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| **Environmental and Social Management Plan (ESMP) template for:**  DWN Component One or Two |

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| **Instructions** |

Development Workshop Namibia (DWN) has committed to implement an Environmental and Social Management Plan (ESMP) for each intervention of the Programme. This ESMP Report template may be applied to interventions not requiring a full ESIA.

DWN together with the contractor - shall use this document as guidance and amend it to the Project specifications, characteristics and risks as identified through the Site Assessment Tool. The text highlighted in *italics and grey* includes instructions for the authors (DWN/ Contractor) of the ESMP report and must be changed, based on the scope and risks of the Project (detail derived from the Site Risk Assessment).

The Project-specific ESMP Actions Table shall be included in Section 6.2 of this document. This ESMP should be supplemented by relevant Annexes, potentially including:

Annex A – Code of Conduct

Annex B – Grievance Mechanism

Annex C – Health and Safety Plan

Annex D – Incident Reporting

Annex E – Land Acquisition and Compensation Guidance

**Environmental and Social Management Plan (ESMP)**

**<Project Name/ Location>**

**<Author>**

**<Date/ Version>**

Inhalt

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***Annexes***

*Annex A – Code of Conduct*

*Annex B – Grievance Mechanism (Appendix E of the ESMF)*

*Annex C – Health and Safety Plan*

*Annex D – Incident Reporting*

*Annex E – Land Acquisition and Compensation Guidance (Appendix F of the ESMF)*

**List of Acronyms and Glossary**

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| **AoI** | Area of Influence |
| **ESMP** | Environmental and Social Management Plan |
| **E&S** | Environmental and Social  For the sake of simplicity, the acronym E&S is used throughout this document, but the Project’s ESMP is developed to address all aspects of “sustainability”, i.e. environment, social, occupational health and safety, human rights and labour aspects. |
| **H&S** | Health and Safety |
| **ILO** | International Labour Organisation |
| **DWN** | Development Workshop Namibia |

1. Introduction

Development Workshop Namibia (DWN) is planning to construct a *<Name intervention, e.g. school, water distribution system etc.>* (“the Project”)*.* The Project will be constructed at a site in *<Name of location/ village/ country>*. The construction activities will be executed by the construction contractor (Contractor) *<Name of the Contractor>* with the following sub-contractors: *<Name of the sub-contractors if known already>.* The construction activities will be supervised by the Implementation Consultant *<Name of the consultant if known already>.*

The purpose of this Environmental and Social Management Plan (ESMP) is to provide a consolidated summary of all the Environmental and Social (E&S)[[1]](#footnote-1) commitments relevant for the construction phase of the Project. The measures focus on environmental (such as air emissions, biodiversity and environmental contamination) and social aspects (such as the protection of human rights, communication with local stakeholders, safety of workers and communities). This ESMP also gives an overview about the E&S Management System that is being implemented to ensure systematic and effective execution of these commitments, including roles and responsibilities between DWN/Implementation Consultant and the Contractor.

The ESMP can be updated as the Project proceeds through detailed design and construction to reflect the results of discussions with stakeholders and to include details of any other E&S developments.

# Project Description

*Add here a description of the Intervention. This description should be based on:*

1. *Available documentation (e.g. the technical design, existing project descriptions, maps, aerial pictures) and*
2. *Site visit(s) to the proposed project site to understand the overall site setting and to identify sensitive areas. Interviews should be conducted with persons present in the area (if any) to understand the land ownership and land use, locally available resources, potential constraints for the project, social/ cultural/ economic/ ecologic sensitivities etc.*

*Under the headings below you find some topics that may be relevant for your Project. Please fill with Project specific information.*

## Summary of Site Assessment

* *Is it a greenfield (undeveloped land) or brownfield (previously developed land) development?*
* *How is the land ownership status? Who owns the land to be used for the Project? (including informal/traditional users and land title rights, conflicting land claims if any),*
* *How is the land currently used? (Agriculture, pasture, forest, no use, vacant)*
* *Provide a succinct description of environment/social baseline and known/potential sensitivities. Are there any protected areas or sites of cultural importance close by? Are there indigenous peoples living in the area? How far away is the closest house/ settlement?*
* *Are there other construction activities close by?*
* *What is the Project’s Area of Influence which is the area where the Project itself and any associated infrastructure (e.g. water pipelines) are located.The AoI should be presented in a map if feasible.*
* *Provide any further information relevant for the Project Context.*

