TERMS OF REFERENCE

Kazakhstan: Kyzalorda-Zhezkasgan Rehabilitation Project - Environmental and Social Assessment

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1 BACKGROUND

The Government of Kazakhstan approached the Bank requesting the European Bank for Reconstruction and Development ("EBRD" or the "Bank") to provide a sovereign guaranteed loan to finance the urgent reconstruction of the 220 km section of Kyzylorda-Zhezkazgan road.

The proposed financing is for the reconstruction of approximately 220 km of the 427 km road, linking the cities of Kyzylorda (main rice producer on the south of the country) and central Zhezkazgan (country’s copper capital). It is a connector road to the key trade-enabling CAREC’s Corridor 1 in the south of the country and the Center-North-border of Russian Federation corridor in the north. Once reconstructed it will offer the shortest transport link for transit flows from Central Asia to Russian Federation as well as the socially significant route for the very sparsely populated and economically isolated settlements along the road. The reconstruction of the road is prioritised by the government as part of the regional Covid-19 crisis response to provide direct connectivity between the regional cities to improve accessibility to social and economic opportunities.

The reconstructed road will follow the alignment of the existing road: a two-lane, category III road constructed about 30 years ago. The investments will finance the upgrade of the road to technical category II, including works related to the road pavement, construction of bridges, interchanges, gender sensitive roadside facilities, rest areas, stops for public transport, as well as financing supervision engineers (the “Project”). Once complete, the road will be tolled as part of the Company’s ongoing work to rollout electronic tolling system on the newly reconstructed roads nationwide (outside of the Project’s scope).

JSC KazAvtoZhol (the “Client”, “Company”) was established in 2013 and is a 100 per cent state-owned national road operator under the trust management of JSC National Company Kazakhstan Temir Zholy.

The Company is engaged in designing and constructing national highways under a service agreement with the Ministry of Industry and Infrastrutural Development of Kazakhstan (MIID). It is also responsible for the management of toll roads, including toll collection and maintenance.

The Project is subject to local environmental impact assessment (EIA) with associated public consultation and public disclosure in accordance with local/national legal and permitting requirements. All project design documents, permits and local EIA will be available for review by the end of July.

The Project is categorised “B” in accordance with the EBRD Environmental and Social Policy (ESP) (2019). The Bank therefore wishes to engage a consultant (the “Consultant”) to carry out an Environmental and Social (E&S) Assessment of the Project (the “Assignment”).

1 The remaining road sections to be financed by ADB.

1.1 Applicable Requirements

The E&S Assessment is to be carried out in accordance with:

- Applicable local, national and regional requirements, including those related with environmental and social impact assessments;
- The EBRD’s ESP (2019) (and the incorporated Performance Requirements (PRs)), and relevant European Union (EU) requirements (including, but not limited to, the EU EIA Directive and IE Directive);
  - EC Directive 2008/96/EC Road Infrastructure Safety Management confirm if the Road safety audit/inspections are planned in accordance with Directive or in accordance to any national legal requirements/standards
  - Directive 2004/54/EC Minimum Safety Requirements for Tunnels in the Trans European Network and,
- Relevant international conventions and protocols relating to environmental and social issues, as transposed into national legislation
- EBRD Strategy for the Promotion of Gender Equality
- EBRD Economic Inclusion Strategy

2 Objectives of the Assignment

The objective of the Assignment is to identify and assess the potentially significant existing and future adverse environmental and social impacts associated with the proposed Project, assess compliance with applicable laws and the EBRD ESP and PRs, determine the measures needed to prevent or minimise and mitigate the adverse impacts, and identify potential environmental and social opportunities, including those that would improve the environmental and social sustainability of the Project and/or the associated current operations.

The assessment process will be commensurate with, and proportional to, the potential impacts and issues of the Project. The assessment will cover, in an integrated way, all relevant direct and indirect environmental and social impacts and issues of the Client’s operations, the Project and the relevant stages of the project cycle (e.g. pre-construction, construction, operation, and decommissioning or closure and reinstatement).

The Environmental and Social Assessment (as defined in Section 3.2.1) will also determine whether further studies are required, focusing on specific risks and impacts, such as climate change, human rights and / or gender.

The Environmental and Social Audit (as defined in Section 3.2.2) is required to assess the Client’s capacity to implement the Project in compliance with national legislation, national or local permitting requirements, the relevant provisions of the EBRD Environmental and Social Policy and Performance Requirements (2019) and pertinent EU environmental standards. Further, the audit should assess, where possible, capacity and management practices of the contractors potentially involved into the project implementation or existing construction practices in Kazakhstan for alignment with the Banks PRs.
The Assignment shall include an overview of Client capabilities and resources as described below, and an environmental and social appraisal of the existing EIA and strategic level assessment documentation, plus supporting documentation and any existing operations. Further, the Consultant is required to review the existing EIA documents, and company procedures and practices against the EBRD Performance Requirements.

This assignment has been identified as requiring a detailed review of labour issues in line with PR2 and consideration of Gender and Gender Based Violence and Harrassment (GBVH) risks related to the project (See Annex 3).

3 | Scope of Work

The Consultant will:

- Identify existing and Project-related environmental and social impacts and risks;
- Describe and characterise a relevant environmental and social baseline commensurate with the risks posed by the current site operations and the Project;
- Develop a draft E&S Assessment report in accordance with the Bank’s requirements as defined in the ESP, including a Compliance Summary table with the Bank’s PRs;
- Prepare a draft Stakeholder Engagement Plan (SEP), Resettlement Framework (RF) / Plan (RP), draft Environmental and Social Action Plan (ESAP) and draft Non-Technical Summary (NTS);
- Identify if any additional studies will be required to cover relevant aspects in greater detail (e.g. biodiversity, resettlement, retrenchment, gender, etc.). (Any such work will be commissioned under separate Terms of Reference); and,
- Finalise all documentation further to the EBRD, other lenders’ (if involved) and Client’s comments.

3.1 | Task 1: Review of Available Data

The Consultant will review all studies and baseline data available from the Client:

- Review the existing EIA/ESIA and other relevant Project documentation available, including (but not limited to) those related to: scoping assessments, site selection, route alignment, land expropriation, existing infrastructure and services, cultural heritage, protected and designated areas, public disclosure and consultation, zoning, planning and construction permit applications, supporting documentation and permits, various permitting processes, community impacts and risks;
- Identify and assess relevant regional and strategic environmental and social assessments or studies that affect the Project. Where regional or strategic assessments or studies are identified and assessed, these will be included in the summary of due diligence undertaken, including the Non-Technical summary.
- Complete a media search about the Project, Client, sector, country, etc. to determine the extent to which there has been relevant news coverage and, if so, whether any of the issues will require additional verification during the initial review and site visit. If no
relevant issues are identified through this process the Consultant will include a statement to this effect within its results.

