



# **ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK**

**Inclusion, Innovation and Quality Project**

**February 2019**

## **1. Preface**

The present Environmental and Social Management Framework (ESMF) is an integral part of the Operations Manual of the Municipal Development Fund of Georgia (MDF) and Ministry of Education, Science, Culture and Sport (MESCS) prepared for the purposes of implementing the World Bank-supported Inclusion, Innovation and Quality Project (IQ Project). The ESMF identifies a range of required environmental and social management measures that need to be taken during the planning, design, construction and operation of school premises targeted by IQ Project, to ensure compliance with the national legislation and the World Bank's safeguard policies.

This ESMF provides general policies, guidelines, codes of practice and procedures to be integrated into the implementation of the IQ Project. It lays out steps-by-step instructions for environmental screening, classifying, appraising, approving and monitoring individual subprojects under IQ Project. The ESMF also overviews environmental and social policies and legal framework of Georgia and safeguard policies of the World Bank; includes institutional and capacity assessment related to environmental and social risk management; and describes the principles, objectives and approach to be followed while designing site-specific environmental and social mitigation measures.

## **2. Project Context**

Since 2004, the Government of Georgia (GoG) has introduced sweeping reforms to the education system to modernize the system. In 2018, Georgia updated its Education Reform Agenda for 2018-2023. The document identifies five main strategic goals: (i) increase access to quality preschool education for all and prepare children for school; (ii) ensure access to quality general education to prepare students for future work and improve their educational competencies by national and international standards; (iii) increase student participation in VET, enhance their competitiveness by providing professional and life skills to support socioeconomic development of the country; (iv) internationalize higher education system and ensure quality education for the enhanced development and employability of individuals; and (v) modernize and internationalize the Science, Technology, and Innovation system to generate new knowledge and contribute to country's sustainable development. To facilitate the reform and address exiting challenges in the education sector, GoG has partnered with the Works Bank and developed the IQ Project to be implemented on the proceeds of a loan from the International Bank for Reconstruction and Development over the period of 2019-2026.

## **3. Development Objective, Expected Results, and Design of the IQ Project**

### **A. Project Development Objective**

The Project Development Objective is to build a new foundation and culture of learning for human capital development in Georgia by: (i) expanding access to preschool education; (ii) improving quality and student-centered learning in general education through the whole school approach; and (iv) changing the culture of learning at all levels.

## **B. Result indicators include:**

- Percentage of 5-6-year-old children enrolled in School Readiness Programs (preschool level), including percentage of 5-6 year-old girls;
- Percentage of project supported schools that have achieved their whole school improvement targets;
- Number of project supported schools in general education with increased learning outcomes;
- Percentage of female students participating in Innovation Clubs and STEM-related gifted programs in general education;
- Percentage of higher education grants established under Competitive Innovation Fund achieving at least 80 percent of their proposed objectives;
- Communications and reform strategy to change culture of learning inside and outside the education system, including benefits of girls' education, prepared by GoG.

## **C. Project Design**

IQ Project comprises of five components briefly described below with the emphasis on the delivery of civil works and support to the Project administration.

### **Component 1 – Improving Quality of and Access to Early Childhood Education and Care (USD 16,890,000 equivalent)**

The objective of this component is to facilitate expanded access to quality preschool education in selected schools.

#### *Sub-Component 1.1 – Increasing equitable access to preschool education*

Among other investments, this would include much-needed rehabilitation of classrooms in selected schools to accommodate preschool provision.

#### *Sub-Component 1.2 – Improving the quality and standardization of preschool education programs across the country*

### **Component 2 – Fostering Quality Teaching and Learning in General Education (USD 65,750,000 equivalent)**

The objective of this component is to provide a learning environment that is conducive to quality education in selected general education schools.

#### *Sub-Component 2.1 – Strengthening diagnostics to inform reform design and governance*

#### *Sub-Component 2.2 – Supporting the capacity-building of teachers and school leaders to adapt, develop, and implement school-based curriculum*

#### *Sub-Component 2.3 – Assisting the development of a national assessment framework*

#### *Sub-Component 2.4 – Improving educational infrastructure to support high-quality learning environments*

This sub-component will concentrate on the partial or full rehabilitation of selected public general education schools.

**Component 3 – Strengthening Financing Options and Accreditation in Higher Education (USD 11,560,000 equivalent)**

The objective of this component is to improve the quality and international competitiveness of higher education.

*Sub-Component 3.1 – Developing new options for higher education performance-based financing taking into consideration the accreditation and quality assurance frameworks*

*Sub-Component 3.2 – Strengthening policy development and capacity-building for internationalization in higher education*

**Component 4 – Boosting Behavioral Change towards Quality and Innovation in Learning and Teaching (USD 2,800,000 equivalent)**

The objective of this component is to facilitate a shift in the culture of learning to one that is more pro-active, innovative, and evidence-based.

*Sub-Component 4.1 – Strengthening policy development for data-driven decision-making*

*Sub-Component 4.2 – Supporting the development of communication strategy to boost positive behavior change towards quality learning*

*Sub-Component 4.3 – Aiding creation and facilitation of Fund for Good Ideas*

**Component 5 – Supporting Project Management, Monitoring, and Evaluations (USD 3,000,000 equivalent)**

The objective of this component is to support the day-to-day management and monitoring of the IQ Project through the establishment and maintenance of a Project Management Unit (PMU) within the MESCS as well as enhancing capacity of the Municipal Development Fund of Georgia (MDF) and covering its operating costs related to IQ Project implementation. The PMU will manage delivery of technical assistance and supply of goods under the IQ Project, while MDF will manage provision of civil works and application of World Bank’s safeguard policies under the relevant components of the Project throughout its cycle. This Component will finance salaries of PMU and MDF staff, training activities, and operating costs. It will provide targeted technical assistance on Bank-specific procurement processes. Under this component, assistance will be provided for the evaluation and monitoring of the Project-supported activities.

**D. Project Cost**

The GoG has requested the financing of \$100 million from the World Bank for implementing IQ Project. The total Project cost is \$ 100 million. The MESCS and the MDF under the MRDI are the implementing entities of the IQ Project.

**4. Institutional and Legal Framework**

**4.1 Institutional Framework**

This section outlines the implementation arrangements of IQ Project. Section provides guiding principles for implementers and partners.

## **Ministry of Education, Science, Culture and Sport**

MESCS is one of the Project implementing entities. It will provide overall policy guidance and quality control for the Project implementation and liaise with external partners.

### **Project Management Unit under the Ministry of Education, Science, Culture and Sport**

PMU created under the MESCS will provide day-to-day management for the delivery of technical assistance under various components of the project and supply of goods according to the Procurement Plan for the Project. The PMU will be responsible for planning and addressing any impacts or disruptions related to Project activities under the mandate of the MESCS, including but not limited to:

- Communicating with pre-school and school authorities and local government regarding upcoming rehabilitation and/or construction activities;
- Arranging temporary accommodation for continuation of learning activities during rehabilitation as needed;
- Arranging transportation for teachers and students, as needed [via local authorities];
- Ensuring that contractual obligations with teachers and other school employees are honored, including continuous payment of salary despite disruptions that may occur during Project implementation;
- Ensuring that contractual obligations related to the school functions are honored, for example, with cafeteria, transport, or extra-curricular service providers;
- In the event of new construction or expansion of school premises, ensuring that any land allocated for construction is free of private use (formal or informal) and free of claims or disputes over ownership, and is owned by the MESCS;
- Reviewing and approving Terms of References (TORs) for Detailed Designs of construction or rehabilitation works; ensuring that these TORs are cleared by relevant departments within the MESCS;
- Appointing a grievance redress contact point to work with a grievance focal point in MDF; ensuring that contact information of the PMU is displayed in a visible way at project sites, that all grievances are recorded and addressed in a timely manner (within two weeks of receipt), and a grievance redress log is maintained within the PMU.