## Project Activities

* *Describe Type of Project, e.g. building (e.g. housing, school, health post, clinic), infrastructure (water pipeline, well, livestock watering points), small irrigation dam, small irrigation infrastructure, etc.*
* *Describe activities to be completed during preparation and construction, e.g. site levelling, excavation activities, demolition of existing buildings, use of heavy equipment, construction of access roads and power supply etc.*
* *Provide a map of the project design (technical drawings) if available.*

## Stakeholders

* *Provide names of statutory entities/ authorities/ ministries involved with the Project.*
* *Describe other local stakeholders, e.g. current land owners/ users, communities adjacent to the Project site, local decision makers, opinion leaders (traditional or formal).*

# Roles and Responsibilities

## Development Workshop Namibia

The DWN/Implementation Consultant has the overall responsibility for E&S management during the construction phase of the intervention. This includes the following responsibilities:

* Ensuring compliance with all relevant national legislation, as well as with the environmental controls and mitigation measures contained in this ESMP.
* Ensure that the design and planning is in compliance with national requirements and aligned with international best practise (See Chapter 6.1)
* Monitoring the performance of contractors and sub-contractors used for providing workforce, supplies and services (see Monitoring provisions in Chapter 6.2, *Table 1*).
* Acting as point of contact for consultation and feedback to stakeholders and the public (stakeholder engagement).
* Training of construction workers to raise awareness in the fields of E&S topics and in general implementation of this ESMP.

The respective Programme Manager is ultimately responsible for implementation of this ESMP. The E&S Manager at DWN is responsible for providing support and guidance to contractors for E&S management and the implementation of this ESMP.

## Contractors

The Contractor is required to fulfil the commitments as set out in this ESMP and also to ensure that its sub-contractors (if any) fulfil the ESMP. This includes the following:

* Conduct monitoring and on-site audits to verify implementation of the ESMP (see Monitoring provisions in Chapter 6.2, *Table 1*) and report on findings to the PEA.
* Communicate any environmental issues and incidents to the DWN immediately.
* Support the DWN with the training of the construction workers to raise awareness in the fields of E&S topics and in general implementation of this ESMP.

*Please provide further details around responsibilities within the Contractor. Who is responsible for implementation of this ESMP? Who is responsible for monitoring? Who is responsible for overseeing the sub-Contractors performance with respect to E&S management and the implementation of this ESMP?*

*Include an organizational chart if available.*

## Other Entities

*Counterparts (public authorities) if involved in the Intervention shall be informed on the ESMP and involved in its implementation. Also responsibilities of these authorities shall be named.*

## Training

The DWN will provide Induction Training to all its employees and Contractor’ personnel working on the Project before early works start. This Induction Training shall be conducted for all new workers, and also those joining the construction site later during construction activities. The goal of the training is for DWN employees and Contractor personnel (including sub-contractors) to understand:

* The mitigation measures included in this ESMP and how it will be implemented on site including responsibilities;
* The sensitivities of the area (if any) in which the Intervention will be constructed and operated;
* Occupational Health and Safety (H&S) rules at the construction site (e.g. personal protective equipment, rules of conduct, first aid);
* The Grievance Mechanism and the basic worker’s rights (see 8 Core Labour Standards below);
* How to deal with enquiries/ questions/ grievances by the public/ local stakeholders;
* Interaction rules with the people living close to the construction site (Code of Conduct) and how to deal with unauthorised visitors to the site;
* How to deal with unforeseen incidents/ emergency situations;
* The roles and responsibilities within DWN, the Contractors, sub-Contractors and workers with respect to environmental and social issues;

The DWN keeps records of the training sessions. The training will be repeated as needed during the construction activities.