**TASK 2: SITE VISIT**

Following the review of background information, the Consultant will visit the site to obtain any supplemental information needed to complete the E&S Assessment (Section 3.2.1) and carry out the on-site activities necessary to fulfil the E&S Audit reporting requirements (Section 3.2.2) and carry out the following tasks:

- Review the status of site activities, and controls implemented to address environmental, social and health and safety issues by the site contractors and the Client if works are underway.

- Review such practices relative to good international practice, national legislation and commitments that are presented in the existing EIA document or associated documentation.

- Review the potential for the presence of any historical environmental and social issues present on site.

- Obtain an understanding of the site setting, in terms of social and environmental issues, to augment the understanding as provided in the background data. It is assumed that various maps and other visual documents will be available from personnel on site to assist on this understanding. This task should include a review of facilities in the proximity of the site and a review of residences, local businesses (including informal activities), public buildings, social/leisure spaces, forms of livelihood and communities located directly adjacent to or near the site.

- Establish further understanding of the Client’s stakeholder engagement activities and plans.

- Conduct discussions with site personnel regarding on-site control and management of environmental and social issues. This should cover the mitigation measures and monitoring proposed in the EIA as well as implementation of protection measures by the Client and contractors.

Following completion of the data review and site visit the Consultant will deliver a summary of key findings (see section 3.3.1).
3.2 | TASK 2: ENVIRONMENTAL AND SOCIAL ASSESSMENT AND AUDIT

3.2.1 | Environmental and Social Assessment

Project Description & Identification of Relevant Associated Activities & Operations

The Consultant will prepare a description of the Project including details of any alternatives\(^3\) considered for the project and information on neighbouring operations and activities or design alternatives to address climate, safety issues or stakeholder concerns (such as access and gender considerations). In accordance with EBRD PR1 will identify the environmental and social risks and impacts associated with the project. When a project involves existing facilities or business activities, and/or associated facilities, the assessment will consider the environmental and social risks and impacts associated with such facilities and activities. The environmental and social assessment process will be based on current and/or recent information, and environmental and social baseline data, including gender disaggregated data, at an appropriate level of detail. The assessment process will also identify: (i) applicable environmental and social laws and regulatory requirements of the jurisdictions in which the project operates, including those laws implementing host country obligations under public international law; and (ii) applicable requirements under the PRs. Central to this approach is the application of the mitigation hierarchy and GIP.

Analysis of Legal Requirements

The Consultant will identify applicable local, regional and national environmental and social laws and regulatory requirements of the jurisdictions in which the Project operates, including those laws implementing host country obligations under international law. The Consultant will analyse local/national assessment and permitting requirements and the EBRD environmental and social requirements and compare them within a gap analysis in tabular format, presented to the structure of the EBRD PRs. For example, if a RP or LRF etc. are available the Consultant shall review the information on legal requirements to confirm if any gaps exist with the PR5 requirements.

The Consultant will review the compliance of the Project with the applicable requirements, together with the status of any material permits or authorisations that are required.

Baseline Conditions

The E&S Assessment will include a review of the aspects of the physical, biological and socio-economic environment likely to be affected by the proposed Project. Indicative guidance on the contents of the overall assessment is provided in Annex 1.

The baseline assessment will include consideration of the inter-relationship between the relevant factors, as well as the exposure, vulnerability and resilience of these factors to natural and manmade disaster risks. The Consultant will include an analysis of potential contamination risks affecting soil or groundwater within or near the Project site which will be completed without intrusive investigations at this stage.

\(^3\) Project alternatives to include: Zero (“no project”) alternative, siting and routing alternatives, infrastructure and traffic connection alternatives, design alternatives
**Project Assessment**

In accordance with the Bank’s ESP (2019), the Consultant will analyse the potential environmental and social impacts and risks of the Project, as well as opportunities that the Project may provide, including infrastructure development (e.g. water, wastewater, a heat and electricity distribution networks, transportation access) and other associated facilities (such as dedicated sources for raw materials), for which the EBRD financing is being sought.

The E&S Assessment will include a review of the likely effects of the proposed Project on the physical, biological and socio-economic environment to provide an identification and characterisation of potential E&S impacts, including beneficial (as well as adverse) impacts, including specific impacts on women in terms of their safety and vulnerable persons. This review will be structured to include all relevant stages of the Project’s life, e.g. construction, operation and maintenance, closure and decommissioning, and residual E&S impacts. The level of analysis and reporting will be commensurate with the risk magnitude of the identified issues. Indicative guidance on the contents of the overall assessment is provided in Annex 1.

**Gap Analysis**

The Consultant shall:

(a) Analyse the Project documentation and information gathered to assess compliance with:

- National requirements for environmental, social, health and safety, and public consultation issues;
- All relevant EU substantive environmental standards; and,
- EBRD requirements (2019 ESP PRs).

(b) Review the environmental, health and safety and social mitigation measures proposed for adequacy.

(c) Where gaps are identified, assess the extent of risk posed by each identified gap; i.e. what does this mean to the Project and does the presence of this gap pose a significant risk, or is it merely a procedural gap? Any identified gap must be assessed in terms of risk significance (high, medium or low) and an opinion provided as to whether the risk issue should be further assessed and/or considered for avoidance, minimisation and mitigation, and how it should be monitored.

**Management of Impacts and Issues**

For each identified adverse future impact, issue and/or risk, the Consultant will propose measures to avoid, minimise, mitigate or compensate for them. The Consultant should identify requirements for any further investigations and supplementary documentation that will need to be prepared as well as additional procedures and activities that will need to be undertaken so as to meet the EBRD’s PRs. In particular it should be confirmed if there are any gaps regarding

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4 In particular, a careful review should be made to assess risks in terms of personal safety and harrassment in line with the development of the reconstruction of the road.
land acquisition documentation, biodiversity assessment or if a Resettlement Framework, Resettlement Plan or Livelihood Restoration Framework is required.

**EBRD PR Compliance Assessment**

Based on the results of the E&S Assessment, the Consultant shall evaluate the compliance status of the Project with the EBRD PRs using the format provided in Annex 2 and provide a compliance matrix for the Project, summarising and comparing Project requirements with the EBRD PRs relevant to the Project (including pertinent EU substantive environmental standards), and the extent to which these have been met and the actions required to meet them.

