service delivery model requires a significant investment into training the implementers. Therefore, the proposed project would finance capacity building of participating community governments and service providers. The project would cover training and technical support for community governments to carry out social needs assessments, to identify and manage priority social support services, and to monitor service provision. Furthermore, the project would finance training of service providers to enhance their ability to observe service standards.

2. *Description of project activities relevant for ESMF.* The project would invest in demand-driven subprojects (micro-projects) in 10 eligible communities to improve coverage by the services of vulnerable groups. Such micro-projects might include home delivery programs for the elderly, youth centers, daycare centers for the disabled or children, nursing etc. The project funds would be allocated to finance minor civil works, goods, consultants' services, and service-specific training. Moreover, the local governments would be able to use these funds to purchase services from non-public providers. Allocations of funds to specific types of services and/or client groups would be guided by social needs assessments and service delivery plans developed under another component of CSSDP.

The abovementioned project activities will be implemented through the Ukrainian Social Investment Fund (USIF).

3. *Project category.* The World Bank has established its social and environmental safeguard policies in order to prevent and mitigate potential adverse impacts associated with the Bank's lending operations to people and their environment. These policies are triggered if a project is likely to have potential adverse environmental and social risks and impacts on the natural environment (air, water and land); human health and safety; social wellbeing; physical cultural resources, economic or physical displacement, land and properties and indigenous people.

Micro-projects to be supported under the project (construction and reconstruction activities) might cause some minor environmental and social impacts that can be summarized as follows:

- soil and air pollution; acoustic, aesthetics impacts, construction waste etc. Overall, in most cases these impacts will be site-specific and temporary, and can be easily mitigated Dust, noise and traffic related to construction works;
- Change of previous purpose of buildings; additional traffic and permanent movement of people due to changed function of the facility;
- Loss of access to some social services during construction/reconstruction period.

Considering the above potential social and environmental impacts, and in accordance with the Bank's safeguard policies and procedures, including OP/BP/GP 4.01 *Environmental Assessment*, the project is assigned category B. According to this category, subprojects described above require environmental and social assessment procedure which should be in compliance with Ukrainian legislation and World Bank safeguard policies. The Borrower is responsible for carrying on environmental and social assessment and providing information to the public through public consultation.

4. *Environmental and Social Management Framework (ESMF)*. In order to address safeguard issues, an Environmental and Social Management Framework for the project has been developed. In accordance with this Framework, site-specific ESMP/-CLs will be developed and implemented, as required (see details below). These ESMP/-CLs will specify potential adverse environmental and social impacts and mitigation measures. Within ESMP-CLs, the Environmental Monitoring Plans will be prepared for each micro-project, where monitoring indicators, timing, methods, and institutional responsibilities will be specified.

5. *Environmental and social screening*. Each micro-project proposed for support under CSSDP will be subject to environmental and social screening, conducted by project proponent in accordance with the provisions of the project ESMF and OM. According to the preliminary screening by the Bank, the CSSDP will have Category B and Category C micro-projects. Any existing enterprise or proposed micro-project that is considered to be Category A is not eligible for financing under this Project.

If micro-project falls into Category B, a further preparation of the Environmental and Social Management Plan (ESMP) is required. Annex 2 provides the recommended EMP's structure for 'high B' micro-projects, and Annexes 3-5 provide template for ESMP checklist (ESMP-CL) for 'low B' sub-projects, which can help to identify, evaluate and prevent potential environmental impacts and identify mitigation measures that may be incorporated into the project design. The purpose of the ESMP is to predict possible effects and improve the environmental aspects of micro-projects by minimizing, mitigating or compensating for adverse effects. If sub-project is related to Category C, no further actions are required.

6. *Disclosure and consultation*. Once approved by the Bank, USIF will post information on draft Environmental and Social Management Framework on USIF's web-site (<http://www.usif.org.ua/en.html>) as well as regional administrations' web-sites for broad public access. USIF will organize public consultation on CSSDP and draft ESMF (by means of opening communication channel for interested parties) prior to completion of project appraisal. After consultation, the draft ESMF will be reviewed to consider inputs from consulted parties. The final version of ESMF will be re-disclosed on the website of USIF and in the World Bank InfoShop.

For site-specific EA documents (ESMP/ESMP-CL for Category B micro-projects), USIF would consult all involved parties locally, including project-affected groups and local non-governmental organizations (NGOs), about the project's environmental aspects and take their views into account.

1. DESCRIPTION OF PROJECT ACTIVITIES WHICH REQUIRE ENVIRONMENTAL AND SOCIAL ASSESSMENT

The CSSDP would support piloting of community-driven social protection delivery models through development of community-based social protection services in 30 amalgamated communities in the poorest rayons of Odessa and Ternopil regions selected using the vulnerability methodology, based on key drivers of vulnerability and exclusion. Furthermore, the project would finance community-based micro-projects to improve coverage by the services of vulnerable groups such as the elderly, disabled, families at risk, and others. Under the micro-projects, local governments would be able to deliver demand-driven, high-priority services for citizens through various providers including civil society organizations (CSOs), private and public providers. In doing so, they would be able to expand the range of providers beyond the current public facilities and to learn to contract the service out to non-state providers, where feasible.

Component 1. Development of Social Protection Services Delivery Capacity would support the governments in 30 participating communities to carry out participatory needs assessment, to identify access barriers and to develop three-year service development plans to address the coverage gaps. Then all communities would be offered training to prepare applications for social protection services micro-projects. In the applications, the communities would be required to demonstrate how the proposed micro-project would complement local budget resources to achieve the objectives of the service development plans (see more on micro-project selection in Component 2 below). Furthermore, this component would finance training of service providers to enhance their ability to deliver social care services at expected level of standards. Through such a training potential service providers from among the CSOs would be able to better understand their role in providing services, the mechanism and requirements of contracting out services from nongovernment actors, and standards of service delivery, reporting, and monitoring, etc. The social services sector in Ukraine predominantly employs women therefore this activity would strongly benefit women engaged in the sector or willing to engage.

Component 2. Social Protection Services Micro-projects. This component would invest in community-based social protection services micro-projects to improve coverage by the services of vulnerable groups. Such micro-projects might include home delivery programs for the elderly, youth centers, daycare centers for the disabled or children, nursing etc. Based on criteria to be developed by the project, 10 communities would be selected to implement micro-projects. The project funds of up to UD\$140,000 would be allocated for each micro-project to finance minor civil works, goods, consultants' services, and service-specific training. Moreover, the local governments would be able to use these funds to purchase services from non-public providers. Allocations of funds to specific types of services and/or client groups would be guided by social needs assessments and service delivery plans developed under Component 1 above. No contributions are expected from local governments; however, they would be required to cover 100 percent of recurrent cost of the service to operate for at least three years after the micro-project implementation. The micro- projects criteria would be set such that project investments complement rather than duplicate the existing public services and programs, which tend to exclude small, rural, and poor communities. Any micro-projects that may require land acquisition, physical displacement, or result in any issues associated with involuntary resettlement (that would require application of the World Bank Operational Policy (OP) 4.12 on Involuntary Resettlement) will not be eligible for financing under the scope of this project. In light of this, USIF will be screening the sub-projects accordingly.