## **Municipal Development Fund under Ministry of Regional Development and Infrastructure**

MDF is one of the Project implementing entities. It will be responsible for all aspects of civil works to be provided with the Project support, including their adherence to the present ESMF and the national legislation of Georgia. MDF will also undertake environmental and social screening of grant applications for support from the Fund for Good Ideas and provide environmental and social oversight of Fund-supported activities as required. MDF will be responsible for handling any type of involuntary resettlement, if deemed required for the project implementation purposes, in accordance with the Resettlement Policy Framework development for IQ Project.

Environmental and social governance under IQ Project will be exercised by the MDF through its Environment and Resettlement Unit. The Unit comprises of the Unit Head as well as environmental, resettlement, social and gender specialists.

The responsibilities of the **Head of Safeguards Unit** are the following:

- Lead the implementation of environmental policies and practices;

- Ensure compliance with the World Bank’s environmental policies and the national environmental legislation;
- Control quality and adequacy of environmental and social screening reports to ensure that no subproject is accepted for further processing if it falls under environmental category A and/or if it may adversely change the quality or quantity of water in the international waterways, or be affected by the other riparian’s possible water use;
- Review and ensure quality of Subproject Appraisal Reports (SARs), Environmental and Social Review (ESR) reports, Environmental and Social Management Plans (ESMPs);
- Ensure due involvement of the Safeguards Unit staff into all operations of MDF that require inputs related to safeguard policy application;
- Evaluate environmental performance under the MDF-implemented activities and ensuring quality of reporting on the application of safeguard policies to internal and external clients and regulatory bodies;
- Alert the MDF management on significant issues revealed through monitoring of safeguards performance of contractors and recommending remedial action;
- Ensure disclosure of safeguards documents according to the guiding principles set forth in ESMF and Resettlement Policy Framework (RPF); coordinate consultation with stakeholders on ESRs, ESMPs and any environmental and social aspects of the MDF’s activities that affected people may be interested in; and take decision on the incorporation of public feedback into safeguards documents;
- Oversee operation of the Grievance Redress Mechanism (GRS) and ensure its viability.

### **Environmental Specialist**

Environmental Specialist will be fully involved in the process of preparation, implementation and monitoring of all infrastructural investments undertaken by MDF with the following responsibilities:

- Undertake environmental screening and classification of proposed subprojects and define their eligibility for funding under from environmental and social standpoints;
- Draft ESMPs and submit them to the Head of Safeguards Unit for review and submission to the World Bank;
- Provide safeguards-related write-ups for the inclusion into SARs;
- Prepare draft ESMPs for disclosure and drafting public announcements on the conduct of stakeholder consultation meetings in cooperation with a Resettlement Specialist;
- Participate in stakeholder consultation meetings on ESMPs, drafting minutes of consultations, taking photos, and obtaining contact information and signatures of participants;
- Conduct environmental monitoring of subprojects and documenting outcomes with photo materials;
- Provide write-ups with the analysis of environmental performance to the Head of Safeguards Unit for including into the general progress reporting.

### **Beneficiary Liaison / Grievance Redress Specialist**

Beneficiary Liaison Specialist will be involved in the public consultation process for each sub-project. This Specialist will serve as the main grievance redress focal point from the MDF side, and undertake the following responsibilities:

- Ensure that contact information for grievances on MDF side and on PMU side is available at all subproject sites and easily accessible to local citizens and Project-affected persons;

- Ensure that local authorities are aware of the grievance redress mechanism and their roles and responsibilities in it;
- Ensure that any grievances received by the MDF are recorded, resolved or referred to competent authorities, and resolved;
- Maintain grievance redress log.

### **Gender Specialist**

Gender Specialist will be involved in the process of preparation, implementation and monitoring all infrastructural investments undertaken by MDF with the following responsibilities:

- Ensure that adequate attention is paid to gender in conducting all surveys and collection and analysis of demographic, physical, economic, and financial data to attain this objective;
- Ensure that gender-disaggregated analysis is conducted on all relevant aspects of MDF's operation;
- Report on the participation of men and women and recommend opportunities for them to participate in the planning and implementation phases of subprojects.

### **Technical Supervisor of Works**

MDF's in-house capacity to carry out technical supervision of works, including environmental and social monitoring, will be supplemented by a hired construction supervision company. Environmental and social supervision function of the technical supervisor will include, but may not be limited to the following:

- Provide regular field environmental and social monitoring of works at all active works sites of IQ Project;
- Fill out monthly field environmental and social monitoring checklists and create photo documentation;
- Record and promptly inform MDF on any significant non-compliance with ESMPs, suggest remedial action, have it approved by MDF and follow up with works contractors to ensure due remediation of damage;
- Provide monthly reports on environmental performance of contractors to the employer containing analytical write-up on the encountered issues, recommended actions, and status of addressing previously revealed non-compliances;
- Lead professional dialogue with the Environmental Specialist of MDF and the Head of Safeguards Unit to share information from the field, discuss issues and recommended remedial actions, as well as notify the MDF on any safeguards-related issues that are not addressed through ESMPs but have emerged in the process of subproject implementation.

### **Construction Contractors**

MDF will hire Construction Contractors for the provision of civil works. Contractors will be responsible for full adherence to ESMPs which will be attached to works contracts and be binding for them. Contractor's responsibilities include liaison with subproject-affected local communities that includes, but may not be confined to:

- Ensure work site safety for staff and preventing external access to work site to ensure public safety and prevent accidents;
- Post construction company's name and contact information near the work sites notifying local communities about duration and general type of works to be undertaken

- Alert local communities ahead of time about cut-offs of utility services caused by subproject works, indicating timing and duration of such cut-offs;
- Inform MDF on issues raised by local communities if they cannot be resolved on-site by Contractor.

Also, Construction Contractor will be responsible for immediate suspension of all activities on site in case of encountering chance finds and prompt notification of the employer on such finds. Contractor will be forbidden to take any further action until receipt of written communication from the MDF.

### **Other Central Government Agencies**

**Ministry of Environment Protection and Agriculture of Georgia (MEPA).** MEPA has the overall responsibility for protection of environment in Georgia. The Department of Environmental Assessment of MEPA will review Environmental Impact Assessment reports for those activities under IQ Project which may require obtaining of an environmental decision according to the Environmental Assessment Code of Georgia and will issue such environmental decision prior to tendering of the planned works. MEPA is mandated to undertake control over the compliance of construction works with the terms and conditions of the issued decision.

**Ministry of Economy and Sustainable Development** will review design documentation of subprojects that may require construction permitting and issue such permits. **National Agency of Mines** under the Ministry of Economy and Sustainable Development will issue licenses for extraction of natural construction materials required for the delivery of works.

National Agency for Cultural Heritage Preservation (NACHP) under the MESCO will provide its formal consent on the issuance of a construction permit in case works are to be carried out in historic sites or zones of cultural heritage. If Construction Contractor encounters chance finds on a subproject site, MDF must notify the NACHP and receive its instructions on the further course of action. MDF may not authorize resumption of work until obtaining consent of the NACHP confirming that all urgent measures are taken for the preservation of archaeological heritage.

## **4.2 Regulatory Framework**

### **National Environmental Legislation**

IQ Project must be implemented in full compliance with the national legislation, including laws, regulations, and standards governing environmental management, social protection, and preservation of cultural heritage of the country. The legal, legislative and institutional framework for health and environment in Georgia is founded on the Constitution of Georgia, which stipulates the right to a healthy environment and the duty of all, in line with the law, to protect and enhance the environment. Health and environment is also supported by many governmental strategies and international agreements.