### 3.2.2 Environmental and Social Audit

The E&S Audit is required to review the current and past performance of the Client’s in relation to the Project:

- Review the project preparation activities and procedures undertaken following the EIA/ESIA preparation to date, to assess whether or not all potential environmental and social impacts, issues and risks have been assessed and mitigated. Activities and procedures to be reviewed could include (but are not limited to) those related to selecting the alignment, impact on/of hydrogeological regimes, land expropriation, economic displacement and resettlement, labour management, gender considerations, stakeholder identification and engagement, biodiversity and cultural heritage issues. Confirm if further planned roads and the connection of the new road to the existing road network have been adequately considered in the planning of the project and cumulative impacts assessments;

- Review and summarise the recommendations made by stakeholders on the EIA/ESIA and identify where and how they were addressed. This will be presented in a table format identifying the source, issue of concern, response and document reference;

- Review the environmental, health and safety and social obligations that have been defined to manage environmental and social risks and meet the EBRD PRs; including the status of relevant permits and authorisations;

- Undertake labour due diligence to identify the key risks associated with labour requirements of PR2 and PR4 as per guidance provided in Annex 3 including a gender assessment to identify how to best promote equal opportunities policies and practices in the company’s workforce and consideration of GBVH risks;

- Review whether potential risks to communities have been assessed and proposals for addressing key issues such as severance impacts, noise abatement, road safety, haulage routes, gender based violence and collaboration on emergency response issues have been considered in plans and mitigation measures for construction and operational phases;

- Review whether community road safety impacts, including road traffic accident rates and projected improvements and road safety mitigation measures have been adequately addressed in line with the Bank’s commitments on road safety. In particular, consider if the road safety impacts have been assessed in relation to women and vulnerable Road
Users (elderly people, children, people with disabilities, cyclist, pedestrians, farmers, horse carts), in the cases when road sections are near to local communities. Occupational road risks should also be assessed:

- Conduct the drive-through along the right of way of the road (project site) to identify any economic and/or physical displacement risks; perform the socio-economic survey, detailed measurements survey (number of the affected people/households, residential properties, businesses, vulnerable person/groups), preliminary consultations with affected communities, and if possible valuation survey;

- Review whether there are material climate change resilience/adaptation issues and confirm if climate adaptation measures are considered including the design of roads/road maintenance e.g. pavement, structures, geo-technics, drainage and provisions for dealing with extreme weather events (cold, heat, flooding);

- Assess whether or not the impacts of this project could affect valuable habitats and protected areas including Natura 2000 sites. Confirm if baseline studies, mitigation measures and environmental monitoring as part of project implementation are sufficient or will a specific Biodiversity Action Plan need to be developed;

- Review whether or not the project will result in any disproportionate impacts on any group of people as a result of their gender, age, ethnicity, disability, socio-economic status and/or other personal characteristics and identify any opportunities to specifically address their needs and concerns so as to enable them to benefit from project activities;

- Review the Project supply chain (e.g. suppliers of materials and resources) and identify relevant environmental, social, labour and/or reputation issues; and,

- Review records of the Client’s stakeholder identification results and engagement activities/plans. Consider if any public consultation on the design of the road and the safety features have been done for the project including consultation with both male and female and also with vulnerable road users. Assess if there are any needs for road safety awareness campaigns to be undertaken amongst roadside communities and drivers (especially where there were major changes in the traffic environment).

The E&S Audit is required also to review the Client’s capacity to implement and operate the Project in compliance with the Bank requirements and also to the extend where possible to assess capacity and management practices of the contractors potentially involved into the project implementation or existing construction practices in Kazakhstan.

- A review of the Client’s existing environmental and social management systems, policies and practices;
- Organisational capacity and resources;
- Human Resources and employment (e.g. child labour, forced labour, non-discrimination and equal opportunity, sexual harassment and Gender based violence policies, workers’ organisations, contractor management, retrenchment and employment) policies and current workforce data (sex and age disaggregated), codes of conduct and grievance mechanisms;
• Occupational health and safety (local and national requirements, applicable EU/international requirement and standards, key health and safety issues, control and major accident hazards, current health and safety monitoring programme, summary of regulatory compliance status, summary of health and safety expenditures, emergency response etc.) community health and safety concerns including gender based violence;
• Industrial hygiene (including worker exposure, and rates of industrial diseases) and worker health and safety;
• Use and management of hazardous substances;
• Community health, safety and security as it relates to the Company’s existing operations;
• Major hazards assessment and management; environmental management plans in the event of an incident, accident of spill both on land and at sea;
• Current company policy and practice in relation to avoidance of third party intrusion into potentially hazardous areas (fences, security, personnel, others);
• Management of potentially hazardous works;
• Waste management;
• Noise and vibrations both during construction and operation of the Company’s facilities;
• Overview of current Client’s policy and procedures regarding land acquisition (compensation policy, consultation activities related to land acquisition including grievance management, if applicable);
• Public interaction, including historical responsiveness to public comments, complaints and questions. The audit should also identify the Company’s main stakeholder groups and current stakeholder engagement activities in line with PR10 and consideration of gender.

The Consultant will be guided by the relevant requirements of the Bank’s E&S Performance Requirements.

Utilising the results of the gap analysis and audit the Consultant shall prepare a template Environmental and Social Management Plan that incorporates environmental, social (including labour), health and safety measures, monitoring and reporting requirements.

3.2.3 | Livelihood Restoration Framework

The Consultant will following the site visit and in consultation with the ESD prepare an LARF inclusive of gap analysis between national law and EBRD PR5 requirements. This will need to be ready to be agreed with the Client and disclosed as part of the project. The Framework should be agreed to by the Client and prepared so that it can be publicly disclosed and used by affected people. A sample LARF Table of Contents has been provided (Annex 7).

3.3 | TASK 3: REPORTING

Upon completion of Tasks 1 and 2, the Consultant shall prepare the following reports of the assessment findings.
3.3.1 | Summary of Key Findings

On completion of the data review and site visit the Consultant will deliver a Summary of Key Findings to present the initial findings of the work to-date. This report will summarise the key issues that have been identified and, if necessary, will highlight the need for any additional studies, eg. in relation to resettlement, livelihood, retrenchment, biodiversity, etc. This document will be delivered by email or in presentation format.

3.3.2 | E&S Audit and Assessment Report

The Consultant will provide a concise but comprehensive report of the overall E&S Audit and Assessment. The guidance for the report content provided in Annex 1 may be used to structure the report but the Consultant is expected to use their professional experience to determine the final contents.

3.3.3 | Environmental and Social Action Plan (ESAP)

The Consultant shall develop a comprehensive ESAP to address issues identified during the E&S Appraisal and the E&S Audit. The ESAP will focus on those issues that are required to bring the operations into compliance with the EBRD’s requirements and will be presented and sequenced by PRs. Actions identified must be numbered, clearly defined, indicate a time frame for completion (with specific reference to those actions that must be completed before financial close if appropriate) and a responsible party specified. Further, each item must contain a description of the factors that will be used to determine when the identified action is closed/completed. The Consultant will also inform the Client about any material budget implications of ESAP items (although this information may not be required in the public domain).