Component 3. Project Management and Administration, Monitoring and Evaluation, and Knowledge Dissemination would consist of the following sub-components:

3.1 Project Management and Administration would help to expand the USIF's operational capacity to manage project activities and assist communities and local governments to comply with technical, fiduciary, safeguards and other implementation requirements. This sub-component would finance the USIF staff (permanent and temporary), operating and maintenance cost, annual audits and the Implementation Completion Report to be prepared by independent consultant.

3.2 Monitoring and Evaluation (M&E) would finance assessment and reporting of project results by beneficiary groups through beneficiary assessments (baseline, mid-term and final) to inform achievement of project outcomes.

3.3 Knowledge Dissemination would support activities to document examples of successful community initiatives such that they could inform national policies as well as to disseminate them amongst non-participating communities through publications, events, etc.

Components 1 and 3 represent "soft" investments, they do not create environmental impacts, and so are not covered by this ESMF.

2. UKRAINIAN AND THE WORLD BANK ENVIRONMENTAL AND SOCIAL ASSESSMENT POLICIES, RULES AND PROCEDURES

2.1. Ukrainian legislation regulating environmental assessment.

In Ukraine, assessment of environmental impact (usually referred to as "environmental assessment") of projects is defined by the Laws of Ukraine "On Environmental Protection" (1991), "On ratification of the Convention on assessment of the environmental impact in a transboundary context "(1999) and other laws and legal acts (at least 12 international conventions and agreements, 42 laws, a number of regulations, methodological guidelines and national standards).

Engineering, survey, design and construction are regulated by the Ministry for Regional Development. There are a number of norms and standards in design and construction, including state Building Codes for assessing the environmental impact (DBN A.2.2-1-2003 "Structure and Contents of Environmental Impact Assessment (EIA) in the design and construction of plants, buildings and structures" (2004)).

The basic law governing all kinds of construction activities is the Law of Ukraine "On regulation of urban development" dated 12 March 2011. This law defines the list of documents that shall be prepared for various types of construction projects, and also the review procedure for such documents.

In May 2017 Draft Law #2059-VIII "On Environmental Impact Assessment" has been adopted by the Supreme Council of Ukraine and signed by the President in July 2017. The Law will enter force in December 2017. The Law sets legal and organization principles for assessing the influence on environment and ensures the implementation of international liabilities by Ukraine under the Convention on environmental impact assessment in a transboundary context and the Convention on access to information, public participation in decision-making and access to justice in environmental matters. The document clearly defines the field of applying environmental impact assessment.

2.2. World Bank Safeguards Policies

The World Bank has established its social and environmental safeguard policies in order to prevent and mitigate potential adverse impacts associated with the Bank's lending operations to people and their environment.

Considering the nature of expected micro-projects, it's is expected that only *OP 4.01 - Environmental Assessment* is triggered. This policy is described below.

OP 4.01: Environmental Assessment

This policy is triggered if a project is likely to have potential (adverse) environmental risks and impacts in its area of influence. OP 4.01 covers impacts on the natural environment (air, water and land); human health and safety; physical cultural resources; transboundary and global environment concerns.

When OP 4.01 is triggered, the Bank classifies the project as category A, B, C, or FI depending on the type, location, sensitivity and scale of the project and the nature and magnitude of its potential environmental impacts (A being the highest). Activities of CSSDP do not fall into category A, they fall into category B, for which simpler requirements to EA are applied, or C, which does not require any EA action beyond screening.

Depending on the project and the nature of impacts, a range of instruments can be used for environmental assessment (EA): Environmental and Social Impact Assessment (ESIA); environmental audit; Environmental and Social Management Framework; Environmental and Social Management Plan (ESMP), Environmental and Social Management Plan in the form of checklist (ESMP-CL).

For the CSSDP, the Environmental and Social Management Framework (ESMF) was chosen as an instrument that can be used to satisfy the World Bank's EA requirement. The Project consists of a series of micro-projects and their impacts cannot be determined until micro-project details have been identified. This Environmental Management Framework (EMF) is developed according to the requirements of the World Bank (WB), and it describes procedures and mechanisms to be implemented to ensure compliance of the project activity with environmental requirements of Ukrainian legislation and the WB's safeguard policies. The purpose of the ESMF is to identify and manage the safeguard issues relating to the selected micro-projects, and to orient the stakeholders in developing the appropriate EA instrument: either Environmental and Social Management Plans (ESMPs) or ESMP-CLs, which will be prepared for micro-project, as necessary, at a later stage (see section 4 below).

USIF will be responsible for preparing and carrying out an EA instrument required by the project.

Once approved by the Bank, USIF will post information on draft Environmental and Social Management Framework on USIF's web-site (<http://www.usif.org.ua/en.html>) and regional administrations' web-sites for broad public access. USIF will organize public consultation (by means of opening communication channel for interested parties) on CSSDP and draft ESMF prior to completion of project appraisal. After consultation, the draft ESMF will be reviewed to consider inputs from consulted parties. The final version of ESMF will be re-disclosed on the website of USIF and in the World Bank InfoShop.

For site-specific EA documents (ESMP/ESMP-CL for Category B micro-projects), USIF would consults all involved parties locally, including project-affected groups and local non-governmental organizations (NGOs), about the environmental and social aspects and take their views into account. USIF will initiate such consultations as early as possible. USIF will consult these groups at least once. For meaningful consultations between USIF and project-affected

groups and local NGOs on all Category B micro-projects proposed for WB financing, USIF will provide relevant material in a timely manner before consultation and in a form and language that are understandable and accessible to the groups being consulted.

As per the preliminary review, the following Operational Policies are **not** triggered and micro-projects that could trigger these operational policies would be screened out:

4.04 – Natural Habitats – the Project does not involve activities related to conversion or degradation of natural habitats. No potential adverse impacts on natural habitats are expected;

4.09 – Pest Management – the Project does not involve pest management;

4.36 – Forests – the Project does not consider any changes to forests or any works in forests as defined by the policy;

4.12 – Involuntary Resettlement –not triggered as no micro-projects involving land acquisition, physical displacement, or result in any issues associated with involuntary resettlement will be eligible for the financing. Any civil works related to micro-projects including reconstruction of buildings and other infrastructures will be limited to existing premises.