*The training should as a minimum include the above topics. Please amend the text as needed to add further topics to the induction training. After completing the Induction Training refresher trainings may be needed. It is in the responsibility of the DWN and the Contractor to prepare a detailed training plan, especially for the construction workers.*

# Project Standards (National and International)

The respective national legislation needs to be respected. Refer to the list below and Section 3 of the ESMF:

* Environment - Environmental Management Act (No. 7 of 2007 (EMA)) and the EIA Regulations.
* Labour - Labour Act, 2007 (No. 11 of 2007) and its amendment: No. 2 of 2012
* Occupational and Community Health and Safety - Regulations relating to the health and safety of employees at work (GN 156 of 1997)
* Public Health - Public Health Act (Act No. 36 of 1919) and Public and Environmental Health Act (Act No. 1 of 2015, Government Notice No. 86 of 2015)
* Land Acquisition and compensation
* Permit and Monitoring requirements
* Contractor management

The management and mitigation measures outlined in this document (especially Chapter 6) are aligned with international best practice standards for the management of E&S risks. Reference sources include:

* **Sustainability Guideline of KfW Development Bank (2021)**

<https://www.kfw-entwicklungsbank.de/PDF/Download-Center/PDF-Dokumente-Richtlinien/Nachhaltigkeitsrichtlinie_EN.pdf>

* **World Bank Environmental and Social Standards**

<https://projects.worldbank.org/en/projects-operations/environmental-and-social-framework/brief/environmental-and-social-standards>

* **EHS Guidelines from the World Bank Group (general and project scope specific):**

[www.ifc.org/ehsguidelines](http://www.ifc.org/ehsguidelines)

* **8 Core Labour Standards from the International Labour Organisation (ILO):**

1. Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)
2. Right to Organise and Collective Bargaining Convention, 1949 (No. 98)
3. Forced Labour Convention, 1930 (No. 29)
4. Abolition of Forced Labour Convention, 1957 (No. 105)
5. Minimum Age Convention, 1973 (No. 138)
6. Worst Forms of Child Labour Convention, 1999 (No. 182)
7. Equal Remuneration Convention, 1951 (No. 100)
8. Discrimination (Employment and Occupation) Convention, 1958 (No. 111)

* **Management Guidelines of the Food and Agriculture Organisation (FAO):**

<http://www.fao.org/documents/card/en/c/127e4e07-030b-45df-b848-71813591857c/>

* **Guidelines from the World Health Organisation (WHO):**

<http://www.who.int/phe/health_topics/outdoorair/outdoorair_aqg/en/> ; <http://www.who.int/water_sanitation_health/publications/gdwq4-1st-addendum/en/>; <http://www.who.int/water_sanitation_health/sanitation-waste/wastewater/wastewater-guidelines/en/>

# Stakeholder Engagement and Grievance Mechanism

DWN will ensure that the local communities are informed at an early stage about the planned Project, timelines, expected impacts and communication channels and will assign personnel in charge of the engagement with stakeholders. The DWN will also seek for feedback from the communities about the Project. Refer to the Programmes’ Stakeholder Engagement Framework in Appendix E of the ESMF.

As part of its community liaison process, the DWN will initiate and implement a Grievance Mechanism to ensure that all stakeholder comments, suggestions and objections are captured and considered. This will enable the affected community and the workers to express their concerns and any complaints directly to DWN. Contact details and information on the procedure, including grievance form, will be distributed to the local communities. It is envisaged that in general, grievances will be responded to within 20 working days after receipt. All comments and complaints will be investigated by the DWN and appropriate action taken as necessary. Records of all complaints and actions will be maintained on site.

Refer to the Grievance Mechanism provided in the Stakeholder Engagement Framework (Appendix E of the ESMF)

# Register of E&S Aspects

*This section provides best practice measures usually to be applied for small and medium-scale buildings and infrastructure projects. Not all the aspects, impacts and mitigation measures outlined in the below text and ESMP Template table may be relevant for each project due to the regional context, the seasonality and project specifications. Deleting mitigation measures should, however, only be done with a thorough justification. Additional measures may be added as needed.*

## Planning and Design

The Project will be planned and designed by DWN with the following basic considerations:

* Avoid land acquisition of private land and resettlement of persons.
* Avoid forests, protected areas or ecologically sensitive areas.
* Avoid culturally sensitive areas (e.g. places of worship, holy trees).
* Design the Project to:
  + Ensure that key/ routine maintenance and operations can be implemented by the community/beneficiaries.
  + Apply low-maintenance solutions in the design of buildings, e.g. based on other buildings of the same type in the region.
  + Account for proper ventilation and adequate resistance to severe weather or natural disasters.
  + If feasible, develop a maintenance plan with the beneficiaries of the building.
* Plan the Project to make use of local resources to avoid construction traffic and associated impacts to the communities.
* Plan the Project so as to minimize use of natural resources (material, water, land).
* Plan the Project in a climate-friendly way so as to minimize its carbon footprint and tap into the mitigation potential of the building and construction industry.
* Engage with the persons living in the area around the Project site (including neighbours, local decision makers) early in the planning process and throughout construction activities to inform them about the planned construction and also seek for their feedback around potential sensitivities (protected areas, places of worship, holy trees etc.). Site visits and discussions with the local population should be conducted throughout the design and planning phase. A grievance mechanism will be designed and established for workers and the public during the planning phase already.
* Hire unskilled workers and skilled workers, if available, from the local communities to encourage social growth and development in the region.
* Conduct Induction Training for workers as outlined in this ESMP before start of construction.
* Establish core E&S procedures already at the planning stage. This includes as a minimum:
* Incident Reporting (fatal accidents, medical treatment cases; first aid cases; restricted work injuries; near misses; environmental events)
* Grievance Mechanism (one combined mechanism for workers and community)
* Recruitment Procedure for the upcoming construction phase.
* Training Procedures/ Training material as outlined above (Occupational H&S; Community H&S; environmental sensitivities)
* Work site/ construction site risk assessment and corresponding Construction H&S Plan

## Project Implementation - ESMP

***Insert the site specific ESMP Table here.***

# ESMP Monitoring

*DWN must ensure that the implementation of the ESMP is being undertaken by the Contractor and all subcontractors. To monitor the related commitments an ESMP Monitoring Table shall be used (see example below). The sheet can be amended as needed but should include as a minimum:*

* *ESMP commitments*
* *Date of Inspection*
* *Findings/ Observations (potentially including a colour code red/orange/green)*
* *Defined Corrective Actions (if any)*

*The Contractor shall undertake internal assessment of their implementation of the ESMP on a regular basis. This means that the responsible person for the ESMP implementation at the Contractor will undertake a visit to the construction site with the ESMP commitments at hand. After each site visit the status of compliance with the ESMP commitments shall be noted down in the ESMP Monitoring Table, including corrective actions if any. The frequency of the site visits shall depend on the E&S risks, but be at least once per month. The Contractor shall report on* *ESHS performance and progress to DWN on a monthly basis*

*Should any environmental or Health and Safety incidents be observed or reported by the construction workers, this shall be reported to DWN immediately (see also Incident Reporting Template – Annex D).*

Example of an ESMP Monitoring Table

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Topic/** | **Mitigation, Management and Enhancement Measures** | **Means of Verification** | **Responsibility** | **Monitoring Procedure** | **Date of Inspection/ Review/ ESMP Monitoring** | |
| **Potential Impact** | **DD/MM/JJ** | |
| **Occupational Health and Safety** | | | | | **Findings/ Observations** | **Corrective Action** |
| **…** | | | | |  |  |
| **…** | | | | |  |  |
| **Ambient Air** | | | | | **Findings/ Observations** | **Corrective Action** |
| **…** | | | | |  |  |

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| ***Colour Code for Findings/ Observations*** |
| *Red Flag. Major Non-compliance with ESMP requirements. Urgent Action needed to protect ecological and human environment and avoid risks to the Project schedule.* |
| *Minor Non-compliance. Action needed but no immediate threat for ecological and human environment or Project schedule.* |
| *In compliance with ESMP commitment.* |

1. For the sake of simplicity, the acronym E&S is used throughout this document, but this acronym should be interpreted as including environment, social, occupational health and safety, human rights and labour aspects. [↑](#footnote-ref-1)