The ESAP will be compact and, if needed, details will be included in sub-plans referenced in the main ESAP. The required format the ESAP is given in Annex 4.

3.3.4 | Stakeholder Engagement Plan (SEP)

The Consultant shall prepare a draft SEP in compliance with the PR10. The scope and level of detail of the SEP will be scaled to fit the needs of the Project and the objectives of EBRD PR10. Following review of the Project operations, the Consultant will propose a format best suited for the specific Project needs. Guidance for the contents of an SEP is provided in Annex 5.

3.3.5 | Non-Technical Summary (NTS)

The Consultant will prepare, in consultation with the Client, a concise, over-arching, standalone NTS. The NTS will be written in non-technical language and the Consultant will ensure that the NTS can be used to demonstrate compliance with the EBRD requirements. An indicative list of issues for the NTS is given in Annex 6.

4 | IMPLEMENTATION ARRANGEMENTS

The Consultant will report on all aspects of the Assignment to the Bank’s Operation Leader (the OL), and the Bank’s Environmental and Sustainability Department representative, based at EBRD headquarters in London; and liaise with the Client.
The Client will provide the Consultant with access to, or copies of all, relevant information (all or most in Russian and Kazakh languages). The Consultant will make a detailed review of this information, either in the local language, or by translating, or agreeing with the Client the translation of, the information into English and Russian. The Consultant will bear the cost of any necessary translations.

The Consultant will be expected to work with a variety of stakeholders including the Committee for Roads within the Ministry of Industry and Infrastructural Development.

5 | **Deliverables**

The Consultant will submit the following deliverables in English, Russian and Kazakh to the Bank’s OL:

1. Summary of Key Findings – within 4 weeks of the Assignment Start Date

2. Draft Environmental and Social Audit and Assessment Report, which includes a PR compliance table and template Environmental and Social Management Plan (see Annex 1) – within 8 weeks of the Assignment Start Date

3. Draft Environmental and Social Action Plan (ESAP) (see Annex 4) - within 8 weeks of the Assignment Start Date

4. Draft Stakeholder Engagement Plan (SEP) (see Annex 5) – within 8 weeks of the Assignment Start Date

5. Draft Non-Technical Summary (NTS) for disclosure to the public (see Annex 5) – within 8 weeks of the Assignment Start Date

6. Draft Resettlement Plan and/or Livelihood Restoration Plan (Annex 7): within 8 weeks of the Assignment Start Date

7. Final documentation - within 2 weeks of receiving the Bank’s comments on the draft versions.
ANNEX 1
SAMPLE REPORT FORMAT FOR AN E& S AUDIT AND ASSESSMENT REPORT (BROWNFIELD)

Note: The following is an indicative list of issues for possible inclusion in an E&S Audit and Assessment report for a Brownfield Project. The Consultant is expected to use its professional judgement to determine what issues (either listed below or additional) are relevant to the Project. Issues which are not relevant to this project should be covered by a short statement that they have been considered but do not apply in this case.

Executive Summary
A concise summary description of the Project, its rationale, the existing operations and overall setting, significant environmental and social impacts, recommended mitigation and enhancement measures, monitoring proposals, and the extent of the Client’s commitment to these recommendations and proposals.

1 | Project Description
Precise description of the Project within its geographical, environmental and socio-economic context. This should include information on whether and how the Project is part of a wider development plan/programme. A systematic comparison of feasible alternatives to the project in terms of location, project technology or design in terms of potential environmental and social impacts. This should include the ‘do-nothing’ option.

2 | Legal Requirements
Outline of the policy, legal and administrative context of the ESIA summarising the environmental and social and project approval requirements of the Bank, co-financiers and applicable regional/global conventions or agreements. The timeframe for public consultation, project appraisal and implementation should be outlined.

- Applicable IFI Environmental and Social Assessment procedures
- Host Country, Regional and International Regulatory Framework, standards and guidelines, treaties applicable
- Approach to benchmarking

3 | Baseline Conditions
A description of relevant aspects of the physical and natural environment and socio-economic conditions in areas affected by the existing operations and the Project to include, inter alia:

- Air emissions and noise;
- Biological and ecological resources (fauna, flora, biodiversity, protected species, critical habitats, ecosystems);
- Climatic factors and climate change (e.g. greenhouse gas emissions, including from land use, land use change and forestry, and sectors of population more affected by climate change);
- Cultural heritage, including architectural and archaeological heritage;
- Geomorphology and geology;
- Land (past and current use, permanent or temporary acquisition);
- Land use patterns
- Landscape and visual aspects;
- Material assets;
- Mitigation potential and impacts relevant to adaptation;
- Other social issues: community, settlement patterns and residential properties, vulnerable groups
- Public and / or site specific transportation system;
- Socio-economic status of the population (disaggregated by gender, age, ethnicity, and other social characteristics);
- Soil (organic matter, erosion, compaction, sealing);
- Stakeholder engagement practices
- Water (accessibility, quantity and quality, surface and groundwater) and waste water management;
- Worker and public health and safety;
- Gender based violence.

4 | Potential Impacts
Identification of the potential environmental and social impacts that could be associated with the existing operations and the Project, including those of an indirect and cumulative nature. Impacts which are unlikely to arise or be insignificant should be recorded, together with the rationale for why they are considered to be unlikely or insignificant. Potential impacts must be considered at the following levels:
- Local impacts
- National impacts
- Regional/Global impacts

5 | Characterisation of Impacts and Opportunities
Identification and characterisation of positive and negative environmental and social impacts in terms of magnitude, significance, reversibility, extent and duration. The possibility for cumulative impacts is to be considered. Quantitative data must be employed to the greatest extent possible. The chapter should also identify opportunities for environmental and social enhancement and identify key uncertainties and data gaps. Both the existing operations and the following Project stages must be considered in this evaluation where appropriate:
- Construction phase
- Operation and maintenance
- Closure and decommissioning
- Residual environmental and social impacts

6 | Management of Impacts and Issues
An outline of the feasible cost-effective measures to avoid, minimise, mitigate or compensate for environmental and social impacts to acceptable levels and address other environmental and social issues; such as the need for worker health and safety improvements, inter-agency coordination, community involvement, institutional strengthening or training within the executing agency/governmental agencies/Client or at the community level. Additionally, an
outline of any measures that would enhance environmental and social aspects within the area affected by the Project and the existing operations and characterisation of the nature of any residual environmental and social impacts or issues that have not been addressed. A description of the financial provisions for potential risks (for example escrow accounts and insurance cover to provide for *inter alia* abandonment and decommissioning, site remediation and oil spills and other emergencies). Both the existing operations and the following Project stages must be considered where appropriate:

- Construction
- Implementation and maintenance
- Closure and decommissioning
- Residual environmental and social impacts

7 | Monitoring and Supervision
A description of how environmental and social impacts and issues will be monitored and managed in practice; including an indication of how the Project will be supervised by lenders and governmental agencies. Estimates should be provided for capital expenditure and operation and maintenance costs where possible. The following stages must be considered where appropriate:

- Construction
- Implementation and maintenance
- Closure and decommissioning

8 | Mitigation and Management Plan
A record of all measures required to address environmental and social impacts and issues as well as monitoring and supervisory activities associated with these should be consolidated in tabular form. This should also indicate institutional responsibilities, timeframes and associated costs.