4.10 – Indigenous People – there are no groups in Ukraine who display characteristics of indigenous peoples;

7.50 – International Waterways – the Project will not support activities that affect international waterways, as defined by the policy;

7.60 – Disputed Areas – the Project will not be implemented in disputed areas as defined in the policy;

4.37 – Safety of Dams – the Project will not finance the construction of new, or rehabilitation of existing dams. No project investments will rely on the performance of existing dams;

4.11—Physical Cultural Resources – the Project is not expected to have impacts on physical cultural resources. No activities are planned in the vicinity of a physical cultural resources sites.

2.3. Comparative review of the World Bank Safeguard Policies and Ukrainian Environmental Norms

The analysis of Ukrainian and the World Bank requirements on the Project's Environmental Assessment and Environmental Management Framework indicates that they are largely similar.

Environmental Assessment

The World Bank's EA policy and procedure is generally compatible with the EA system and practice established in Ukraine, both terminologically and methodologically.

A key common requirement, articulated in both systems, relates to the mandatory character of the environmental and social impact assessment as an integral part of project preparation, design and development for any project activity that involves a new construction and/or rehabilitation/reconstruction of an existing facility. In case of the CSSDP, for each micro-project (i) a section on environmental protection will be prepared in micro-project design documentation and (ii) ESMP/-CL (which will include mitigation measures and monitoring) will be prepared and disclosed prior to micro-project implementation.

If requirements of World Bank environmental and social safeguard policies are more stringent than the requirements of Ukrainian regulations, the World Bank requirements should be applied during preparation and implementation of ESMP/-CLs.

3. POTENTIAL ENVIRONMENTAL AND SOCIAL IMPACTS OF CSSDP ACTIVITIES

3.1. Potential Environmental Impacts and associated mitigation measures

Based on the current WB and Ukrainian EA rules and procedures, all possible impact from planned economic activities have to be identified, and the set of mitigation measures has to be outlined in the site-specific ESMP/ESMP-CL (for Category B sub-projects). The recommended structure of the ESMP and ESMP checklist for small-scale works is presented in Annexes 2-5.

Because the CSSDP consists of a series of micro-projects, which are not identified yet, their exact environmental impacts and mitigation measures depend on their type, magnitude, combination and distribution, thus, they cannot be determined until micro-project details have been known. However, the negative environmental impacts of the micro-projects are not expected to be long-term and large-scale, and in general, the following mitigation measures can be considered:

- *Disruption of vegetation.* Inventory of native trees at the site must be done, and any possibility of damage to the trees must be prevented.
- *Disruption of the soil and landscape.* Construction site should be designed taking into account the natural landscape, and further land restoration is required to minimize the impacts.
- *Air pollution.* Dust and traffic emissions should be minimized by good operation management and site supervision. Dust suppression measures (e.g. water sprinkling) must be applied during long dry periods. Workers must be provided with protective masks when necessary. Regular monitoring should be made for the technical state of fuel equipment of diesel engines. During the project activity – to the extent possible - the contractors should apply modern construction techniques and energy efficient technologies. Regular monitoring of air pollution must be carried out throughout the construction period and focusing specifically, close to the communities.
- *Noise from construction equipment and machinery.* All construction activities must be conducted during working hours (from 7:00 till 23:00) on weekdays. Periodic monitoring of noise level should be done at the border-line of the sanitary protection zone, which should not exceed 50 Dba (from 7:00 to 23:00). All workers must be provided with personal protective equipment during a work activity involving a high noise level.
- *Soil pollution and disturbance.* The risk of oil/fuel pollution should be minimized by good operation management and site supervision. Refueling of construction machinery at a construction site is not permitted. Minor repairs of construction machinery, replacement of oils and process fluids must be conducted at the service stations. Machinery must be checked regularly to detect possible leaks. Waste oil should be collected and stored in individual containers located in a designated secure area until final utilization or disposal. In case PCB-containing oil is found, it must be removed in full compliance with the respective regulations on hazardous waste. Licensed waste management operators must do transport and disposal of liquid waste materials. To protect surface soil from the wastewater, bio-toilets must be established and maintained.
- *Pollution of surface and groundwater.* The good management of all areas of the construction site must be conducted to ensure contamination from all construction activities. Wastewater from construction camps must be treated on site using treatment facilities before discharge into surface rivers. Store, handle and dispose of construction site chemicals such as oils, gasoline, concrete and asphalt products, paints, and wash water must be conducted to minimize their entry into a runoff. During the reconstruction and demolition of various facilities, in particular, livestock farms or the food industry

entities, there is a potential contamination of groundwater through the leakage of wastewater storage containers. Thus, the contractors should apply appropriate measures and techniques to prevent water pollution.

- *Waste management.* Wastes generated during construction activity must be disposed of at designated landfills or recycled by licensed companies. The contractor must be ensured that temporary disposal of waste is not taken place in flood-prone areas. Mobile containers should be available in areas of works for solid municipal wastes, metal waste, oil products, etc. Temporary storage of hazardous wastes should be clearly marked and protected. Furthermore, all hazardous wastes must be disposed of according to the national legislation. Waste management practice should be included in the project design documentation.
- *The risk of fires and explosions.* The construction site must be equipped with original fire-fighting equipment, in particular, fire extinguishers and firefighting accessories boards with necessary equipment, fire suppression water tanks for water storage purposes and fire hydrants on water supply systems. Fire prevention measures should also include adherence to storage conditions for fuel and lubricants and compliance with the rules of work using an open flame, explosives, etc. Emergency plan in case of fires should be developed for construction camps. Workers must receive regular training on fire situations and the use of fire extinguishers.
- *Human safety.* The arrangement of works should also include technical safety measures that comply with effective rules and regulations, prevention of accidents and occupational diseases as well as improvement of labor conditions. Compliance with safety regulations and instructions, including the use of individual protective equipment, must be enforced and regularly monitored by the construction site supervisor. The person responsible for health and safety issues at the company level must take part in monitoring and random on-site checks on a regular basis.

Furthermore, since preventive measures are favored over mitigating or compensatory measures, the CSSDP will provide capacity building to all involved parties and especially to the USIF, to avoid or minimize potential environmental impacts through applying a set of good practices.

3.2. Potential Social Impacts and Mitigation measures

Implementation of micro-projects will have various social implications. In general, successful implementation of the CSSDP will have social benefits to the people, but there could be some negative impacts, real or perceived.