The following national legal acts are relevant for IQ Project:

- Environmental Assessment Code (2017)
- Waste Management Code (2014)
- Law on Environmental Protection (1996)



- Law on Soil Protection (1994)
- Law on Minerals (1996)
- Law on Water Protection (1997)
- Law on Atmospheric Air Protection (1999)
- Law on Cultural Heritage (2007)
- Law of Georgia on General Education (2006)
- Law of Georgia on Higher Education (2006)
- Law of Georgia on Early and Preschool Education (2015)

### ***Technical norms, standards and regulations***

- Georgian Standards and Code of Practice for Electrical Wiring.
- Georgian Government Decree #41 on building safety rules technical regulation (dated January 6, 2014 & January 28, 2016)
- Government Decree No.57 dated March 24, 2009 on granting permission for construction of buildings
- Tbilisi Municipality Decree No. 14-39, dated May 24, 2016 on the use and development of municipal owned territories
- Government Decree No. 59 dated January 15, 2014 on the approval of Technical Regulation on the Usage of Settlement Territories and Regulation of Development
- Construction Norms and rules “Seismo-resistant construction” (01 January 2009)
- Cement and Concrete Construction norms and rules (01 January 2008)
- Climate Studies of Georgia (01 May 2008)
- Water and Sewage external networks and buildings norms and rules (07 January 2009)
- Design standards of electrical equipment for residential and public buildings: СИ 31-110-2003.
- Natural and artificial lighting standards: СИ 52-13330-2011
- IEC 60364 – Electrical Installations of Building
- Electricity Supplier Requirements: Georgia Power Company - Rules and Regulations for Electric Service
- Code of Practice for Energy Efficiency of Electrical and Lighting Installations issued by the Government of Georgia
- IEC 60364-7-704 – Construction and Demolition Site Installation
- IEC 60335 – Safety of household and similar electrical appliances
- Construction norms and rules "Seismo-resistant construction" (01 January 2009)
- СИИ 2.04.05-86 for heating, ventilation and condition
- СИИ 11-л.4-62 Norms for the design of general education schools
- EU Standard EN 12828
- Recommendation of the American Society of Heating and Air Conditioning Engineers (ASHRAE)
- GoG decree #1-1/251 (18 February 2011) on application of norms, rules and other documents of technical regulations in effect in the areas of technical supervision and construction on the territory of Georgia prior to 1992 (Order 251)
- СИИ II-23-81\*
- СИИ 2.01.07-85
- СИИ 7-81
- СИИ 28-73

Environmental assessment and permitting procedure currently in force in Georgia is set out in the Environmental Assessment Code adopted in 2017. This Code provides for screening of the proposed activities if a need for the environmental assessment is not obvious and needs to be established, and scoping of environmental aspects to be analyzed in the course of assessment if the proposed activities are subject to it. Annex I of the Code lists out activities for which the assessment is mandated, while Annex II names activities which may or may not be subject to the environmental assessment, depending on the screening outcome. Environmental Assessment report produced by the project proponent is subject to review by the MEPA and issuance of an environmental opinion. Positive environmental opinion authorizes implementation of the proposed activities under specific conditions that may be included into the opinion. MEPA discloses screening, scoping, and environmental assessment reports and conducts public consultations on these documents.

### **World Bank Safeguard Policies**

As far as the World Bank provides core financing for a project implementation, the safeguard policies of the World Bank apply. IQ Project is classified as environmental Category B, which means that only category B or C activities may be financed from its proceeds. Category A subprojects are not eligible. It is expected that category B subprojects may carry relatively higher or lower risks, and to optimize environmental due diligence to be applied to subprojects, MDF will mark subprojects as “high” B (B+) or “low” B (B-).

IQ Project triggers the following safeguard policies of the World Bank:

- 1. OP/BP 4.01 Environmental Assessment.** The Bank requires EA of projects proposed for Bank support to ensure that they do not have or mitigate potential negative environmental impacts. The EA is a process whose breadth, depth, and type of analysis depend on the nature, scale, and potential environmental impact of the proposed project. The EA evaluates a project's potential environmental risks and impacts in its area of influence; examines project alternatives; identifies ways of improving project selection, siting, planning, design, and implementation by preventing, minimizing, mitigating, or compensating for adverse environmental impacts and enhancing positive impacts; and includes the process of mitigating and managing adverse environmental impacts throughout project implementation. The EA takes into account the natural environment (air, water and land); human health and safety; social aspects; and transboundary and global environmental aspects. The Borrower is responsible for carrying out the EA and the Bank advises the Borrower on the World Bank's EA requirements.
- 2. OP/BP 4.11 Physical Cultural Resources.** Physical cultural resources are defined as movable or immovable objects, sites, structures, groups of structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. Their cultural value may be of the local, provincial or national level, or be recognized by the international community. Physical cultural resources are important as sources of valuable scientific and historical information, as assets for economic and social development, and as integral parts of a people's cultural identity and practices. The Bank assists countries to avoid or mitigate adverse impacts on physical cultural resources from development projects that it finances. The Borrower addresses impact on physical cultural resources in projects proposed for the World Bank financing, as an integral part of the EA process. When the project is likely to have adverse impacts on physical cultural resources, the borrower identifies appropriate measures for avoiding or mitigating these impacts as part of the EA process. These measures may range from full site protection to

selective mitigation, including salvage and documentation, in cases where a portion or of physical cultural resources may be lost.

3. **OP/BP 4.12 Involuntary Resettlement.** This Policy is based on assisting the displaced persons in their efforts to improve or at least restore their standards of living. The impetus of this Policy is that development undertakings should not cause the impoverishment of the people who are within the area of influence of the undertakings. In cases where resettlement of people is inevitable, or in cases where loss of assets and impacts on the livelihood of the project affected people is experienced, a proper action plan should be undertaken to at least restore, as stated above, their standard of life prior to the undertakings.

The World Bank's Policy on the Disclosure of Information is also fully applicable to the IQ Project. It requires that environmental and social management documents prepared for the purposes of the Project implementation are publicly disclosed, made conveniently available for project-affected communities and other stakeholders, public feedback is sought on these documents, and the received feedback is duly incorporated into the designs and safeguard management plans.

### **Gaps between Georgian legislation and the World Bank requirements**

The following gaps/differences between the World Bank policy the national environmental and social legislation of Georgia are relevant to the IQ Project:

- Based on the environmental and social risk assessment, World Bank's OP 4.01 classifies operations into categories A, B and C. Depending on the environmental category of an operation as well as the nature and scope of the expected environmental and social impacts, a project may require preparation of an Environmental and Social Management Framework; conduct of a full-scale environmental impact assessment, hazard and risk assessment, or an environmental audit; or development of an Environmental Management Plan. Environmental Assessment Code of Georgia differentiates only two types of activities – those that require environmental impact assessment and those that do not require environmental due diligence.
- National legislation does not require full coverage of social aspects of operations subject to Environmental Impact Assessment. Only risks to community health and safety are expected to be analyzed and addressed.
- Overall, the legislation of Georgia adequately reflects the major provisions of the World Bank resettlement safeguard (WB OP 4.12), but a few differences are to be noted. The most significant of these differences is that under Georgian legislation/regulation, emphasis is put on the definition of formal property rights and on how the acquisition of properties for public purposes is to be implemented and compensated while in the case of OP 4.12 emphasis is put both on the compensation of rightfully owned affected assets and on the general rehabilitation of the livelihood of Affected People (AP) and Affected Households (AH). Because of this, World Bank safeguard policy on Involuntary Resettlement complements the Georgian legislation/regulation with additional requirements related to (i) the economic rehabilitation of all AP/AF (including those who do not have legal/formal rights on assets acquired by a project); (ii) the provision of indemnities for loss of business and income, (iii) and the provision of special allowances covering AP/AH expenses during the resettlement process or covering the special needs of severely affected or vulnerable AP/AHs. Also, in addition, the legislation of Georgia does not require any specific measure regarding the need to prepare RAPs based on extensive public consultations.

Due to these gaps and differences, implementation of IQ Project must comply with both – the national legislation of Georgia and the World Bank safeguard policies. If the two differ on a particular aspect, the more stringent requirement must be applied.

## **5. Implementation Arrangements**

MESCS will manage delivery of technical assistance and goods supported with the Project, while MDF will manage delivery of physical works. MDF will also procure consultant services for designing rehabilitation/construction of school premises. MESCS will appoint a contact person responsible for liaising with MDF on the design and construction-related matters. This person will represent MESCS while providing consent on TORs for design consultants, design documents, and upon hand-over of the completed buildings. MESCS' endorsement of such TORs and design documents will be mandatory prior to procuring the above referenced services and tendering of works. In case physical works at school premises may not be begun and completed during school breaks and these works may not be safely undertaken while the building is in use, the schooling process will need to be moved out to alternative premises until completion of rehabilitation and hand-over of the building. In such cases, MESCS absorb full responsibility for providing all temporary arrangements for the provision and safe and adequate premises for teaching as well as transportation of students to the alternative premises. If there are contractual agreements for the provision of catering or other services to the school which moves out to temporary alternative premises, or for the provision of extra-curricular arts and sports classes within the school premises that must be vacated for rehabilitation, MESCS will be responsible for settling such cases between the parties involved in accordance with RPF.