Appendices
- Names of those responsible for preparing the E&S Assessment
- References and sources of information
- Records of public meetings and consultations held
- Supporting technical data
- EBRD Compliance Summary Table (see Annex 2)
ANNEX 2
ENVIROMENTAL AND SOCIAL ASSESSMENT: COMPLIANCE SUMMARY TABLE

Introduction
The Compliance Summary provides a systematic review of project compliance with the EBRD Environmental and Social Policy, as defined through the applicable Performance Requirements (PRs). Scope of compliance is all PRs applicable to non-FI projects. The review is intended to provide a baseline against which to judge future performance of projects through the annual environmental and social reporting process.

Between 2 and 10 indicators are identified for each of the applicable PRs: 1, 2, 3, 4, 5, 6, 7, 8 and 10.

Guidance
For all PRs (Indicators with whole number references) provide a summary of overall compliance with the PR. Justification for any derogation from a PR should be summarised and supporting documents referenced.

For each indicator within a PR, please complete the 3 steps below:

1. **Decide whether the indicator is applicable.** For Category A and B projects the starting point is that all indicators are applicable unless the project has no significant aspects relevant to the indicator (i.e. no risks), in which case the indicator should be scored "NA" and a brief summary of the reason given. For Category C projects the starting point is all indicators are NA unless the project has a significant aspect relevant to the indicator (i.e. there is a material risk).

2. **Decide whether an opinion is possible.** If not (for example if the indicator will apply, but it is too early in the project) score as "NOP" and provide a brief summary of why. Where lack of opinion represents a material omission to the review refer to where this is addressed in the report and summarise any recommendations.
3. **Score the indicator as follows and provide brief justification.**

<table>
<thead>
<tr>
<th>EC</th>
<th>Exceeding Compliance:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The project has gone beyond the expectations of EBRD’s PR requirements. EBRD should be able to use projects rated EC as a role model for positive Environmental and Social effects.</td>
<td></td>
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<tr>
<th>FC</th>
<th>Fully Compliant:</th>
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<tbody>
<tr>
<td></td>
<td>The project is fully in compliance with EBRD’s requirements, and EU and local environmental, health and safety policies and guidelines.</td>
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<tr>
<th>PC</th>
<th>Partial Compliance:</th>
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<tr>
<td></td>
<td>The project is not in full compliance with EBRD’s requirements, but has systems, processes or mitigation measure in place which are working towards addressing the deficiencies.</td>
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<tr>
<th>MN</th>
<th>Material Non-compliance:</th>
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<tr>
<td></td>
<td>The project is not in material compliance with EBRD’s requirements, and the systems, processes and mitigation measures in place are not working towards addressing the deficiencies.</td>
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</table>

4. **Comments/Issues:** Provide a brief commentary on the relevance of this requirement for the project and an explanation of the chosen score.

5. **Actions Required:** Where applicable, briefly describe any actions required by the client to achieve full compliance with each requirement. Where a relevant action is included in the ESAP for this project, please provide a reference to the ESAP.

6. **PR Summary:** Provide an overall summary against the PR, using the above compliance definitions with supporting commentary. In some cases it may be sufficient to address a PR at summary level only, depending on Stage 1 above.

**Note:** The Material Non-compliance score (at both Indicator and PR level) has significant implications for Project approval and requires particular care. In judging whether the measures sufficiently address deficiencies the consultant should consider in a structured way both the level of residual (post-approval) risk and the level of confidence that the Project can successfully bring the issue into compliance with the Policy through the ESAP. The table below illustrates the approach to be taken.

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<tr>
<th>Risk</th>
<th>High</th>
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<th>High</th>
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Confidence
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<tr>
<th>KPI Ref.</th>
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<th>Score</th>
<th>Comments/Issues</th>
<th>Actions Required</th>
<th>ESAP Ref.</th>
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<tbody>
<tr>
<td>1</td>
<td>Assessment and Management of Environmental and Social Risks and Impacts</td>
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</tbody>
</table>

**Summary:**

1.1 Environmental and Social Assessment

1.2 Environmental and Social Management Systems

1.3 Environmental and Social Policy

1.4 Environmental and Social Management Plan

1.5 Organisational Capacity and Commitment

1.6 Contractor Management

1.7 Supply Chain Management

1.8 Project Monitoring and Reporting

<table>
<thead>
<tr>
<th>2</th>
<th>Labour and Working Conditions</th>
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</thead>
</table>

**Summary:**

2.1 Human Resource Policies and Working Relationships

2.2 Child and Forced Labour

2.3 Non-Discrimination and Equal Opportunity; Gender-based violence and harassment

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5 Where the project represents a substantial extension to the client activities, confirm that Policy and supporting management systems and plans are appropriate for the new activities.

6 At appraisal stage there will be limited information. Compliance assessment should address specific plans for monitoring and reporting (against, for example, ESAP requirements) and also consider whether there is evidence of weak monitoring/reporting by client on other relevant projects - which may reduce confidence in future performance.
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<thead>
<tr>
<th>KPI Ref.</th>
<th>Performance Requirement</th>
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<th>Comments/Issues</th>
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<th>ESAP Ref.</th>
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<td>2.4</td>
<td>Workers Organizations, Freedom of Association and Collective Bargaining</td>
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<td>2.5</td>
<td>Wages, benefits, and conditions of work</td>
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<td>2.6</td>
<td>Worker accommodation</td>
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<td>2.7</td>
<td>Retrenchment7</td>
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<td>2.8</td>
<td>Worker Grievance Mechanism</td>
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<td>2.9</td>
<td>Non-Employee Workers</td>
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<td>2.10</td>
<td>Supply Chain</td>
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<td>3</td>
<td><strong>Resource Efficiency and Pollution Prevention and Control</strong></td>
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<td><em>N.B. Appraisal should carefully consider (and state) what regulations or standards have been applied to compliance assessment (eg EU, National, Sector Best Practice). Assessments should address consideration of the performance of alternative techniques.</em></td>
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<td>3.1</td>
<td>Resource Efficiency</td>
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<td>3.2</td>
<td>Water</td>
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<td>3.3</td>
<td>Waste</td>
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<tr>
<td>3.4</td>
<td>Pollution Prevention &amp; Control - Greenhouse Gases8</td>
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<tr>
<td>3.5</td>
<td>Pollution Prevention &amp; Control – Safe Use &amp; Management of Hazardous Substances &amp; Materials</td>
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7 Will not be applicable to many projects at appraisal stage. However, evidence, within the last 3 years of client approach to retrenchment which is not compatible with the Policy should be taken into consideration.