Through implementation of various service provisions a) public will have better access to primary public service facilities; b) better ventilation, sanitary and heating conditions in buildings after refurbishment works; c) services provided with modern equipment, better working conditions for personnel; d) better conditions for doing business due to improvements to infrastructure; and e) greater opportunities for employment due to e.g. provision of daycare facilities for children and so on.

Despite the above overall positive social development outcomes, some of the adverse social impacts/risks also could be expected due to the Project, mainly during implementation period.

Some of the key adverse/negative consequences are a) people may be exposed to dust, noise and traffic related to construction works; b) changes in the usage of facilities or intended purpose of buildings (e.g. former kindergarten being reconstructed into social service facility) may meet opposition from some groups of local people; c) interruption to some social services or might be temporarily unavailable during construction period; d) a social service facility or other frequently visited object is located in an apartment block/ neighborhood dwellers may protest

against additional traffic and permanent movement of people e) people may question the necessity of just this investment (there could be, in their opinion, more pressing issues; this may lead to social mobilization and tension) and ; f) potential restriction of access to housing and business premises during constructions period.

There are range of mitigation measures that could be adopted to address issues mentioned above and any other issues. Since there are no clear information of potential adverse social impacts at this stage, some tentative mitigation measures are proposed as follows. Additional measures will be developed after conducting social impact screenings of each micro-project based on the nature of impacts/risks. The following are some measures to address social risks/impacts.

Temporary Access Provisions- Arrangement will be made to provide additional temporary access in case the constructions affected existing access roads to public and private properties including any business and livelihood activities.

Public Consultations at micro-project level before and after its completion- the USIF will be requested to conduct public consultations prior and end of each subprojects. These consultations will be held as 'town hall' meetings which explain targeted activities their benefits and possible issues during constructions.

Social Audit/ Monitoring Committees for subprojects supervision Social Audit Committees can be established at subproject level to systematically assess and monitor the activities at ground level. Depend on nature of interventions, 5-7 persons from the communities could be selected to act as Social Audit Committees to monitor constructions and civil works and other small social service activities.

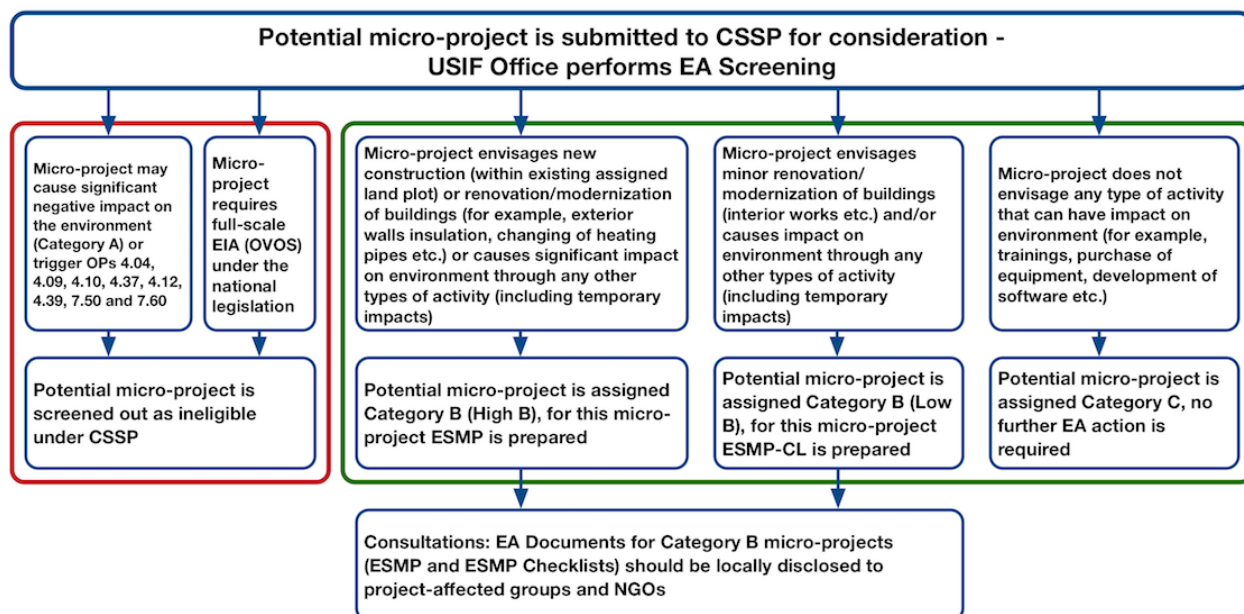
Social communication and information dissemination – Through social communication measures, people may be able to understand the potential benefits of the Project which may avoid protests and complaints from the public.

Grievance Redress Mechanism (GRM)

- The GRM will be established at two levels – the local/micro-project level and the USIF level. Project stakeholders will be able to submit questions, complaints and compliments/suggestions through the GRM. The GRM will focus not only on receiving and recording feedback, questions and complaints but also on how complaints are responded to, and resolved. Each micro-project beneficiary community will establish a GRM at the local level and assign one staff member as a focal point to register, process and handle grievances. GRM records shall be submitted to the World Bank at agreed timeframe for the records.
- The USIF grievance focal point will be appointed by the Executive Director. Upon selection of micro-projects for funding, the World Bank team will arrange for training on how to receive, process and address grievances for local level grievance focal points, the USIF grievance focal point and relevant staff.
- The grievance procedure shall be introduced at the local level during the public hearings of ESMF.

4. GUIDELINES FOR ENVIRONMENTAL SCREENING

At the stage of micro-project identification, a screening of potential issues will be carried out for each of them.



Screening shall eliminate non-eligible micro-projects and allow identification of issues and subsequent actions for eligible ones.

Initial screening shall be performed by the USIF and later reviewed by the Bank. If micro-project is eligible, the project proponent can begin further preparation works for micro-project: preparation of project design documentation and preparation of EA document for micro-project (which will include mitigation measures and monitoring). Mitigation measures will be based on the screening results and the content of the section "Environmental impacts, measures for their minimization, mitigation and compensation" of the design documentation, as well as other requirements.

If USIF has difficulties with WB categorization of micro-projects, they should consult with the WB Environmental Specialist, who will be able to help with a category identification.

5. ESMF IMPLEMENTATION AND INSTITUTIONAL ARRANGEMENTS

The following measures will be integral part of CSSDP implementation:

- a) Provisions of the project ESMF will be included in the Project OM;
- b) USIF will appoint staff to supervise implementation of ESMF and ESMP/-CL;
- c) Training on Environmental and Social Aspects matters for USIF personnel will be organized;
- d) Requirements of ESMF and OM shall be fully observed during preparation of ESMP/-CLs;
- e) Mitigation measures and other provisions of ESMP/-CLs will be an integral part of tender documentation; bidders will be obliged to include these provisions in their proposals;
- f) contractors and/or project proponents will be obliged to implement provisions of ESMP/-CLs;
- g) USIF will monitor ESMP/-CL implementation; in case of violation of ESMP/-CL provisions USIF will undertake adequate measures to correct the micro-project implementation.