Creation of institutional capacity in the PMU and enhancement of in-house capacity of MDF for performing their respective functions toward IQ Project implementation will require recruitment of individual consultants (specialists of a particular field). Such needs of the PMU and the MDF will be discussed and agreed with the World Bank and met through the provision of the IQ Project proceeds. The initially agreed mix of consultants may require changes over the course of the Project implementation, which is also subject to discussion and agreement with the World Bank.

## **6. Subproject Selection, Screening and Scoping**

MESCS will select school premises for rehabilitation and identify need for construction of new buildings based on the following criteria:

- Physical condition of school premises (aggregate which includes roof, windows, exterior walls, etc.);
- Percentage of socially vulnerable students vis-à-vis total number of students;
- Square meters per student as a measure of utilization;
- Total number of students.

Physical condition of school buildings will be important for taking decision on partial or full rehabilitation. Construction of new buildings may be found advisable in case of significant structural damage of the existing premises. Other criteria of selection will bring social and economic perspectives into the decision-making process. Detailed mechanism of selection using

these and possibly additional criteria, will be worked out in the early stage of the IQ Project implementation.

These selection criteria will be included in the Operational Manual of the Project and updated as required with due consultations, approvals and disclosure according to established procedures under the ESMF and RSF and established laws and regulations referenced therein.

Assessment of structural integrity of school buildings has been carried out with the support from Millennium Challenge Corporation Georgia, and outcomes of this study have already been used for primary screening of school premises. MDF may undertake additional technical inspection of buildings suggested for rehabilitation prior to including them into the Project implementation plan.

Design Consultant, Environmental, and Social Specialist of MDF jointly perform environmental and social screening of subproject proposals (*Attachments 1 and 2*). Screening reports provide information on the main risks and types of mitigation measures to be applied. Environmental Screening Report concludes by confirmation or denial of subproject eligibility from environmental standpoint and assigning of an environmental category to a subproject. It also defines relevant safeguard tools to be prepared for the given subproject. Social Screening Report states whether there is clarity and documental prove on the land ownership and land use within the subproject implementation area, defines a need for any form of involuntary resettlement and related activities in accordance with RPF.

## **7. Sensitive Receptors and Potential Impacts**

IQ Project activities may be carried out in the capital city of Tbilisi and in any other settlements countywide.

Rehabilitation or construction of school buildings will bring positive changes to delivery of education services. In addition, there will be significant cost savings from reduction of operation and maintenance expenses. The expected overall positive environmental and social impacts from the IQ Project will be long-term and cumulative in nature, ultimately contributing to the increased social and economic benefits of the communities affected.

The potential adverse environmental and social impacts are described below for the construction and operation phases of the IQ Project. In general, the potential adverse environmental impacts associated with the construction or rehabilitation works carried out on school buildings and associated infrastructure are expected to be construction-associated, short-term and localized. Vast majority of the potential adverse impacts will be observed during the construction / rehabilitation period only and will mainly occur within the site of works implementation.

### **6.1 Construction Phase Impacts**

Degradation of landscapes and soil erosion. Some of the areas are sensitive to soil erosion; therefore, when undertaking earth works and leveling the area anti-erosive measures will be implemented during the re-cultivation period.

Pollution by construction run-offs. As a result of oil leakage from machinery and stock piled construction materials, oil products and chemicals can penetrate to the ground water or run off to water recipients.

Impacts on biodiversity. No impacts on biodiversity are expected due to school buildings' rehabilitation, because these are the existing buildings situated within settlements where the ecosystems are significantly transformed and already carry significant anthropogenic footprint. The only possible impact on biodiversity may come from mining for aggregates required as a construction material.

Noise, vibration, and emissions. Noise, vibration, and emissions will be generated in the course of the transportation of construction materials and truck traffic. Emission of inorganic dust from excavation and loading works and emission of harmful substances and dust from combustion of diesel used by transportation means and machinery occur during the construction works. Welding works cause welding aerosol and manganese monoxide emissions. Concrete mixers work result in concrete dust emissions.

Generation of excavated materials and construction waste. Demolition debris will be generated during rehabilitation works, including the possibility of asbestos-containing roofing material heavily used in construction till recent time. These effects will be localized and will be minimized by means of appropriate removal and disposal procedures, which may include but not be limited to careful selection of waste temporary accumulation sites, clear delineation of these sites to exclude their expansion, prevention of washout of such sites, obtaining written agreement on permanent disposal site with local authorities and timely transportation of waste to the designated dump site.

Safety hazards from construction activities. Safety hazards can occur due to violation of proper health and safety practices and may lead to injuries and accidents. Additional hazards can occur if school renovation works are implemented during teaching process or at a time when schoolchildren can access the school building and premises.

Impacts on historic-cultural and archaeological monuments. Some damage can be caused due to improper implementation of renovation activities if a school building selected for rehabilitation is listed as a cultural and/or historic monument.

## **6.2 Operation Phase Impacts**

Safety hazards from operation activities. No major hazards are expected during operation of rehabilitated schools as long as proper operation practices and safety procedures are applied. During the operation period, proper operation and maintenance of internal communications and fire safety systems must be ensured.

Localized social and economic impacts. Impacts on the local population and its occupation are expected to be generally positive. Rehabilitation of schools will have certain impacts on demographic structure of labor force in the areas affected by the proposed improvements. The Project will create temporary and some permanent job opportunities for the local population (both men and women), as they could be employed during rehabilitation and maintenance. The Project would be able to monitor these impacts by applying gender-disaggregated indicators. Availability of modern school in the community will allow more people (especially those having school age children) to stay in the village.

Impact on provision of educational services. Rehabilitation of the school infrastructure will result in significant improvement of conditions of the building where the schoolchildren are studying; overall improvement will also be supported by capacity and curricula building related activities. Rehabilitation of schools will allow to provide educational services without interruptions

possible due to the dilapidated state of the existing structures (e.g. during malfunction of heating system, etc.).

Generation of household waste and wastewater. Operation of the school will result in generation of waste and wastewater. Improper and non-timely collection, removal and disposal of waste can lead of odor and aesthetics impacts in the school building and nearby area. Other adverse consequences may constitute worsening of sanitary-hygienic conditions in school area due to accumulation of waste and clogging of sewerage system.

Operation of heating systems. Malfunction of heating system can result on interruption of provision of teaching services during the cold season of the year. Improper operation of heating systems may impact the air quality and lead to pollution of atmospheric air.

## **8. Impact Mitigation**

Mitigation measures that could be used where appropriate (depending on type of infrastructure, volume and type of works, surrounding area, etc.) are separately defined for the design, construction and operation phases. Appropriate measures will be included into the ESMPs.

### **7.1 Design Phase**

Environmental and social mitigation requirements will be incorporated in the final designs, technical specifications, and bidding documents to be implemented by the construction contractors and the maintaining entity to avoid, prevent, minimize the potential impacts. ESMPs will include references to the suggesting authorized mines of natural construction material in the vicinity of a given subproject site and a list of permits and agreements to be obtained from the relevant State and local authorities by construction contractor.

Selection of the existing school premises for rehabilitation will be based on the inventory of buildings carried out by the GoG with support from the Millennium Challenge Account Georgia and any additional checks for structural damage that MDF may deem necessary to undertake. Buildings with identified structural damages and/or seismic instability, if included into the IQ Project's implementation plan, will include mandatory measures to strengthen such buildings. Special attention will also be paid to the buildings that represent cultural heritage and the final designs will include all relevant agreements and permits.

### **7.2 Construction Phase**

Preserving landscapes and minimizing soil erosion. To minimize degradation of landscapes and soil erosion the Contractor(s) will use, where possible, existing quarries for required additional materials. Suitable excavated and dredged soils will be preferably used, thus limiting the need for old and new quarries. Permits for the extraction of natural construction materials will be obtained from the National Agency of Mines under the Ministry of Economy and Sustainable Development as needed. Access roads will be carefully chosen to minimize impacts on landscape and soil erosion and will be closely monitored to eliminate their unduly expansion during civil works.