8 Particular attention should be given to client demonstration of consideration of alternatives. Projects expected annually to produce more than 100,000 tonnes of CO₂ equivalent or result in a net change (positive or negative) of more than 25,000 tonnes of CO₂ equivalent will quantify these emissions in accordance with the EBRD Protocol for Assessment of Greenhouse Gas Emissions and continue to provide this on an annual basis.
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<thead>
<tr>
<th>KPI Ref.</th>
<th>Performance Requirement</th>
<th>Score</th>
<th>Comments/I Issues</th>
<th>Actions Required</th>
<th>ESAP Ref.</th>
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<tr>
<td>3.6</td>
<td>Pollution Prevention &amp; Control – Pest Management</td>
<td>3.6</td>
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</tbody>
</table>

## 4 Health, Safety and Security

**Summary:**

- **4.1** Occupational Health and Safety
- **4.2** Community Health and Safety
- **4.3** Gender Based Violence
- **4.4** Infrastructure, Building, and Equipment Design and Safety
- **4.5** Hazardous Materials Safety
- **4.6** Product Safety
- **4.7** Community Services Risks including AMR
- **4.8** Traffic and Road Safety
- **4.9** Natural Hazards
- **4.10** Exposure to Disease
- **4.11** Emergency Preparedness and Response
- **4.12** Security Threats and Security Personnel Requirements

## 5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

**Summary:**

- **5.1** Avoid forced eviction
- **5.2** Avoid or minimise physical and economic displacement
<table>
<thead>
<tr>
<th>KPI Ref.</th>
<th>Performance Requirement</th>
<th>Score</th>
<th>Comments/Issues</th>
<th>Actions Required</th>
<th>ESAP Ref.</th>
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<td>Consultation</td>
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<td>5.4</td>
<td>Vulnerable Groups</td>
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<td>5.5</td>
<td>Gender Aspects</td>
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<td>5.6</td>
<td>Census, Inventory of Affected Assets and Cut-off Date</td>
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<td>5.7</td>
<td>Disclosure of entitlement matrix to affected people</td>
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<td>5.8</td>
<td>Compensation for displaced persons</td>
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<td>5.9</td>
<td>Resettlement/livelihood restoration assistance for displaced persons</td>
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<td>5.10</td>
<td>Grievance mechanism</td>
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<td>5.11</td>
<td>Resettlement Documentation (Resettlement Framework / Plan)</td>
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<td>5.12</td>
<td>Implementation arrangements and resources</td>
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<td>5.13</td>
<td>Monitoring and reporting (internal and external)</td>
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<td>6</td>
<td>Biodiversity Conservation and Sustainable Management of Living Natural Resources</td>
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<td><strong>Summary:</strong></td>
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<td>6.3</td>
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<td>KPI Ref.</td>
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<td>Indigenous People</td>
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<td>PR 7 Applicability Assessment</td>
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<td>Assessment of Impacts on Indigenous Peoples</td>
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<td>7.3</td>
<td>Meaningful Consultation and Information Disclosure</td>
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<td>7.4</td>
<td>FPIC Process</td>
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<td>7.5</td>
<td>Compensation, Benefit-Sharing &amp; Indigenous Peoples Development Plan</td>
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<td>7.6</td>
<td>Grievance Mechanism and Prevention of Ethnically Based Discrimination</td>
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<td>8</td>
<td>Cultural Heritage</td>
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<td></td>
<td><strong>Summary:</strong></td>
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<td>8.1</td>
<td>Assessment and Management of Impacts and Risks on Cultural Heritage</td>
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<td>8.2</td>
<td>Consultation with affected communities and other stakeholders, including key users and custodians of Cultural Heritage</td>
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<td>8.3</td>
<td>Project use of Cultural Heritage</td>
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<td>8.4</td>
<td>Confidentiality provision regarding disclosure of information on Cultural Heritage</td>
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<td>KPI Ref.</td>
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<td>Stakeholder Identification</td>
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<td>10.3</td>
<td>Information Disclosure and Meaningful Consultation</td>
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<td>Operational Grievance Mechanism</td>
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<td>National Environmental, Social, Health and Safety Requirements</td>
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<td>EU Environmental, Social, Health and Safety Requirements</td>
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ANNEX 3
GUIDANCE FOR LABOUR (PR2) COMPONENT OF E&S ASSESSMENT

Under Performance Requirement 2 (“PR2”), EBRD requires that specific attention is paid during Environmental and Social Assessment to employment practices in all operations within the scope of potential projects, in line with the international labour standards enshrined in the core conventions of the International Labour Organisation (ILO).

The overall objective of the PR2 Assessment is to review and assess the Client’s capacity to manage human resources in line with international and national law, and the specific requirements of EBRD PR2, and to identify specific areas where additional or alternative policies and process are required.

SCOPE OF WORK

Where a focus on labour (PR2) is requested by the Bank, the following PR2-specific components must be included as part of the E&S Assessment process.

In the case of greenfield projects, where significant employment will occur only after disbursement, the Consultant will focus on the management capacity and systems in place to ensure that employment will be in line with PR2.

Where the employers of labour within project scope will be (sub)contractors to the Client, specific attention will be paid to the adequacy of the procurement framework to ensure cascading of PR2 requirements through the contracting chain, and as well as ongoing monitoring of - and reporting on – PR2 performance.

DESK BASED PREPARATION

In advance of the visit, the Consultant will undertake the following desk-based preparation:

a) Conduct a legal gap analysis to assess the extent to which national labour law is aligned with the requirements of EBRD PR2 and the core conventions of the ILO. This analysis must include reference to the findings of the Supervisory System of the ILO with regard to the application of the core conventions, as well as observations and complaints from relevant stakeholders, including but not limited to workers’ organisations (trade unions).
b) In light of the legal gap analysis, define the relevant normative benchmarks for each element of PR2, including the terms of any binding collective agreement. (Where the initial gap analysis suggests that national/local law does not fully align with core labour standards, then the normative reference shall be the ILO Core Convention/s in question, regardless of ratification status; equally, where PR2 establishes a procedural requirement which is not covered in legislation, the content of PR2 itself will be the required benchmark.)

c) Undertake a media search on labour and industrial relations issues relating to the project, Client, sector and country, with consideration given to the effectiveness of legal enforcement (labour inspection), breaches of core labour standards, industrial conflict and disputes, and retrenchments [and news coverage on any other specific issues that have been identified as a concern as part of initial due diligence]. If no relevant issues are identified through the media search, the Consultant will include a statement to this effect in the final report.

d) Review the Client’s responses to the PR2 section of the ESDD questionnaire for completeness and clarity, and identify areas for follow-up with client through the advance documentation request and/or during the workplace visit.