The USIF Executive Office will be responsible for day-to-day management and supervising of micro-projects preparation and implementation. Its staff will handle procurement, financial management and other matters to ensure project compliance with the OM and the World Bank safeguards, monitoring and evaluation, and reporting requirements.

USIF regional offices would facilitate the review and approval of micro-project proposals, considering ESMF requirements. Local USIF consultants would be responsible for daily interaction with project proponents, communities, and local authorities and other stakeholders, micro-projects management and monitoring of micro-projects portfolio. For specific technical inputs, like supporting preparation of ESMP/-CLs, monitoring compliance with workers' safety, environmental protection and other requirements, USIF would engage additional technical consultants as needed.

Ukrainian authorities will monitor compliance with existing norms and rules in accordance with their regulations and schedules, so their activities are not covered in the Monitoring Plan.

6. ESMP/-CL PREPARATION AND IMPLEMENTATION

The purpose of ESMF is to assist the USIF in determining potential environmental impacts of micro projects, in preparing environmental and social management plans that will summarize necessary mitigation measures to minimize or prevent them, and to provide USIF with guidance on environmental and social monitoring and reporting. Detailed requirements to ESMP/-CL will be specified in respective section of the Project Operational Manual. These requirements will incorporate all provisions of ESMF.

As it was already mentioned, most of the micro-projects will be small-scale civil engineering, rehabilitation and other small-scale works. Implementing agencies and project proponents will have to prepare and use ESMP/-CL for each micro-project under Category B.

ESMP/-CLs will provide guidance on potential impacts and mitigation measures to be undertaken for activities through the design to implementation phase. ESMF-CLs shall also provide a monitoring plan format that includes monitoring indicators, timing, methods, and institutional responsibilities.

For every Category B micro-project, micro-project proponent shall prepare ESMF/-CL, which will generally consist of the following parts (templates for ESMP can be found in Annex 2, for ESMP-CL - in Annexes 3-5; these ESMP/-CLs will be a streamlined practical instrument, which is standardized, easy to prepare, implement and monitor, specifically tailored to small scale construction/rehabilitation projects):

- **Part 1:** Description of micro-project (for use by screener/approver) - describes institutional arrangements and list of contact persons, describe site location, land/building ownership and other features of micro-project. Information about disclosure and public consultations shall be provided in this part;
- **Part 2:** Assessment of Impacts and Mitigation Plan - concrete Mitigation Plan shall be prepared by the project proponent (in consultation with USIF staff as needed), with issues and mitigation measures relevant for this particular micro-project. Measures envisaged by the micro-project Mitigation Plan should be part of the construction contract and should be implemented by the contractor

- **Part 3:** Monitoring Plan shall be used by all parties: management and technical staff of contractor, project proponent and USIF. Responsible personnel in each of these parties should be appointed as needed.

Additionally, ESMP/-CLs will cover legislative and regulatory framework of micro-project implementation, and also provisions and results of public consultations and disclosure.

7. MONITORING AND REPORTING

Regular monitoring by the USIF is required to ensure that ESMF requirements are being implemented adequately. This monitoring might include the following indicators: number of Category B and C sub-projects; overall impact of the supported sub-projects; the number of complaints/number of ecological charges applied for the supported sub-projects; the number of training and participated in capacity building activities, etc. Based on these indicators the USIF semiannually would prepare short progress reports regarding ESMF implementation. Furthermore, USIF will ensure annual publishing of these reports on the website as well as dissemination on environmental issues related to the CSSDP to all interested stakeholders and parties (e.g. NGOs, general public, etc.) if necessary. The representatives of the USIF and the World Bank will conduct field visits to the selected sites to monitor implementation of the ESMF under the micro-projects.

Additionally, as part of the monitoring of the ESMF implementation, the project-specific inquiries/ grievances mechanism will be set at the level of USIF. The information about channels available for inquiries/complaints submission will be placed on the USIF web-page.

The implementation progress of ESMF including issues will be documented in the Project progress reports and shared with the World Bank. The reports may include, adherence of safeguards requirements including mitigation measures and grievances received and resolved.

8. DISCLOSURE AND CONSULTATIONS

Draft Environmental and Social Management Framework (ESMF) will be disclosed by USIF before appraisal: draft ESMF will be posted at USIF and regional administrations' web-sites, and public consultations (by means of opening communication channel for interested parties) will be organized by USIF. After consultations, ESMF will be reviewed to consider inputs from consulted parties, and the final version of the ESMF will be disclosed on the USIF website and in the World Bank InfoShop. The minutes of the consultations with the list of considered issues will be attached to the final ESMF as an Annex.

On later stage, ESMP/-CLs will be prepared by micro-project proponents according to OM, as necessary. Information on micro-projects will be published and/or posted on respective information resources together with draft ESMP/-CL, prepared by local project proponent. Issues raised during public consultations will be considered by the project proponent and USIF before the decision on micro-project implementation. In case significant amendments to the proposed micro-projects will have to be made, a revised ESMP/-CL shall be disclosed again.

9. TRAINING AND CAPACITY BUILDING

The Ukraine Social Investment Fund (USIF), an autonomous public nonprofit institution created by the Government in 2000, would implement the proposed project. It has extensive experience in carrying out community participation projects all over Ukraine. In 2002-2009, the agency implemented a Bank loan of US\$50 million and a JSDF grant that together supported community-driven small-scale infrastructure in over 600 communities. Since then USIF has worked in all regions of Ukraine where it has gained a proven reputation and the trust of communities and local governments. The agency has developed necessary experience and competence to manage core functions such as program management, regional coordination, community mobilization and facilitation, capacity building, training, procurement, financial management and results monitoring.

USIF would be responsible for administering the project funds and managing capacity building activities while the micro-projects preparation and implementation would rest with the community governments.

However, due to changes in the USIF team composition, it's difficult to assess the institutional capacity of its current personnel. To secure high standard of performance, it's is planned to launch training and capacity building program for all involved in CSSDP implementation.

USIF staff shall receive an introductory training on application of environmental management and social safeguards. The list of themes to be covered during this training could be found in Annex 6. Training(s) for broader audience (USIF staff, project proponents, local authorities and representatives of public) shall be organized shortly after launching the project (within 4-6 months) at appropriate locations.