Managing construction run-offs. Existing access roads will be used where possible, thus minimizing the need for establishing the new ones. The top surface of access roads and work

areas will be compacted to facilitate water runoff and avoid flooding the area. This may require digging drainage ditches and connecting them to natural drainage axes / rainwater discharge system (e.g. if available along the nearby road). Sites for storage of oil and lubricants will be properly equipped to minimize the risks of polluting soil and water. The septic tanks to be placed in the construction camp(s) must be made of impermeable material and will be emptied in accordance with applicable rules. The wastewater will be transported by a special truck to a centralized wastewater collector, based on the agreement obtained from the local authorities during the design phase.

Preserving biodiversity. The impact on biodiversity will be minimal, as the works cover renovation of existing facilities. As mentioned above, sourcing construction materials from already operated quarries will be encouraged to minimize negative impacts of new quarries on the landscapes and biodiversity.

Managing noise, vibration, and emissions. Dust-depressing measures aimed at prevention of air pollution through watering of access roads and construction sites will be implemented. During construction, air pollution levels will increase, and the main pollutants caused by these operations will include exhaust gases emitted by machines and dust caused by the earthwork and stonework. Water sprinkling during construction will alleviate dust impacts. Dust and noise from the construction site will be minimized by using closed/covered trucks for transportation of construction materials and debris. To minimize impacts on nearby residents the vehicles will be equipped with exhaust mufflers and regularly inspected to ensure their proper technical condition. In addition, implementation of renovation works will be carried out only during daytime hours.

Waste management. Temporary on-site storage of construction waste as well as its final disposal will be strictly regulated. Construction site will be fenced and no waste dumping or storing will be allowed outside these boundaries. Waste will be stored temporarily in the designated locations of the construction site, not preventing access or posing threat. If hazardous waste is generated during works, it will be packed, demarcated and stored under cover. No excessive volumes of waste will be accumulated on-site. Agreements on the final disposal of waste will be obtained from local authorities or waste acceptance agreements be signed with the designated landfills. No free dumping or open-air burning of any type of waste will be allowed. Restoration to quasi-original conditions of landscape will be carried out after completion of works and after use of quarries by the construction contractor.

Managing safety hazards. No major hazards are expected during the renovation works, as long as proper construction practices and safety procedures are applied. School rehabilitation activities will be undertaken preferably during summer months (non-operation period for school) to minimize hindering the teaching process and to eliminate the risk of accidents involving children. In case renovation activities have to be undertaken in parallel with teaching process, an option of temporary moving the teaching process to a nearby school will be considered. If the latter is impossible, the renovation activities will be limited to a part of the school building that is made inaccessible to schoolchildren (e.g. renovation in carried out on one floor of the building while teaching is carried out on another only). Personal protective equipment will be applied during implementation of works. In case the works include removal of roof tiles made of asbestos-containing material, the works will be implemented by trained personal using specialized personal protective equipment.

Preserving historic and/or cultural monuments. If a school building selected for rehabilitation under the project is on the formal list of Cultural Heritage approved by the Ministry of Culture



and Monument Protection, special permit should be obtained from Ministry of the Ministry in case the works will be implemented in the building exterior (external walls); in case the works are implemented inside the school and will not impact columns and other elements considered to be cultural and historical value – no permit is required to carry out renovation activities.

Rehabilitation works will be carried out in consultation with school administration and representatives of relevant authorities to minimize the adverse impacts.

### **7.3 Operation phase**

During operation, it is essential that the school structures and associated facilities are regularly inspected by the Ministry of Education and Science / local regional authorities and be periodically maintained to ensure proper technical state and prevent damages. Periodical maintenance of school structures and associated infrastructure will be cared timely and in due manner. Proper operation of utilities will be carried out to ensure availability of appropriate conditions for schoolchildren.

Household waste management. Waste container will be placed near each school area to collect the waste generated during school operation. Agreement / contract will be signed with appropriate authority / entity to ensure timely transportation and disposal of waste at approved disposal site.

Waste water management. Some school buildings are already connected to the municipal sewage systems. If a building is not connected, but a municipal collection system exists, the Project will explore possibility of connecting a school building as part of its renovation activities. Towards this end, the project will facilitate contracting Georgia Water and Power Ltd operating sewage collection system in the community. If centralized sewerage system is not available in a settlement where the school is located, wastewater will be collected in a septic tank and then periodically removed, transported by specialized organization to a nearby area with centralized sewerage collection and discharged into the system.

Operation of heating systems. Proper operation and maintenance of heating systems, including regular inspection and service of the systems, will be carried out to ensure uninterrupted operation during heating season, proper implementation of teaching process, as well as for minimizing air pollution.

Maintenance of roofs and utilities. Proper maintenance of roofs and other utilities will be carried out during operation of the renovated school buildings, including regular inspections and repairs as needed. Roofs will be cleaned during winter season after the snowfall to eliminate safety hazard for passing by schoolchildren, parents and school staff.

Maintenance of schoolyard and access areas. Regular maintenance of school yard and premises will be ensured by school administrations, so that good sanitary conditions and pleasant environment are maintained. Access areas will be kept free of elements hindering the access to the school building.

## **9. Environmental and Social Assessment and Management Planning**

Based on the outcomes of environmental and social screening of subprojects, ESR will be undertaken for Category B+ subprojects with the purpose of identifying all technical details associated with general types of risks identified at the screening stage, adjusting generic set of mitigation measures suggested at the screening stage to the specific needs of a subproject implementation and producing environmental and social monitoring plans. Environmental and social management matrix, comprised of mitigation and monitoring tables, should identify estimated costs of key types of mitigation measures, parties responsible for application mitigation measures and for undertaking monitoring of ESMP's implementation. It is essential that the table of mitigation measures names specific types of activities requiring mitigation, prescribes specific measures for mitigating risks associated with individual types of activities, and provides concrete measurable indicators against which the success of mitigation will be measured. ESMPs must cover both – construction and operation phases of a subproject.

Environmental Management Checklist for Small Construction and Rehabilitation Activities (*Attachment 4*) is a tool for environmental management planning for Category B- subprojects. It is a template to be filled in with short information about the location of a subproject site, physical and natural environment around it, land ownership, legislation pertaining subproject implementation, and the specific types of activities required for a subproject implementation. The Checklist provides readily available generic set of mitigation measures applicable to various types of activities. Environmental monitoring plan has to be developed by MDF according to the above instructions.

## **10. Public Consultation and citizen engagement in social and environmental risk management**

Participatory approach to framing environmental and social governance under IQ Project as well as for planning of environmental and social impact mitigation is essential for ensuring quality and realism of safeguard documents. Present draft ESMF will be disclosed through MDF's and MESCS' web pages and made available in print version at the respective regional administrations in Georgian and English languages. Consultation with government and non-government stakeholders on the draft ESMF will be hosted by MDF and MESCS. ESMF will be finalized through incorporation of public feedback.

Site-specific ESMPs will be disclosed in two languages on the MDF's web page, and hard copies in Georgian will be delivered to the administrative centers closest to the subproject sites. ESMPs will be shared with the MESCS prior to disclosure. Draft ESMPs will be disclosed in Georgian and English languages and public consultation meetings on the draft ESMPs will be held by MDF. Representatives of PMU will be invited to the consultation meetings. Local communities will be notified on the availability of these hard copies as well as on the means of communicating their feedback on ESMPs. Public consultation meetings with subproject-affected people will be held in the vicinity of subproject sites selected to guarantee easy access of stakeholders. Contact information for submitting questions, feedback or grievances of both MDF and PMU under MESCS will be distributed during public consultations and displayed thereon at a visible location throughout the duration of the Project.