In advance of the site visit, the Consultant will submit a request to the Client manager/s responsible for HR and contractor management, for the following documentation and workforce data:

- Overview of (proposed) Project workforce for the following categories: Direct employees; Employees of contractors and subcontractors, including labour-only contractors; Non-national (migrant) workers.
- HR policies, including company handbook/internal regulations, and specifically policies relating to equal opportunity, document retention, recruitment fees and arrangements, young workers and freedom of association
- (Labour components of) Contractor Management Plan
- Where available, details of any third-party service contract to provide labour to the Project workforce (eg contract/s with recruitment agency/temporary employment agency/labour-only contractor/labour provider)
- List of labour-related court cases involving the Client or any key contractor

**PR2 COMPONENT OF ENVIRONMENTAL AND SOCIAL ASSESSMENT**

**Project Description & Identification of Relevant Associated Activities & Operations**
To the extent possible, and at the earliest stage possible, the Consultant will ascertain the scope of the Project workforce – namely, all workers falling under PR2, including all sites within project scope operated by the Client as well as any providers of goods (suppliers) and services (contractors and sub-contractors) which fall under project scope as defined in PR2.
Where the Project procurement process has yet to commence or is still underway, the Consultant will also identify the key components of the procurement framework – eligibility and selection criteria, performance criteria, monitoring and reporting requirements – which will ensure that EBRD’s Environmental and Social Performance Requirements – and PR2 and PR4 in particular - are effectively cascaded to all (sub)contractors working on core functions of the Project.

**Project Assessment**

The Consultant will include interviews with Client management responsible for human resources, contractor management and (where relevant) supply chain management which shall cover: management awareness of and commitment to PR2 requirements, management systems and practices to implement PR2 requirements, internal capacity to implement PR2 requirements, and systems for monitoring, reporting and record-keeping in relation to PR2 requirements.

The Consultant will also assess the adequacy of the procurement / tendering framework to ensure that all applicable EBRD PR requirements (and notably PR2 and PR4 relating to the contractor workforce) are cascaded down as contractual obligations between Client and contractor/s, and that performance against these commitments is monitored and reported on.

Meetings on these topics will also be held with management representatives of lead contractors where appointed (pending status of procurement process).

The Consultant will also review all policies and procedures of the Client (and lead contractors, where appointed) with regard to their alignment with the core conventions of the ILO, national (or other applicable local) labour laws, any binding collective agreement, as well as the substantive and procedural requirements of EBRD PR2. Pending availability of documentation – which will reflect the status of the tendering process – this may include but is not limited to:

- (Labour components of) Contractor Management Plan, and follow-up on any other information, data or documents requested as part of the advance documentation request that were not furnished by the Client or were incomplete or unclear
- Details of any third-party service contract to provide labour to the Project workforce (eg contract/s with recruitment agency / temporary employment agency / labour-only contractor / labour provider)
- Collective bargaining agreement (where applicable)
- Freedom of association and worker engagement policies
- Worker accommodation policy (where applicable)
• Retrenchment and / or workforce demobilisation policy
• Workers’ grievance mechanism
• Overview of any industrial action taken by workers in project sector and region (e.g. strike, sit-in, work-to-rule, or go-slow) within previous 24 months

The PR2 component of the E&S Assessment should focus on answering the following questions:

• How many employees will be directly employed by the Project during the construction phase and how many will be provided through labour agencies or subcontractors?
• Where workers are recruited through third parties, are the workers liable to pay any fee for recruitment or travel?
• What proportion of direct and subcontracted workers are not local to the area / are not nationals of the country?
• Do workers have access to their documents, including identity and travel documents, at all times?
• What records are (or will be) kept in relation to each worker’s employment – both direct and subcontracted workers? Will these be available for further inspection by EBRD?
• What procedures are in place to ensure that wages and social security payments are paid in respect of all workers – direct and sub-contracted?
• Is a grievance mechanism open to all workers to use without fear of intimidation or retaliation? If yes, please describe the grievance mechanism.
• Are workers represented by a trade union or workers’ organisation? If so, what proportion of workers and which union?
• Is there a collective bargaining agreement in place? Which workers are covered by the terms of the agreement?
• How are the ages of workers verified? Does – or will – the Project employ workers over the school leaving age, but under 18? What kinds of work do – or will – they carry out? Has a risk assessment been carried out in respect of their work?
• Where will the construction workers live during the construction phase? Who is responsible for maintenance of the housing and dormitory facilities?
• Who is the manager responsible for ensuring that labour standards are complied with among direct and subcontracted workers?

**GENDER BASED VIOLENCE AND HARRASSMENT – QUESTIONS**
What policies and procedures are in place covering sexual harassment in the workplace?

Do you have a sexual harassment policy?

How is this policy communicated to employees and contractors?

What do you do to ensure these policies are implemented?

What training on these policies do employees and contractors receive?

How do you ensure supervisors and managers are taking responsibility to implement this policy?

What has been done to assess and prevent workplace-specific GBVH risks?

Have you held discussions with female employees about the risks of sexual harassment they face in the workplace?

What measures have been put into place to prevent any identified risks?

What measures are in place to encourage reporting of incidents of GBVH perpetrated by employees and contractors in affected communities?

Do you have a grievance mechanism for reporting incidents of GBVH in affected communities?

Have you designated focal points to receive reports of GBVH in affected communities?

What training have you provided to these focal points to help them respond to allegations of GBVH in affected communities effectively and ethically?

What do you to do to encourage reporting?

What has been done to assess and prevent project-related GBVH risks in affected communities?

Have you held discussions with local community groups, especially women's groups, about the risks of GBVH in affected communities?

What measures have been put into place to prevent any identified risks?

How is the Code of Conduct communicated to security personnel?

How is the Code of Conduct communicated to truck drivers?
What has been done to ensure contractors and sub-contractors are aligned with GBVH risk prevention and response work?

How do you ensure contractors and sub-contractors disclose any past GBVH issues – allegations, incidents, investigations etc. – associated with their projects?

How do you ensure contractors and sub-contractors have adequate policies in place to mitigate GBVH risks?