ANNEX 1. SUB-PROJECT ENVIRONMENTAL SCREENING CRITERIA

Checklist to be filled out and saved on records Modification or Expansion of an Existing Facility

CRITERIA	YES	NO	Comment of loan officer
Existing Enterprise (Connected Project)			
Does the existing enterprise have a valid operating permit, licenses, approvals, etc.? If not, please explain. Permits to screen for include: Construction Permit Operational/Use Permit Water Management Permit Waste Management Permit			
<i>If not, will the investment be used to correct this condition?</i>			
Does the existing enterprise have or is awaiting an environmental permit?			
Will the sub-project finance activities that will lead to an increase in capacity of activities for which an environmental permit is required?			
Is operation of the existing enterprise mandated through special provisions of Ukraine environmental regulations regarding air, water and solid waste management, etc.?			
<i>If not, please explain.</i>			
Are there any significant outstanding environmental fees, fines or penalties or any other environmental liabilities (e.g. pending legal proceedings involving environmental issues, etc.) If so, please explain.			
<i>If so, will the investment be used to correct this condition?</i>			
Have there been any complaints raised by local affected people or groups or NGOs regarding conditions at the facility?			
<i>If so, will the investment be used to remedy these complaints?</i>			
Will the implementation of the proposed activity result in the displacement of any third parties formally or informally occupying or using the land or structures on which it will be implemented?			

CRITERIA	YES	NO	Comment of loan officer
Proposed Sub-project			
Will the sub-project generate water effluents and/or would environmental control measures be required in order to ensure compliance with the Ukraine standards?			
Will the sub-project generate air emissions and/or would environmental control measures be required in order to ensure compliance with the Ukraine standards?			
Will the sub-project generate noise levels that would require control measures to ensure compliance with the Ukraine standards? Will the noise levels impact particularly sensitive receptors (natural habitats, hospitals, schools, local population centres)			
Will the sub-project consume, store, produce or utilize hazardous materials that: <ul style="list-style-type: none"> • require special permits or licenses • require licensed or trained personnel • are outlawed or banned in EU or Western countries • are inconsistent with PPAH recommendations • may cause soil and water pollution if adequate control measures are not in place 			
Will the subproject generate waste that needs special management provisions and through licensed agencies? (in the case of procurement of new equipment, will the old equipment be managed through an authorized and licensed waste management company or agency?)			
Will the planned economic activity be located within or near protected natural territories/objects or territories/objects which are under consideration by the authorities for receiving the official status of protected territory object?			
Can the works under this sub-project have a potential impact on areas that are important for local or national cultural heritage?			
Is the vegetation cover planned to be disrupted during the reconstruction and retrofitting of the facility?			
Are the soil, lands and landscapes planned to be disrupted during the reconstruction and retrofitting of the facility?			
Has the local population or any NGOs expressed concern about the sub-project environmental aspects or expressed opposition?			
Will a system be arranged to handle construction waste and solid utility waste during the performance of			

CRITERIA	YES	NO	Comment of loan officer
construction works?			
Will an emergency management plan be developed?			
Is there any other aspect of the sub-project that would – through normal operations or under particular conditions – cause a risk or have an impact on the environment, the population or could be considered as a nuisance?			

**Checklist template to be used by PFI for review
Modification or Expansion of an Existing Facility**

CRITERIA	YES	NO	Comment of loan officer
Existing Facility (Connected Project)			
Does the existing enterprise have a valid operating permit, licenses, approvals, etc.? If not, please explain. Permits to screen for include: Construction Permit Operational /Use Permit Water Management Permit Waste Management Permit	NO	YES	
<i>If not, will the investment be used to correct this condition?</i>	NO	YES	
Does the existing enterprise have or is awaiting (or is required by law to have) an environmental permit?	NO	YES	
Will the sub-project finance activities that will lead to an increase in capacity of activities for which an environmental permit is required?	NO	YES	
Is operation of the existing enterprise mandated through special provisions of Ukraine environmental regulations regarding air, water and solid waste management (these are mandated through provisions in the environmental or water management permits)? If not, please explain.	NO	YES	
<i>If not, will the investment be used to correct this condition?</i>	NO	YES	
Are there any significant outstanding environmental fees, fines or penalties or any other environmental liabilities (e.g. pending legal proceedings involving environmental issues, etc.) If so, please explain.	NO	YES	
<i>If so, will the investment be used to correct this condition?</i>	NO	YES	
Have there been any complaints raised by local affected people or groups or NGOs regarding conditions at the facility?	NO	YES	
<i>If so, will the investment be used to remedy these complaints?</i>	NO	YES	
Will the implementation of the proposed activity result in the displacement of any third parties formally or informally occupying or using the land or structures on which it will be implemented?	NO	YES	
Proposed Sub-project			
Will the sub-project generate water effluents and/or would environmental control measures be required in order to ensure compliance with the Ukraine standards?	NO	YES	
Will the sub-project generate air emissions and/or would environmental control measures be required in order to ensure compliance with the Ukraine standards?	NO	YES	
Will the sub-project generate noise levels that would require control measures to ensure compliance with the Ukraine	NO	YES	

CRITERIA	YES	NO	Comment of loan officer
standards? Will the noise levels impact particularly sensitive receptors (natural habitats, hospitals, schools, local population centres)			
Will the sub-project consume, store, produce or utilize hazardous materials that: require special permits or licenses require licensed or trained personnel are outlawed or banned in EU or Western countries are inconsistent with PPAH recommendations may cause soil and water pollution if adequate control measures are not in place			
Will the sub-project generate waste that needs special management provisions and through licensed agencies? (in the case of procurement of new equipment, will the old equipment be managed through an authorized and licensed waste management company or agency?)			
Will the planned economic activity be located within or near protected natural territories/objects or territories/objects which are under consideration by the authorities for receiving the official status of protected territory object?			
Can the works under this sub-project have a potential impact on areas that are important for local or national cultural heritage?			
Is the vegetation cover planned to be disrupted during the reconstruction and retrofitting of the facility?			
Are the soil, lands and landscapes planned to be disrupted during the reconstruction and retrofitting of the facility?			
Has the local population or any NGOs expressed concern about the sub-project environmental aspects or expressed opposition?			
Will a system be arranged to handle construction waste and solid utility waste during the performance of construction works?			
Will an emergency management plan be developed?			
Is there any other aspect of the sub-project that would – through normal operations or under particular conditions – cause a risk or have an impact on the environment, the population or could be considered as a nuisance?			

This template is used by USIF to check the responses given by the micro-project proponent in the blank screening form. The USIF staff will note in the right-hand column whether the responses are in a shaded box or not, and will verify their review of the form by signing the form. If more than one box is shaded, micro-project would classify the micro-project as Category B and the USIF staff will ask the proponent to prepare the ESMP/-CL form and submit it to USIF before the completed application is sent for review to the World Bank (the choice between ESMP and ESMP Checklist will be made based on case-by-case assessment of the significance of negative impact).