Detailed record of public consultation process will be kept. Minutes of all meetings held will be produced including the following information:

- What announcement was made on the meeting, through what media, and on what date
- What was the time and venue of a meeting held

- How many attendees were in the meeting and type of attendees (e.g. parents, teachers, etc.)
- What was agenda of the meeting (including, as minimum, key expected environmental and social impacts, mitigation measures, grievance redress mechanism)
- Who were key speakers and what aspects did they cover
- What were the main types of questions asked by local residents and how these questions were entertained

Minutes should be supported with photo material taken during consultation and lists of attendees with their contact information and original signatures.

Present ESMF as well as site-specific ESMPs will be finalized with incorporation of adequate feedback and re-disclosed along with the minutes of consultation meetings attached.

Consultations with project-affected communities will continue during the construction phase by and records of environmental and social issues raised, and complaints received during consultations, field visits, informal discussions, formal letters, etc., will be followed up. The records will be kept in the project office in the MDF.

## **11. Environmental and Social Monitoring**

Environmental and social monitoring will be an integral part of the MDF's supervisory work in the course of the Project implementation. MDF will be responsible to ensure that on-site managers of works contractors are familiar with EMPs and instruct workers/personnel on the compliance with these ESMPs. The MDF will demand from works contractors' timely submission of environmental permits for the operation of asphalt/concrete plants (if owned); licenses for the extraction of rock, gravel, and sand (if operating quarries); and written agreements with local authorities on the disposal of waste. The MDF will conduct regular on-site monitoring of civil works to verify contractors' adherence to the requirements set out in ESMPs, to identify any outstanding environmental issues or risks, and to ensure proper application of the prescribed remedial actions. In case of recorded incompliance with ESMPs, the MDF will instruct contractors on the corrective measures and closely monitor their further progress.

MDF's in-house capacity to carry out the above described supervisory functions may be supplemented by a hired international construction supervision company. Oversight on the environmental, cultural, and social aspects of construction works will be an integral part of the terms of reference for such supervision company.

PMU will monitor viability of and adherence to the temporary arrangements for the delivery of schooling in alternative premises if a school building is vacated for rehabilitation during the school season.

## **12. Grievances Redress Mechanism**

During implementation of the subprojects, local residents, project-affected persons, or other interested parties may raise a variety of questions or complaints related to the Project activities. For example, intensive schedule of construction activities; inappropriate timing of construction vehicle flow; waste; noise and air pollution from construction activities; ecological disturbances, are some of the environmental issues that are likely to arise from the Project activities. The adequacy of alternative arrangements for students and teachers – e.g. distance or conditions of

alternative location, transportation, etc. – are also possible issues that may be raised in relation to project works.

According to the existing legal and administrative system in Georgia, there are several entities responsible for addressing environmental complaints of population and interested parties. The administrative bodies directly responsible for environmental protection within the subprojects areas are MEPA and municipality administrations. The affected population and stakeholders may send their grievances related to the Project-related environmental and social impacts directly to the mentioned administrative bodies responsible for environmental protection.

A Grievance Redress Mechanism (GRM) will be set up for the IQ Project to deal with both the environmental and social issues of the subprojects. The MDF and the PMU within the MESCS as the implementation agencies have the overall responsibility for Project implementation in general, including its environmental and social compliance. MESCS and MDF will be in close cooperation throughout the cycle of the Project planning and implementation to facilitate the grievance redress procedures and to make it easily available for Project-Affect Persons (PAPs) to raise their feedbacks and complaints if any. Once the complaints/feedback is received in MDF or MESCS, this will be shared between these two institutions immediately. A grievance redress contact point will be appointed in PMU, along with grievance focal point in MDF; contact information of the PMU shall be displayed in a visible way at project sites, that all grievances are recorded and addressed in a timely manner (within two weeks of receipt), and a grievance redress log is maintained within the PMU as well as MDF.

Grievance resolution is a two-stage process, including:

Stage 1 – informal (oral) review of the PAP’s complaint (with written or oral). At this stage the PAP’s complaint shall be reviewed by Grievance Redress Committee (GRC) in an informal (oral) way and the Committee members of both levels (the composition of the committee is specified in this Section) shall make and sign the minutes on the matter. If at Stage 1 the PAP’s complaint is not resolved the PAP should be informed about grievance resolution procedures of Stage 2. PAP has the right to use the procedures of Stage 2 without applying to Stage 1 procedures.

Stage 2 – review of PAP’s complaint. For the whole period of the Project implementation. GRC shall review the written complaints of PAPs, which were not satisfied at Stage 1. At stage 2 the PAP’s complaint shall be resolved and GRC shall make decision in compliance with the Administrative Code of Georgia.

Grievance redress procedures of Stage 1 are an informal tool of dispute resolution allowing the PAPs and the project implementation team to resolve the disagreement without any formal procedures, procrastination and impediments. The international experience of resettlement shows that such informal grievance redress mechanism helps to solve most of the complaints without formal procedures (i.e. without using the procedures specified in the Administrative Code or litigation). This mechanism enables unimpeded implementation of the Project and timely satisfaction of complaints. If the PAP is not satisfied, the grievance redress mechanism should assist him/her in lodging an official complaint in accordance with the procedures of Stage 2 (the plaintiff should be informed of his/her rights and obligations, rules and procedures of making a complaint, format of complaint, terms of complaint submission, etc.).

PAPs shall be fully informed of the grievance redress mechanism, its functions, procedures, contact persons and rules of making complaints through oral information and booklets. Care will

always be taken to prevent grievances rather than going through Stage 2. The achievement of this goal can be ensured through careful planning and preparation of RAP, active participation of PAPs, continued consultations with PAPs through regular site visits by EA safeguard representative.

GRC is an informal grievance redress mechanism at Stage 1. This informal body will function at the community level in local Gamgeoba (village/community authority). Additionally, GRC can comprise representatives of PAPs, women PAPs. If the complainants are not satisfied with the GRC decisions, they can always use the procedures of Stage 2 of grievance resolution process.

### **13. Reporting**

Documenting outcomes of the environmental and social supervision of subprojects is mandatory. Monthly monitoring reports will be generated by filling out field monitoring checklists (*Attachment 5* to this ESMF), reflecting quality and extent of the application of each mitigation measure prescribed by ESMPs. Information provided in checklists should be supported with photo material taken on-site and dated.

Environmental chapters of quarterly progress reports on the project implementation shared with the World Bank will carry more comprehensive, analytical information on the status of environmental performance under the IQ Project, including overview of deviations/violations of ESMPs encountered over the report period, instructions given to the works contractors for addressing any weaknesses or identified issues, and follow-up actions on the revealed outstanding matters.

Social chapters of the quarterly progress reports will include a short description of the reasoning why projects did/did not trigger the application of the RPF, and the status of the application of different social safeguards provisions. Summaries of consultations, status of compensation to PAPs, status of livelihoods restoration activities and challenges in the implementation of RAPs will also be described. A list of projects expected to trigger the application of the RPF in the upcoming quarter will also be included.

Prompt notification of the World Bank on any accidents, emergencies, and unforeseen issues which may occur in the course of works and directly or indirectly affect environment, physical cultural resources, personnel of works providers, and or communities residing in the vicinity of a project site is mandatory regardless timelines of reporting. Unexpected negative social impacts identified during Project implementation will also be reported. The MDF's consultants and staff will be responsible for monitoring for such negative impacts during their supervision visits.

**Attachment 1. Environmental Screening and Classification of Subprojects**

**(A) IMPACT IDENTIFICATION**

Has subproject a tangible impact on the environment?	
What are the significant beneficial and adverse environmental effects of subproject?	
May the subproject have any significant impact on the local communities and other affected people?	

**(B) MITIGATION MEASURES**

Were there any alternatives to the subproject design considered?	
What types of mitigation measures are proposed?	
What lessons from the previous similar subprojects have been incorporated into the project design?	
Have concerned communities been involved and how have their interests and knowledge been adequately taken into consideration in subproject preparation?	