How do you ensure contractors and sub-contractors are able to respond effectively and ethically to allegations of GBVH risks?

**ANNEX 4**

**ENVIRONMENTAL AND SOCIAL ACTION PLAN TEMPLATE**
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<td>PR1</td>
<td>Assessment and Management of Environmental and Social Impacts and Issues</td>
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<td>1.1</td>
<td>Develop and implement an EMS</td>
<td>Optimisation of environmental management though a formalised system. Provide resources for training and monitoring of emissions</td>
<td>EBRD PR1 Voluntary and best practice</td>
<td>Own resources, external consultants Cost Assign responsibilities</td>
<td>20xx</td>
<td>Develop and implement an EMS Attain ISO 14001 or equivalent certification Annual EHS Report to the Bank</td>
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<td>PR2</td>
<td>Labour and Working Conditions</td>
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<td>Indigenous People</td>
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ANNEX 5
GUIDANCE FOR A STAKEHOLDER ENGAGEMENT PLAN

The following is an indicative list of issues for possible inclusion in a Stakeholder Engagement Plan. The Consultant is expected to use its professional judgement to determine what issues (either listed below or additional) are relevant to the Project and should be gender responsive.

A Stakeholder Engagement Plan will need to:

- Briefly identify the Project location and areas subject to impact (e.g., list of communities)
- Record what the Project is legally required to do regarding disclosure and consultation
- Identify all stakeholders, including stakeholder maps (if relevant)
- Identify any specific groups who might be considered vulnerable or need more support in the consultation process, e.g. because of their level of literacy, gender, socio-economic level, ethnicity/language, or location (e.g., proximity of the project to school, hospital, etc.). For each identified group, specify how meaningful consultation will be undertaken
- Report on any previous consultation and disclosure activities
- Define which documents will be released, including a schedule, and in what language(s)
- Define where documents will be available (physical and online addresses), e.g. provide names of specific newspapers, bulletin board locations, etc.
- Define how people will be notified of the document availability
- State the beginning and end dates of the consultation
- Provide a table or list of meetings, activities or opportunities for comment. If locations/dates are not yet known, state how people will be informed of the dates
- State who/where should comments be sent to, what will happen to them and how people will be advised of the outcomes
- Define how grievances will be handled (including a specific public grievance process)
- Define the monitoring and reporting activities for the stakeholder engagement process
- Define the responsibilities for delivering the stakeholder engagement process

The SEP should be concise and not exceed 15 pages in length, excluding annexes.

Please also see guidance note:
ANNEX 6
INDICATIVE LIST OF ISSUES FOR A NON-TECHNICAL SUMMARY

The following is an indicative list of issues for possible inclusion in a Non-Technical Summary. The Consultant is expected to use its professional judgement to determine what issues (either listed below or additional) are relevant to the Project.

Non-Technical Executive Summary

1 | Project Description
   - A concise and comprehensive description of the Project
   - Proposed works and subsequent maintenance/operation
   - Scheme map and typical cross sections

2 | Background
   - Rationale of the Project, the need for the scheme and scheme objectives
   - Legal aspects and compliance with relevant environmental and social laws
   - Current environmental and social situation and considerations
   - History of the Project development and planning; including an outline of the main alternatives that were studied, their environmental and social impacts, and the reasons for making the final selection

3 | Process
   - ESIA process carried out and integration with design
   - A statement of the national EIA process’s compliance with the EU EIA Directive
   - Public consultations and disclosure and dealing with objections

4 | Environmental Benefits, Adverse Impacts and Mitigation Measures
   - Land use planning and changes
   - Water resources, impacts and management measures
   - Habitats, ecology (flora and fauna) and nature conservation, impacts and management measures
   - Landscape and visual impacts, impacts and management measures
   - Air quality, impacts and management measures
   - Traffic, noise and vibration; impacts and management measures
   - Waste management
   - Raw material sourcing and transportation, including borrow pits
   - Road safety, impacts and management measures
   - Associated infrastructure impacts and management measures
   - Cumulative impacts
   - Induced (indirectly consequential) impacts
   - Occupational health and safety issues; including explosives safety
• Disruption, health and safety during construction
• Consistency with policy, law and other plans
• Environmental management plans, mitigation measures and compensatory measures

5 | Social Benefits, Adverse Impacts and Mitigation Measures

• Socio-economic impacts; including gender and management measures (taking into account gender specificities and needs)
• Impacts on businesses and employment
• Impacts to existing infrastructure and public services
• Local traffic and access impacts
• Land acquisition and resettlement (cross reference any resettlement report that is being developed)
• Contractor management, including the siting and management of worker camps,
• Community impacts (confirm that no Roma are known to utilise the land and/or corridor route)
• Labour issues and standards
• Public road safety; including health and safety mitigation in the design
• Social management plans, mitigation measures and compensatory measures
• Cultural heritage, impacts and management measures

6 | Monitoring of Impacts

• Process for monitoring the identified impacts
• On-going solicitation of further comments
• Process for addressing any issues arising
ANNEX 7
SAMPLE RESETTLEMENT FRAMEWORK (RF) CONTENTS

This is an example of what a LARF Table of Contents might include at a minimum; however, the expected R-LRF deliverable of the Assignment is not limited to this content or format.

I. INTRODUCTION
   a. Project description and context
   b. Nature and scope of likely resettlement and economic loss impacts for PAPs …

II. PRINCIPLES AND OBJECTIVES
   a. Policy principles governing expropriation, resettlement, economic displacement and related social impacts
   b. Objectives of the LARF …

III. LEGAL REVIEW AND GAP ANALYSIS
   a. Gap Analysis
      i. Local laws and regulations and EBRD policy
      ii. Measures to address gaps identified (table format)

IV. ELIGIBILITY AND ENTITLEMENTS
   a. Entitlement measures
      i. …
   b. Eligibility criteria
      i. …
   c. Entitlements Matrix

V. PUBLIC CONSULTATION AND GRIEVANCE
   a. Required public consultation
   b. Recommendations and plans for grievance redress procedures
   c. Project-specific social aspects to be addressed at design stage
   d. Institutional responsibilities …

VI. MONITORING

VII. TIMETABLE AND BUDGET
   a. Integrated timetable and budget for RAP/LRP
   b. Estimated timetable and budget

ANNEX A: RAP/LRP OUTLINE
   a. Introduction and Project description
   b. Baseline socioeconomic studies and definitions
   c. Legal and institutional framework/Gap Analysis
   d. Compensation and rehabilitation
   e. Transport and other transitional issues
   f. Environmental mitigation
   g. Public consultation and grievance procedures
   h. Schedule and responsibilities for implementation of the resettlement plan
   i. Costs
   j. Monitoring and evaluation (M&E) …