If no red boxes have been checked, the sub-project is Category C. Category A sub-projects are not eligible for financing and would be screened either through compliance with the Ukraine requirements or the WB provisions listed in this document.

ANNEX 2. SUGGESTED ESMP STRUCTURE

1	Executive Summary
2	Introduction
3	Legislative and Regulatory Framework related to the Project Activity
3.1	Legislation for Design, Construction & Operation
3.2	Environmental and Social Legislation
3.3	Legislation on Public Consultation & Access to the Information
4	Micro-Project Description
4.1	Baseline and Current Situation
4.2	Analysis of Alternatives for the Proposed Project
4.3	Project Description based on the Chosen Alternative
4.4	Environmental Impact Assessment, Necessary Permits & State Expertize
4.5	Institutional & Organizational Aspects
5	Assessment of Risks (Political, Environmental, Social, Economic, etc.)
6	Environmental and Social Impacts
6.1	Positive Impacts & Benefits
6.2	Negative Impacts
7	Planning for Mitigation of Negative Impacts
8	Planning for Monitoring and Reporting
9	Disclosure, Public Consultations and Grievance Mechanism
10	References
Annex 1	Mitigation Plan*
Annex 2	Monitoring Plan *
Annex 3	Minutes of Public Hearing and Mass Media Information's Disclosure
Other Annexes	

* Use templates for Mitigation Plan and Monitoring Plan below

Mitigation plan

Phase	Impact	Mitigating measure	Cost to:		Institutional Responsibility to:		Comments (e.g. nature of the impact)
			Install	Operate	Install	Operate	
Pre-construction phase							
Construction							
Operation							
Decommissioning							

Monitoring Plan

Phase	What parameter is to be monitored?	Where monitoring is to take place?	How it to be monitored/ type of monitoring equipment?	When it to be monitored - periodical or continuous?	Why is the parameter to be monitored (optional)?	Costs:		Responsibility for:	
						Installation costs	Running costs (to operate the monitoring equipment)	Installation	Operation
Baseline									
Construction									
Operation									
Decommissioning									

ANNEX 3. ESMP-CL FOR SMALL SCALE CIVIL WORKS, PART 1: DESCRIPTION OF MICRO-PROJECT

INSTITUTIONAL ARRANGEMENTS		
Micro-project title		
Scope of micro-project and activity		
Institutional arrangements (names and contacts)	World Bank	
	USIF	
	Local project proponent	
Implementation arrangements (names and contacts)	USIF Safeguards supervision	
	Local safeguards supervision	
	Contractor	
SITE DESCRIPTION		
Name of site	Town/village...	
Describe site location	Address, description of neighborhood	
Who owns the land?		
Is anybody using the land formally or informally? For what purposes?		
Who owns the building(s)?		

Is anybody using the building formally or informally? For what purposes?	
Describe the proposed activity	
Describe geographic, physical, biological, geological, hydrographic and socio-economic context	
LEGISLATION	
Identify regulations and permits that apply to project activity	
PUBLIC CONSULTATION	
Identify when and where the public consultation process took place, how it was prepared and where the minutes are available	
INSTITUTIONAL CAPACITY BUILDING	
Will there be any capacity building for project proponent?	

ANNEX 4. ESMP-CL for Small Scale Civil Works, Part 2: Mitigation Plan

ACTIVITY	PARAMETER	GOOD PRACTICES MITIGATION MEASURES CHECKLIST
A. General Conditions	Notification and Worker Safety	<ol style="list-style-type: none"> 1. The local construction inspectorates and communities have been notified of upcoming activities 2. The public has been notified in the media and/or at publicly accessible sites (including the site of the works) 3. All legally required permits have been acquired for construction and/or rehabilitation 4. All work will be carried out in a safe and disciplined manner designed to minimize impacts on neighboring residents and environment. 5. Workers' personal protection equipment will comply with international good practice (always hardhats, as needed masks and safety-glasses, harnesses and safety boots) 6. Appropriate signposting of the sites will inform workers of key rules and regulations to follow.
B. General Rehabilitation and/or Construction Activities	Air Quality	<ol style="list-style-type: none"> 1. During interior demolition use debris-chutes above the first floor 2. Keep demolition debris in controlled area and spray with water mist to reduce debris dust 3. Suppress dust during pneumatic drilling wall destruction by ongoing water spraying and/or installing dust screen enclosures at site 4. Keep surrounding environment (side walks, roads) free of debris to minimize dust 5. There will be no open burning of construction waste material at the site 6. There will be no excessive idling of construction vehicles at sites
	Noise	<ol style="list-style-type: none"> 1. Construction noise will be limited to restricted times agreed to in the permit 2. During operations the engine covers of generators, air compressors and other powered mechanical equipment should be closed, and equipment placed as far away from residential areas as possible
	Water Quality	The site will establish appropriate erosion and sediment control measures
	Waste management	<ol style="list-style-type: none"> 1. Waste collection and disposal pathways and sites will be identified for all major waste types expected from demolition and construction activities. 2. Mineral construction and demolition wastes will be separated from general refuse, organic, liquid and chemical wastes by on-site sorting and stored in appropriate containers. 3. Construction waste will be collected and disposed properly by licensed collectors 4. The records of waste disposal will be maintained as proof for proper management as designed
	Asbestos management	<ol style="list-style-type: none"> 1. The asbestos prior to removal (if removal is necessary) will be treated with a wetting agent to minimize asbestos dust.

ACTIVITY	PARAMETER	GOOD PRACTICES MITIGATION MEASURES CHECKLIST
		<ol style="list-style-type: none"> 2. Asbestos will be handled and disposed by skilled and experienced professionals. 3. If asbestos material is being stored temporarily, the wastes should be securely enclosed inside closed containments and marked appropriately. Security measures will be taken against unauthorized removal from the site. 4. The removed asbestos will not be reused.
	<p>Direct or indirect hazards to public traffic and pedestrians by construction activities</p>	<p>In compliance with national regulations the Contractor will ensure that the construction site is properly secured and construction related traffic regulated. This includes but is not limited to:</p> <ul style="list-style-type: none"> ▪ Signposting, warning signs, barriers and traffic diversions: site will be clearly visible and the public warned of all potential hazards. ▪ Traffic management system and staff training. Provision of safe passages and crossings for pedestrians where construction traffic interferes. ▪ Ensuring safe and continuous access to all adjacent office facilities, shops and residences during construction.
	<p>Cultural Heritage</p>	<p>If construction works take place close to a designated historic structure, or are located in a designated historic district, notification shall be made and approvals/permits be obtained from local authorities and all construction activities planned and carried out in line with local and national legislation.</p> <p>If an unknown object, which potentially could be an archeological/historic artefact, is found during excavation (chance find), works will be immediately stopped and authorized government agency notified.</p>
	<p>Social Impact Mitigation</p>	<p>Community needs to be informed in advance of the temporary restrictions in access and alternative facilities/service providers identified to cover for that</p> <p>Community needs to be consulted on what should be the appropriate alternative/substitute for the facility/service access to which is restricted or alternative routes/paths to the existing facility</p> <p>In case there is an opposition to the project in certain part of the community detailed feedback should be provided on the reasons/grounds why the current project is given a priority</p> <p>All the information about the project shall be available from local authorities</p>