**(D) CATEGORIZATION AND CONCLUSION**

Conclusion of the environmental screening:

1. Subproject is declined
2. Subproject is accepted

Subproject preparation requires:

1. Completion of the Environmental Management Checklist For Small Construction and Rehabilitation Activities
2. Environmental Review, including development of Environmental Management Plan

## Attachment 2. Social and Cultural Resource Screening of Subprojects

<b>Social safeguards screening information</b>		<b>Yes</b>	<b>No</b>
1	Is the information related to the affiliation, ownership and land use status of subproject site available and verifiable? (The screening cannot be completed until this is available)		
2	Will subproject reduce other people’s access to their economic resources, such as land, pasture, water, public services or other resources that they depend on?		
3	Will subproject result in resettlement of individuals or families or require the acquisition of land (public or private, temporarily or permanently) for its development?		
4	Will subproject result in the temporary or permanent loss of crops, fruit trees and household infra-structure (such as ancillary facilities, fence, canal, granaries, outside toilets and kitchens, etc)?		
If answer to any above question (except question 1) is “Yes”, then <b>OP/BP 4.12 Involuntary Resettlement</b> is applicable and mitigation measures should follow this OP/BP 4.12 and the <b>Resettlement Policy Framework</b>			
<b>Cultural resources safeguard screening information</b>		<b>Yes</b>	<b>No</b>
5	Will the project require excavation near any historical, archaeological or cultural heritage site?		
If answer to question 5 is “Yes”, then <b>OP/BP 4.11 Physical Cultural Resources</b> is applicable and possible chance finds must be handled in accordance with OP/BP and relevant procedures provided in the <b>Environmental and Social Management Framework</b>			

### **Attachment 3. Environmental and Social Management Checklist for Small Construction and Rehabilitation Activities**

#### General Guidelines for use of ESMP checklist:

For low-risk topologies, such as school and hospital rehabilitation activities, the World Bank safeguards team developed an alternative to the current ESMP format to provide an opportunity for a more streamlined approach to preparing ESMPs for minor rehabilitation or small-scale works in building construction, in the health, education and public services sectors. The checklist-type format has been developed to provide “example good practices” and designed to be user friendly and compatible with safeguard requirements.

The EMP checklist-type format attempts to cover typical core mitigation approaches to civil works contracts with small, localized impacts. It is accepted that this format provides the key elements of an Environmental and Social Management Plan (ESMP) or Environmental and Social Management Framework (ESMF) to meet World Bank Environmental Assessment requirements under OP 4.01. The intention of this checklist is that it would be applicable as guidelines for the small works contractors and constitute an integral part of bidding documents for contractors carrying out small civil works under Bank-financed projects.

The checklist has three sections:

- Part 1 includes a descriptive part that characterizes the project and specifies in terms the institutional and legislative aspects, the technical project content, the potential need for capacity building program and description of the public consultation process. This section could be up to two pages long. Attachments for additional information can be supplemented when needed.
- Part 2 includes an environmental and social screening checklist, where activities and potential environmental issues can be checked in a simple Yes/No format. If any given activity/issue is triggered by checking “yes”, a reference is made to the appropriate section in the following table, which contains clearly formulated management and mitigation measures.
- Part 3 represents the monitoring plan for activities during project construction and implementation. It retains the same format required for ESMPs proposed under normal Bank requirements for Category B subprojects. It is the intent of this checklist that Part 2 and Part 3 be included into the bidding documents for contractors, priced during the bidding process and diligent implementation supervised during works execution.



## **CONTENTS**

- A) General Project and Site Information**
- B) Safeguards Information**
- C) Mitigation Measures**
- D) Monitoring Plan**

## PART A: GENERAL PROJECT AND SITE INFORMATION

<b>INSTITUTIONAL &amp; ADMINISTRATIVE</b>			
Country			
Project title			
Subproject title			
Scope of site-specific activity			
Institutional arrangements (WB)	Task Team Leader: (insert)	Safeguards Specialists: (insert)	
Implementation arrangements (Borrower)	Implementing entity: (insert)	Works supervisor: (tbd)	Works contractor: (tbd)
<b>SITE DESCRIPTION</b>			
Name of institution whose premises are to be rehabilitated			
Address and site location of institution whose premises are to be rehabilitated			
Who owns the land? Who uses the land (formal/informal)?			
Description of physical and natural environment, and of the socio-economic context around the site			
Locations and distance for material sourcing, especially aggregates, water, stones?			
<b>LEGISLATION</b>			
National & local legislation & permits that apply to project activity			
<b>PUBLIC CONSULTATION</b>			
When / where the public consultation process will take /took place			
<b>ATTACHMENTS</b>			
Attachment 1: Site plan / photo Attachment 2: Construction permit (as required) Attachment 3: Agreement for construction waste disposal Other permits/agreements – as required			

**PART B: SAFEGUARDS INFORMATION**

<b>ENVIRONMENTAL /SOCIAL SCREENING</b>			
	<b>Activity/Issue</b>	<b>Status</b>	<b>Triggered Actions</b>
Will the site activity include/involve any of the following?	1. Building rehabilitation	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section <b>A</b> below
	2. New construction	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section <b>A</b> below
	3. Individual wastewater treatment system	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section <b>B</b> below
	4. Historic building(s) and districts	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section <b>C</b> below
	5. Acquisition of land <sup>1</sup>	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section <b>D</b> below
	6. Hazardous or toxic materials <sup>2</sup>	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section <b>E</b> below
	7. Traffic and Pedestrian Safety	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section <b>F</b> below
	8. Social Risk Management	<input type="checkbox"/> Yes <input type="checkbox"/> No	See Section <b>G</b> below

<sup>1</sup> Land acquisitions includes displacement of people, change of livelihood encroachment on private property this is to land that is purchased/transferred and affects people who are living and/or squatters and/or operate a business (kiosks) on land that is being acquired.

<sup>2</sup> Toxic / hazardous material includes but is not limited to asbestos, toxic paints, noxious solvents, removal of lead paint, etc.

## PART C: MITIGATION MEASURES

ACTIVITY	PARAMETER	MITIGATION MEASURES CHECKLIST
<b>0. General Conditions</b>	Notification and Worker Safety	<ul style="list-style-type: none"> <li>(a) Notify local construction and environment inspectorates and communities on the upcoming activities</li> <li>(b) Notify public on the works through appropriate notification in the media and/or at publicly accessible sites (including the site of the works)</li> <li>(c) Acquire all legally required permits for construction and/or rehabilitation</li> <li>(d) Formally agree with Employer that all work will be carried out in a safe and disciplined manner designed to minimize impacts on neighboring residents and environment.</li> <li>(e) Ensure that workers' PPE complies with international good practice (always hardhats, as needed masks and safety glasses, harnesses and safety boots)</li> <li>(f) Appropriately signpost construction site to inform workers on key rules and regulations.</li> </ul>
<b>A. General Rehabilitation and /or Construction Activities</b>	Air Quality	<ul style="list-style-type: none"> <li>(a) Use debris-chutes during interior demolition above the first floor</li> <li>(b) Keep demolition debris in controlled area and sprayed with water mist to reduce debris dust</li> <li>(c) Suppress dust during pneumatic drilling/wall destruction by ongoing water spraying and/or installing dust screen enclosures at site</li> <li>(d) Keep the surrounding environment (sidewalks, roads) free of debris to minimize dust</li> <li>(e) Disallow open burning of construction / waste material at the site</li> <li>(f) Disallow excessive idling of construction vehicles at sites</li> </ul>
	Noise	<ul style="list-style-type: none"> <li>(a) Limit construction noise to daytime unless extreme urgency. Notify local communities on the works schedule if it deviates from standard working hours</li> <li>(b) Ensure that during operation, engine covers of generators, air compressors and other powered mechanical equipment are closed, and equipment placed as far away from residential areas as possible</li> </ul>
	Water Quality	<ul style="list-style-type: none"> <li>(a) Establish appropriate erosion and sediment control measures such as e.g. hay bales and / or silt fences to prevent sediment from moving off site and causing excessive turbidity in nearby streams and rivers.</li> </ul>
	Waste management	<ul style="list-style-type: none"> <li>(a) Identify waste collection and disposal pathways for all major waste types expected from demolition and construction activities</li> <li>(b) Separate mineral construction and demolition wastes from general refuse, organic, liquid and chemical wastes by on-site sorting and stored in appropriate containers.</li> <li>(c) Collect construction waste and dispose properly to the designated locations</li> <li>(d) Whenever feasible, reuse and recycle appropriate and viable materials (except asbestos)</li> </ul>
<b>B. Individual wastewater treatment</b>	Water Quality	<ul style="list-style-type: none"> <li>(a) Ensure that the approach of handling sanitary wastes and wastewater and the design of the treatment system is approved by relevant authorities</li> </ul>

system		<ul style="list-style-type: none"> <li>(b) Ensure that before discharging into receiving waters, effluents from individual wastewater systems are treated in order to meet the minimal quality criteria set out by national guidelines on effluent quality and wastewater treatment</li> <li>(c) Undertake monitoring of newly established wastewater treatment systems and report to Employer on the monitoring outcome</li> <li>(d) Wash construction vehicles and machinery only in designated areas where runoff will not pollute natural surface water bodies.</li> </ul>
<b>C. Historic building(s)</b>	Cultural Heritage	<ul style="list-style-type: none"> <li>(a) If the building is a designated historic structure, very close to such a structure, or located in a designated historic district, do not commence works without receiving a notice that the design is agreed with the Ministry of Culture and Monument Protection, and all construction activities are planned and carried out in line with local and national legislation.</li> <li>(b) Acquaint personnel with the procedures for handling chance finds. Take all physical activity on hold if a change find is suspected or reported by staff and immediately notify Employer in writing. Do not resume work until formal notice from the Employer.</li> </ul>
<b>D. Acquisition of land</b>	Land Acquisition Plan/Framework	<ul style="list-style-type: none"> <li>(a) If expropriation of land was not expected but is required, or if loss of access to income of legal or illegal users of land was not expected but may occur, immediately consult the World Bank's Task Team Leader</li> <li>(b) Make sure not to enter a subproject site and not to start any physical activity in it prior to receiving formal notice on the completion of resettlement and full delivery of compensation to the affected people</li> </ul>
<b>E. Toxic Materials</b>	Asbestos management	<ul style="list-style-type: none"> <li>(a) If asbestos is located on the subproject site, mark it clearly as hazardous material</li> <li>(b) When possible, appropriately contain and seal asbestos to minimize exposure</li> <li>(c) Treat asbestos prior to removal (if removal is necessary) with a wetting agent to minimize asbestos dust</li> <li>(d) Handle and disposed asbestos using skilled &amp; experienced professionals</li> <li>(e) If asbestos material is being stored temporarily, securely enclosed it inside closed containments and mark appropriately. Take security measures against unauthorized removal from the site</li> <li>(f) Do not reuse the removed asbestos</li> </ul>
	Toxic / hazardous waste management	<ul style="list-style-type: none"> <li>(a) Temporarily store all hazardous or toxic substances on site in safe containers labeled with details of composition, properties and handling information</li> <li>(b) Place containers of hazardous substances in leak-proof containers to prevent spillage and leaching</li> <li>(c) Transport waste to official landfills and dispose excess excavated material at sites agreed with the local authorities.</li> <li>(d) No not use paints with toxic ingredients or solvents, or lead-based paints</li> </ul>
<b>F. Traffic and Pedestrian Safety</b>	Direct or indirect hazards to public traffic and	<ul style="list-style-type: none"> <li>(a) Signpost, place warning signs, arrange barriers and traffic diversions so that the work site is clearly visible, and the public is warned of all potential hazards</li> <li>(b) Establish traffic management system and conduct staff training, especially for site access and near-</li> </ul>

	pedestrians by construction activities	<p>site heavy traffic. Provide safe passages and crossings for pedestrians where construction traffic interferes.</p> <p>(c) Adjust working hours to local traffic patterns, e.g. avoid major transport activities during rush hours or times of livestock movement</p> <p>(d) Actively manage traffic if required for safe and convenient passage for the public.</p> <p>(e) Ensure safe and continuous access to office facilities, shops and residences during renovation activities, if the buildings stay open for the public.</p>
<b>G. Social Risk Management</b>	Public relationship management	<p>(a) Ensure that all arrangements related to continuation of school and learning process have been made (e.g., temporary accommodation for students, transport, etc.)</p> <p>(b) Assign local liaison person within Contractor's team to be in charge of communication with and receiving requests/ complaints from local population</p> <p>(c) Consult local communities to identify and proactively manage potential conflicts between an external workforce and local people</p> <p>(d) Raise local community awareness about sexually transmitted disease risks associated with the presence of an external workforce and include local communities in awareness activities.</p> <p>(e) Inform the population about construction and work schedules, interruption of services, traffic detour routes and provisional bus routes, blasting and demolition, as appropriate.</p> <p>(f) Limit construction activities at night. When necessary ensure that night work is carefully scheduled, and the community is properly informed, so they can take necessary measures.</p> <p>(g) At least five days in advance of any service interruption (including water, electricity, telephone, bus routes), advice community through postings at the work site, at bus stops, and in affected homes/businesses.</p> <p>(h) Address concerns raised through Grievance Redress Mechanism established by the Employer within the designated timeline within the scope of Contractor's liability</p> <p>(i) To the extent possible, work camps should not be located in close proximity to local communities</p> <p>(i) Siting and operation of worker camps should be undertaken in consultation with neighboring communities</p>
	Labor management	<p>(a) Recruit unskilled or semi-skilled workers from local communities to the extent possible. Where and when feasible, worker skills training, should be provided to enhance participation of local people.</p> <p>(b) Provide adequate lavatory facilities (toilets and washing areas) in the work site with adequate supplies of hot and cold running water, soap, and hand drying devices. A temporary septic tank system should be established for any residential labor camp and without causing pollution of nearby watercourses</p> <p>(c) Raise awareness of workers on overall relationship management with local population, establish the code of conduct in line with international practice and strictly enforce them, including the dismissal of workers and financial penalties of adequate scale</p>

**PART D: MONITORING PLAN**

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<b>Activity</b>	<b>What</b> (Is the parameter to be monitored?)	<b>Where</b> (Is the parameter to be monitored?)	<b>How</b> (Is the parameter to be monitored?)	<b>When</b> (Define the frequency / or continuous?)	<b>Why</b> (Is the parameter being monitored?)	<b>Who</b> (Is responsible for monitoring?)
<b>CONSTRUCTION PHASE</b>						
1.						
2.						
n.						
<b>OPERATION PHASE</b>						
1.						
2.						
n.						

#### Attachment 4. Monthly Field Environmental Monitoring Checklist

Site location					
Name of contractor					
Name of supervisor					
Date of site visit					
Status of civil works					
Documents and activities to be examined	Status				Comments
	Yes	Partially	No	N/A	
Contractor holds license for extraction of natural resources					
Contractor holds permit for operating concrete/asphalt plant					
Contractor holds agreement for final disposal of waste					
Contractor holds agreement with service provider for removal of household waste from site					
Work site is fenced, and warning signs installed					
Works do not impede pedestrian access and motor traffic, or temporary alternative access is provided					
Working hours are observed					
Construction machinery and equipment is in standard technical condition (no excessive exhaust and noise, no leakage of fuels and lubricants)					
Construction materials and waste are transported under the covered hood					
Construction site is watered in case of excessively dusty works					
Contractor's camp or work base is fenced; sites for temporary storage of waste and for vehicle/equipment servicing are designated					



Contractor's camp is supplied with water and sanitation is provided					
Contractor's camp or work base is equipped with first medical aid and fire-fighting kits					
Workers wear uniforms and protective gear adequate for technological processes (gloves, helmets, respirators, eye-glasses, etc.)					
Servicing and fuelling of vehicles and machinery is undertaken on an impermeable surface in a confined space which can contain operational and emergency spills					
Vehicles and machinery are washed away from natural water bodies in the way preventing direct discharge of runoff into the water bodies					
Construction waste is being disposed exclusively in the designated locations					
Extraction of natural construction material takes place strictly under conditions specified in the license					
Excess material and topsoil generated from soil excavation are stored separately and used for backfilling / site reinstatement as required					
Works taken on hold if chance find encountered and communication made to the State agencies responsible for cultural heritage preservation					
Upon completion of physical activity on site, the site and contractor's camp/base cleared of any remaining left-over from works and harmonized with surrounding landscape					

**Attachment 5. Minutes of Public Consultation Meetings on the ESMF and RPF**