ANNEX 5. ESMP-CL FOR SMALL SCALE CIVIL WORKS, PART 3: MONITORING PLAN

(The table is populated with examples; for each micro-project site-specific monitoring plan should be prepared)

Parameter	What (Is the parameter to be monitored?)	Where (Is the parameter to be monitored?)	How (Is the parameter to be monitored?)	When (Define the frequency or continuous?)	Who (Is responsible for monitoring?)
Notification and Worker Safety	All necessary permits obtained	Prior to beginning works	Check documentation	Once at start of project	PIU Supervising Engineer
	Appropriate fencing, signposting of the sites	At the site and around	Visual inspection	Prior to the beginning of works; periodically when work conditions change	PIU Supervising Engineer
	Workers' protection equipment, safety of instruments, scaffolding etc.	At work places	Visual inspection	Every day (contractor), periodically (supervising engineer, PIU)	Contractor, PIU Supervising Engineer
Air quality	Dust from demolition suppressed by sprincling of water	At the site	Visual inspection	During demolition works	Contractor
Noise	Working time of equipment, including supply vehicles (only during periods agreed in permit)	At the site, access roads	Inspection	Periodocally	Supervising Engineer PIU
Water quality	Erosion and water protection measures in place (if necessary)	At the site	Visual inspection	Periodocally	Supervising Engineer PIU
	Water spills, spills of oil and lubricants	At the site	Visual inspection	Every week	Contractor, PIU Supervising Engineer
Waste	Construction waste and household waste collected separately and timely removed by licensed company	At the site	Observation; documentation from licensed company	Periodocally	PIU Supervising Engineer
Hazardous	Proper storing and disposal of asbestos	Construction site	Observation;	Weekly during "demolition"	PIU

waste			documentation from licensed company	phase of rehabilitation	
Hazards to public traffic and pedestrians	Proper signposting, warning posters, barriers	Construction site, access roads	Observation	Weekly	PIU Supervising Engineer
Social Impacts	Information about project clearly displayed at the construction site; all information available at local authorities office	Construction site, community office	Observation	Periodocally	PIU
	Timely addressing of complaints		Documentation	Monthly	PIU
	Timely addressing of complaints		Documentation	Monthly	PIU

ANNEX 6. REFERENCE LIST OF THEMES TO BE COVERED DURING CAPACITY BUILDING TRAININGS.

- 1) Introductory remarks on institutional arrangements: Government, USIF, World Bank, Project Proponent, Community
- 2) Micro-project cycle, roles of parties;
- 3) Environmental and social safeguards in the micro-project cycle;
- 4) Screening:
 - Overview of legislative and regulative framework;
 - Defining what is "land acquisition, physical and economic displacement";
 - Defining what is "environmental and social issues"
- 5) Environmental Mitigation and Monitoring Plan-checklist (ESMP/-CL)
 - What is ESMP/-CL and why it is needed
 - Detailed overview of sub-sections of ESMP/-CL - Mitigation
 - ESMP/-CL - Monitoring
 - Institutional arrangements
- 6) Requirements and procedure of disclosure and public consultations

Target audience: USIF Staff from central and regional offices (senior staff, engineers, procurement); project proponents, local authorities and representatives of public

Screening checklist to assess social risks and impacts of subproject interventions

Probable Social Impacts	Yes	No	Provide details to justify the answer
1. Will the intervention include new physical construction work?			
2. Does the intervention include upgrading or rehabilitation of existing facilities?			
3. Is the intervention likely to cause any permanent damage to or loss of housing, other assets, resource use?			
4. Is the site chosen for this work free from encumbrances and is in possession of the Public/government/community land?			
5. Is this sub project intervention requiring private land acquisitions?			
6. If the site is privately owned, can this land be purchased through negotiated settlement? (Willing Buyer – Willing Seller)			
7. If the land parcel has to be acquired, is the actual plot size and ownership status known?			
8. Are the subprojects cause any access restriction to the commuters/pedestrians/ business and trades?			
9. Is land for material mobilization or transport for the civil work available within the existing plot/ Right of Way?			
10. Are there any non-titled people who are living/doing business on the proposed site/project locations that use for civil work?			
11. Is any temporary impact likely?			
12. Is there any possibility to move out, close of business/commercial/livelihood activities of persons during constructions?			
13. Is there any temporary or permanent physical displacement of persons due to constructions?			
14. Does this project involve resettlement of any persons? If yes, give details.			
15. Will there be loss of /damage to agricultural lands, standing crops, trees?			
16. Will there be loss of incomes and livelihoods for anyone due to project intervention?			
17. Will people permanently or temporarily lose access to facilities,			

services, or natural resources?			
18. Will project cause loss of employments/jobs			
19. Will project generate excessive labor influx as a result of new constructions			
20. Does construction activities require additional/skilled labor from outside the locality			
21. Will subproject/construction activities cause destruction/disturbance to host community living			
22. Will construction of new buildings, drainage lines, powerlines create any degradation/disturbances for public buildings/resources/ adjacent houses, wells, lands, Burial places, children parks, schools etc			
23. Will this intervention generate downsize in current labor force(retrenchments) of the agency			
24. Does intervention may cause unintended consequences such as accidents/ damages to adjacent buildings			
25. Are any vulnerable groups who may affect adversely (including indigenous people) due to the project intervention?			

(Part 2) (to be completed by the CPMU based on the findings of the social screening and scoping process)

1. Subproject social risk Category (B or C) and arguments used for the determination of project category_____
2. Does public Consultations carried out with affected/interested parties (Yes/No)—If yes please attach a separate sheet describing the outcome
3. Social Screening/ Assessment required (yes or no) _____
4. If social assessment is required, what are the specific issues to be addressed?_____
5. Types of Social documents (RAP/ A-RAP for category B projects- Social Screening Reports for C category) _____

(Outlines for safeguards documents (RAP, A-RAP, Social Screening Report can be obtained from WB staff)

CPMU Environmental/Social Specialist:

Date: