LESOTHO

MINISTRY OF ENERGY AND MINING

ASCENT LESOTHO

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ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)

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Abbreviations and Acronyms

Acronym	Acronym in Full
AFE	Eastern and Southern Africa
ARAP	Abbreviated Resettlement Action Plan
ASCENT	Accelerating Sustainable and Clean Energy Access Transformation
BESS	Battery Energy Storage Systems
CERC	Contingent Emergency Response Component
C-ESMP	Contractor Environmental and Social Management Plan
CFL	Compact Fluorescent Lamp
CHS	Community Health and Safety
CHMP	Cultural Heritage Management Plan
CoC	Code of Conduct
COMESA	Common Market for Eastern and Southern Africa
DP	Development Partner
DoE	Department of Energy
DoEnv	Department of Environment
DRE	Distributed Renewable Energy
EA	Environmental Assessment
E&S	Environmental and Social
ESHS	Environmental, Social, Health and Safety
EHSGs	Environmental, Health and Safety Guidelines
EMF	Electric and Magnetic Fields
ESCP	Environmental and Social Commitment Plan
ESF	Environmental and Social Framework
ESIA	Environmental and Social Impact Assessment
ESIRT	Environmental and Social Incident Reporting Toolkit
ESMF	Environmental and Social Management Framework
ESRS	Environmental and Social Review Summary
EPRP	Emergency Preparedness and Response Procedures
ESMP	Environmental and Social Management Plan
ESMS	Environmental and Social Management System
ESSs	Environmental and Social Standards
GBV	Gender-based Violence
GBVAP	Gender-based Violence Action Plan
GIIP	Good International Industry Practice
GRC	Grievance Redress Committee
GRM	Grievance Redress Mechanism
GRS	Grievance Redress Service
HV	High Voltage
HWMP	Hazardous Waste Management Plan
ICNIRP	International Commission on Non-Ionizing Radiation Protection
IDA	International Development Association
IFC	International Finance Corporation
LEC	Lesotho Electricity Company

LMP	Labour Management Procedures
LPG	Liquefied Petroleum Gas
LV	Low Voltage
MEM	Ministry of Energy and Mining
MPA	Multi Programmatic Approach
MV	Medium Voltage
OHS	Occupational Health and Safety
OHSMP	Occupational Health and Safety Management Plan
PAD	Project Appraisal Document
PAP	Project Affected Person
PCB	Polychlorinated Biphenyls
PCR	Physical Cultural Resources
PDO	Project Development Objective
PIU	Project Implementation Unit
PPE	Personal Protective Equipment
EPR	Extended Producer Responsibility
PUE	Productive Use of Energy
RAP	Resettlement Action Plan
REU	Rural Electrification Unit
RoW	Right of Way
RPF	Resettlement Policy Framework
SEA/SH	Sexual Exploitation and Abuse/ Sexual Harassment
SEP	Stakeholder Engagement Plan
SHS	Solar Home Systems
SMP	Security Management Plan
SPD	Standard Procurement Document
SPV	Solar Photovoltaic
TMP	Traffic Management Plan
ToR	Terms of Reference
VAC	Violence Against Children
VRE	Variable Renewable Energy
WB	World Bank
WBG	World Bank Group
WMP	Waste Management Plan
WHO	World Health Organization

Executive Summary

The World Bank will be supporting Ministry of Energy and Mining (MEM) in implementing the Accelerating Sustainable and Clean energy Access Transformation Lesotho. The objective of the project is to increase energy access in Lesotho. The project will support the following activities:

Component 1: Increasing Access to On-Grid Electrification
Supports expansion, densification, and strengthening of electricity distribution infrastructure through construction and upgrading of distribution networks, connections, transformers, and related infrastructure to increase grid access and reliability.

Component 2: Off-Grid Energy Access Pilot
Supports off-grid electrification through deployment of solar home systems and other distributed renewable energy solutions, while strengthening market development and private sector participation.

Component 3: Technical Assistance and Project Management
Supports institutional strengthening, sector planning, capacity building, stakeholder engagement, project management, and implementation support to ensure sustainable energy access expansion.

Component 4: Contingent Emergency Response Component (CERC)
Provides a financing mechanism for emergency response activities, including restoration of damaged infrastructure and recovery support following eligible emergencies or crises.

Project activities under the ASCENT program will take place in broad locations across the country or selected region/s. Specific locations of subproject activities are not known at this stage, because they have not been defined. The subproject locations will be known by *July 2026.*

This Environmental and Social Management Framework (ESMF) has been prepared to identify methodologies for identifying the potential environmental and social risks and impacts of proposed Project activities and suitable mitigation measures to manage these risks and impacts. It maps out the *Lesotho* laws and regulations and the World Bank Environmental and Social Standards applicable to the Project, and describes the principles, approaches, implementation arrangements, and environmental and social mitigation measures to be followed.

Guidance on the Environmental and Social risk rating is provided in Part-A of the Tip Sheet contained in Annex 4.

The environmental risk of the overall **Project** is rated as **Moderate**, as reflected in the Project Environmental and Social Review Summary (ESRS). Various environmental, social, health, and safety risks could result from activities proposed under **Component 1 (Increasing Access to Grid Electricity)** and **Component 2 (Off-Grid Energy Access Pilot)**. Construction activities related to MV and LV distribution lines, transformers, service connections, solar energy systems, battery storage systems, and associated infrastructure may lead to habitat alteration, vegetation clearing, soil disturbance, and localized impacts on natural resources and biodiversity.

Other OHS risks and hazards relate to live wires, accidents, injuries, working at height, electrical installations, operation of machinery and equipment, and the health and safety of workers and nearby communities during construction and operation of electricity infrastructure. The construction and maintenance of distribution line corridors may also pose risks to birds and other wildlife through collisions or electrocution. Additional impacts may include traffic-related risks, dust and noise generation, poor construction-related waste management, disposal and management of hazardous waste, damaged or obsolete solar panels, and used or damaged batteries.

The social risk of the overall Project is also considered **Moderate**. Grid electrification and off-grid energy access activities involving civil works may result in a range of social impacts, including land acquisition, restrictions on land use, establishment of wayleaves and easements, and temporary or permanent economic displacement. Other social impacts associated with construction activities include labor influx, community-worker conflicts, stakeholder grievances, and risks associated with labor and working conditions.

Risks associated with labor and working conditions include child labor, lack of written contracts, inadequate occupational health and safety measures, and inadequate worker welfare facilities. Construction works may also increase risks of gender-based violence (GBV), sexual exploitation and abuse and sexual harassment (SEA/SH), particularly where workers interact with local communities.

These risks will be managed and mitigated through implementation of the World Bank Environmental and Social Framework (ESF) and the Project Environmental and Social Commitment Plan (ESCP). Key environmental and social instruments applicable to the Project include the Environmental and Social Management Framework (ESMF), Stakeholder Engagement Plan (SEP), Labor Management Procedures (LMP), Resettlement Policy Framework (RPF), Project Grievance Redress Mechanism (GRM), and Worker Grievance Mechanism. Where required, site-specific instruments shall be prepared and implemented in accordance with the ESCP, including Environmental and Social Management Plans (ESMPs), Occupational Health and Safety (OHS) Management Plans, Waste Management Procedures, Community Health and Safety Plans, SEA/SH Action Plans, Resettlement Action Plans (RAPs), Cultural Heritage Management Plans (CHMPs), Emergency Preparedness and Response Procedures (EPRP), Chance Finds Procedures, biodiversity mitigation measures, traffic and road safety measures, and Contractor Environmental and Social Management Plans (C-ESMPs).

Sub-projects will be screened to determine applicable risks, mitigation measures, and required instruments. Activities with significant or unacceptable environmental and social risks will not be eligible for financing. Technical assistance activities under Component 3 will be implemented in accordance with World Bank ESF requirements to ensure that environmental and social considerations are incorporated into policies, plans, studies, guidelines, capacity-building activities, and implementation support. All technical assistance activities shall be undertaken in accordance with the World Bank Advisory Note on Technical Assistance and the requirements of the ESCP.

Table 1.0: Templates for E&S Instruments to be prepared for ASCENT Sub-Projects.

No	Activity	Instrument to be produced
1.	Standardized framework instruments for new countries joining ASCENT	Environmental and Social Management Framework (ESMF) and Resettlement Policy Framework (RPF). The focus should be on mitigation and how the ESMF and RPF should be implemented. Short, focused, implementable instruments are required.
2	Construction of distribution lines (66/33/11 KV) involving wooden, steel or concrete poles. Line right of way for distribution line is ~27 m	Environmental and Social Management Plans (ESMPs) for distribution schemes in urban and peri-urban areas, including all necessary annexes (e.g., OHS Management Plan, Waste Management Procedure, Community Health and Safety Plan, SEA/SH Action Plan, Chance Finds Procedures, etc.). Standard TOR for Resettlement Action Plans (RAPs/ARAPs) and SEA/SH Action Plans for distribution infrastructure requiring project-specific approaches.
3	Rehabilitation/ upgrade of distribution lines that involve replacing poles and re-stringing using existing line right of way.	Environmental and Social Management Plan (ESMP) including all the necessary standard annexes (i.e. WMP, OHS MP, SEA/SH, etc). for rehabilitation/upgrade works in non-sensitive locations.
4	Service drop cables, meters for service connections	E&S checklist, general EHS guidelines, standard working protocol regarding safety for service drop, for repetitive activities in urban areas.
5	Battery Energy Storage Systems (BESS)	ESMP including the necessary standard annexes (i.e. e-WMP) that considering the capacity, location, and other technical details of the battery storage system.
6	Stand-alone solar systems for households and public facilities (health centers, schools, etc.)	Stand alone solar home system – E&S Checklist
7	Clean Cooking Strategy Development	Terms of Reference (TORs) incorporating ESF requirements and stakeholder engagement provisions, and any environmental and social assessments required by the ESMF.

Implementation Arrangements:

The Ministry of Energy and Mining, through the Department of Energy and the ASCENT Project

Implementation Unit, shall be responsible for overall Project implementation, coordination, monitoring and reporting. COMESA may provide regional coordination, knowledge sharing, technical support, and access to regional tools and resources under the broader ASCENT Multi Programmatic Approach (MPA), where applicable. COMESA will set up a platform to support implementation and monitoring of the ASCENT MPA in AFE participant countries or those aiming to participate in ASCENT, as well as private sector DRE and clean cooking companies active in the AFE region.The PIU E&S Specialists will ensure the respective roles of each party are carried out on time. The PIU will ensure that the environmental and social requirements as detailed in the ESMP, and other applicable E&S sub-management plans (such as GBV Action Plans, RAP, SEP, LMP, etc) are part of the bidding and contract negotiation phase and part of the works contracts. The *Lesotho Electricity Company (LEC), and Department of Energy (DoE)* with their oversight responsibilities, shall liaise with the *Ministry of Energy and Mining*, housing the PIU, to ensure the Project is in line with legal requirements of the applicable national laws and regulations of Lesotho, including the Environment Act, 2008 and associated environmental assessment requirements. Where required, subprojects will undergo environmental and social screening to determine whether Environmental and Social Impact Assessments (ESIAs) or other instruments are required prior to implementation. Implementation of mitigation measures will be monitored and supervised by the Project Implementation Unit (PIU), contractors, supervising engineers, and relevant government authorities through regular monitoring, reporting, inspections, and audits to ensure compliance with national requirements and World Bank ESF obligations.
The implementation of the project shall include additional training of relevant PIU/Public utility staff, and Contractors stationed in the various Regions, in environmental and social due diligence during construction and implementation.

Monitoring of environmental and social performance will be undertaken by the PIU, contractors, supervising engineers, and relevant government authorities. Monitoring will include site inspections, review of contractor reports, stakeholder consultations, grievance monitoring, and supervision activities. Key areas monitored will include implementation of mitigation measures, OHS performance, labor management, environmental compliance, stakeholder engagement, and community health and safety. Contractors will provide regular reports, while the PIU will consolidate and report environmental and social performance to the World Bank.

1. Introduction

This Environmental and Social Management Framework (ESMF) is developed to support the environmental and social due diligence provisions for activities financed by the World Bank in the ASCENT Lesotho project. The project will support increasing access to electricity and strengthening the enabling environment for sustainable energy access through grid electrification, off-grid energy solutions, institutional strengthening, technical assistance, and emergency response activities in Lesotho nationwide. The Ministry of Energy and Mining, through the Department of Energy (DoE), together with the Lesotho Electricity Company (LEC),will be implementing the Project activities.

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

This ESMFallows the PIU to clarify, to the extent possible and based on existing information, the approach that should be taken at the subproject level, in accordance with the ESF. In line with the content outlined above, this ESMF has the following Chapters: 1-Introduction; 2-Project Description; 3-Environmental and Social Policies, Laws and Regulations; 4-Identification, Mitigation and Management of Identified E&S Risks and Impacts in the future ESIAs; 5-Procedures for Environmental and Social Risk/Impact Assessment, Mitigation and Implementation Arrangements; 6-Stakeholder Engagement and Disclosure. The following Annexes are included: 1-Checklist for Environmental and Social Screening Form; 2-Simplified Labour Management Procedures; 3 Chance Finds Procedures; Guidance on E&S Risk Rating and Applicable E&S Instruments.

This ESMF should be read together with other plans prepared for the project, including the Stakeholder Engagement Plan (SEP), the Environmental and Social Commitment Plan (ESCP), Resettlement Policy Framework (RPF), and any other plans prepared for the project.

Due Diligence Principles

This ESMF considers and incorporates principles of due diligence that will be applied during project preparation and implementation in managing potential environmental and social risks that may be encountered. The key due diligence principles are as follows:

Principle 1: Review and Categorization: All physical interventions will be subject to a social and environmental review and shall be categorized based on the magnitude of potential impacts and risks in accordance with environmental and social screening criteria.

Principle 2: Environmental and Social Assessment: As per the *Lesotho* legal and regulatory requirements, where necessary Initial Environmental Evaluations (IEEs) or Environmental and Social Impact Assessments (ESIAs) will be undertaken to address, as appropriate, the relevant social and environmental impacts and risks. The Assessment will also propose mitigation and management measures relevant and appropriate to the nature and scale of the proposed Project.

Principle 3: Applicable Environmental and Social Standards: The ESMF will refer to the applicable Environmental and Social Standards (ESSs) under the World Bank Environmental and Social Framework (ESF) and Environmental Health and Safety (EHS) Guidelines, as well as policies and standards of *Lesotho*. The Assessment will establish the Project's overall compliance with, or justified deviation from, the respective ESSs, and EHS Guidelines where applicable. The Assessment will address compliance with relevant *Lesotho* laws, regulations and permits that pertain to social and environmental matters.

Principle 4: Environmental and Social Management System: For all sub-project physical activities, as applicable (following *Lesotho* and World Bank requirements) an Environmental and Social Impact Assessment (ESIA) or Environmental and Social Impact Statement (ESIS) or other E&S assessment, and an Environmental and Social Management Plan (ESMP) and monitoring indicators will be developed which addresses the relevant findings and draws on the conclusions of the assessments. These documents will describe and prioritize the actions needed to implement mitigation measures, corrective actions and monitoring measures necessary to manage the impacts and risks identified in the assessments. These actions will be costed and reflected as part of the contractual documents of the civil works contracts.

Principle 5: Consultation and Disclosure: For all activities affected communities will be consulted within a structured and culturally appropriate manner. If principle project activities or subproject activities are assessed to have significant adverse impacts on affected communities, the process will ensure their free, prior and informed consultation as a means to establish whether those activities have adequately incorporated affected communities' concerns. In order to accomplish this, this framework as well as all other safeguard instruments will be made available to the public by the borrower for a reasonable minimum period. The process will be documented, and account will be taken of the results of the consultation, including any actions agreed resulting from the consultation. For projects with adverse social or environmental impacts, disclosure will occur early in the assessment process, and on an ongoing basis.

Principle 6: Grievance Redress Mechanism: To ensure that consultation, disclosure and community engagement continues throughout project implementation, a grievance redress mechanism will be established, scaled to the risks and adverse impacts of the project or subproject, as part of the management system. The grievance redress mechanism (GRM) will allow for concerns and grievances about the project's social and environmental performance raised by individuals or groups from among project-affected communities to be received and to facilitate resolution of those concerns and grievances.

Principle 7: Monitoring and Reporting: Performance of and compliance with all ESMPs (including compliance with national legal and regulatory requirements and the applicable World Bank ESS) will be monitored based on the monitoring schedule identified in the respective ESMP by the relevant responsible party. The Environmental and Social Coordinator will be responsible to ensure the monitoring activities have taken place including his/her monitoring and consolidate monitoring report is prepared bi-annually.

Principle 8: Training: Training to ensure project staff, staff of civil contracts and other parties who would play a role in managing environmental and social impacts will be necessary to ensure successful implementation of this ESMF. Necessary budget should be allocated to carry out the training plan.

Principle 9: General Approach to the Management of ESHS Issues at the Subproject Level: Effective management of environmental, social health, and safety (ESHS) issues entails the inclusion of ESHS considerations into corporate and facility-level business processes in an organized, hierarchical approach that includes the following steps:

- Identifying likely ESHS project risks and impacts as early as possible in the subproject cycle, including the incorporation of ESHS considerations into the site selection process, design process, engineering planning process for capital requests, engineering work orders, facility modification authorizations, or layout and process change plans.
- Involving ESHS professionals, who have the experience, competence, and training necessary to assess and manage ESHS impacts and risks, and carry out specialized environmental and social management functions including the preparation of project or activity-specific plans and procedures that incorporate the technical recommendations that are relevant to the project.
- Understanding the likelihood and magnitude of ESHS risks, based on:
    - The nature of the project activities, such as whether the project will generate significant quantities of emissions or effluents, or involve hazardous materials or processes;
    - The potential consequences to workers, communities, or the environment if hazards are not adequately managed, which may depend on the proximity of project activities to people or to the environmental resources on which they depend.
- Prioritizing risk management strategies with the objective of achieving an overall reduction of risk to human health and the environment, focusing on the prevention of irreversible and / or significant impacts.
- Favoring strategies that eliminate the cause of the risks at its source, for example, by selecting less hazardous materials or processes that avoid the need for ESHS controls.
- When impact avoidance is not feasible, incorporating engineering and management controls to reduce or minimize the possibility and magnitude of undesired consequences, for example, with the application of pollution controls to reduce the levels of emitted contaminants to workers or environments.
- Preparing workers and nearby communities to respond to accidents, including providing technical and financial resources to effectively and safely control such events, and restoring workplace and community environments to a safe and healthy condition.

- Improving ESHS performance through a combination of ongoing monitoring of subproject performance and effective accountability.

Clearance Procedures by the World Bank

All the required project ESF instruments will be subject to World Bank prior review and clearance by the World Bank environmental and social specialist assigned to the ASCENT operation.

2. Project Description

2.1 Summary of Subprojects and Activities

ASCENT will support a range of DRE technologies (e.g., small solar home systems [SHSs]; mini grids; and productive-use systems serving SMEs, farmers, and public institutions) and clean cooking technologies and fuels.

Project activities are based on known technologies and business and implementation models. Grid electrification will use well-established technologies and methods. The typical investments will include extensions and strengthening of low-voltage (LV) and medium-voltage (MV) lines, substations, transformers, and service drops. The projects may finance ready boards and internal wiring to increase affordability of connections, as well as appliances and productive-use equipment. Country-specific projects may also include variable renewable energy (VRE) integration investments and equipment, including battery storage. Financing of large-scale transmission is not expected; however, on case-by-case basis, ASCENT may finance small-scale extension and upgrading of the transmission network, as necessary, for achieving the project's objectives if consistent with ASCENT's E&S instruments and risks.

The program will not finance DRE systems larger than 20 MW. SHSs (typically in a range of 3–350 Wp) will typically be plug and play; comprising a solar panel, battery, and appliances, the system will come in one box and can be installed by the customer. Productive use of energy (PUE) systems, typically consisting of larger stand-alone solar photovoltaic (PV) and battery storage systems, often replacing diesel generators; sometimes bundled with specialized appliances, they are especially used by the agriculture sector to transform productivity or preserve produce through cold storage. Renewable energy mini grids are electric power generation and distribution systems that provide electricity to a small group of customers (from the size of a village to that of a city). They are powered primarily by solar PV and batteries, but can also use other renewable energy technologies, such as micro- and mini hydropower. Mini grids and systems for public institutions, such as schools and health clinics, are typically in the single kW to 100kW range, but larger mini grids (under 20 MW) are also possible. Mini grids and similar systems to power such public institutions as hospitals may include a diesel back-up in line with Paris Alignment methodologies. The program will only support diesel back-up where its role is marginal and meets the following conditions: (i) renewable-energy generation units are well maintained, and fossil-fuel generation is used only when the amount of renewable energy generated and stored cannot fully meet demand and (ii) fossil fuel generation is less costly than installing sufficient battery storage to meet the same demand. ASCENT will not finance captive-power for commercial and industrial (C&I) customers unless investments are directly linked to expanding energy access and comply with all other program criteria. E-mobility business models may be supported when linked to energy access, e.g., as a productive use under mini grids.

ASCENT will support clean and improved cooking solutions. Clean cooking solutions refer to technology and fuel combinations that meet the recommended indoor-air-quality guidelines of the World Health Organization (WHO) for household fuel combustion. Common fuels and technologies considered eligible are cookstoves or devices powered by electricity, natural gas, liquefied petroleum gas (LPG), biogas, solar energy, and alcohol fuels (e.g., ethanol). Low-

emission biomass stoves using processed biomass (e.g., pellets) that meet ISO/TR 19867-3 voluntary performance targets for Tier 4 and above are also considered clean. Improved cooking solutions are those that meet ISO/TR 19867-3 voluntary performance targets for Tier 3. Typical improved cooking solutions include advanced biomass stoves that can achieve some health and climate benefits. The program will not finance natural gas or LPG production; however, LPG distributors that serve end users, including uses of the PAYG model, will be eligible for support where LPG is considered the least-cost solution. Companies that produce and/or distribute cookstoves (cooking devices) that meet ISO/TR 19867-3 voluntary performance targets for Tier 3 and above are eligible. Electric stoves are eligible. Companies that produce and/or distribute renewable clean cooking fuels (e.g., pellets, briquettes, bioethanol, and biogas) are also eligible.

2.2 Sub-Projects Baseline, Locations and Designs

2.2.1 Sub-Projects Baseline and Locations

Introduction. The ASCENT Lesotho Project will be implemented nationwide, with specific sub-project locations to be identified during implementation. While component 2 sites are not yet known, at least component 1 sites are known. , This ESMF adopts a framework approach and provides baseline information describing the biophysical and socio-economic characteristics of Lesotho to support future screening and site-specific assessments.

Geography and Geology. Lesotho is a mountainous country located in Southern Africa and entirely surrounded by South Africa. Approximately 80% of the country lies above 1,800 meters above sea level, with an average elevation of approximately 2,161 meters. The country covers approximately 30,648 km² and is characterized by rugged terrain, steep slopes, and major physiographic regions including highlands, foothills, lowlands, and the Senqu River Valley. Mountain systems, particularly the Maloti–Drakensberg range, strongly influence settlement patterns, rainfall, biodiversity distribution, and infrastructure development.

General Climatic Conditions. Lesotho experiences a continental temperate climate characterized by four seasons. Rainfall is highly seasonal, with approximately 85% occurring between October and April. National average rainfall is approximately 700 mm annually, although significant regional variation exists between highlands and lowlands. Climate variability increasingly affects the country through droughts, erratic rainfall, frost, hailstorms, and flooding, creating implications for infrastructure resilience and livelihoods.

Hydrogeology / Water Resources. Lesotho possesses significant surface water resources associated with mountain catchments and river systems, particularly the Senqu River system. Water availability and hydrological conditions are strongly influenced by altitude, rainfall variability, and climate change. Water resources remain important for domestic supply, agriculture, hydropower generation, and future climate resilience considerations relevant to energy infrastructure development.

Biological Environment. Lesotho falls predominantly within the Grassland Biome, characterized by high-altitude grasslands, limited woody vegetation, and ecologically sensitive mountain ecosystems. Vegetation patterns are strongly influenced by altitude, grazing pressure, and

climate.The country supports important biodiversity resources including endemic plant species, protected habitats, and internationally recognized Important Bird and Biodiversity Areas (IBAs). Biodiversity sensitivity is particularly relevant for future infrastructure routing and site selection processes.

Protected Areas. Protected areas and biodiversity-sensitive regions occur throughout Lesotho and include national parks, Important Bird Areas (IBAs), Key Biodiversity Areas (KBAs), and ecologically sensitive mountain ecosystems (included in Annex 5).

Administrative Framework. Lesotho consists of 10 administrative districts, further divided into constituencies and community councils. Traditional leadership structures continue to play an important role in governance, land allocation, stakeholder engagement, and dispute resolution, particularly in rural areas where many future energy investments may occur. Effective coordination between local government, traditional institutions, and implementing agencies will therefore be important for project implementation.

Demography. Lesotho has an estimated population of approximately 2.37 million people, with approximately two-thirds living in rural areas. Population distribution is uneven, with concentration occurring in western lowlands and lower densities in mountainous districts. Settlement patterns are strongly influenced by terrain, infrastructure access, and economic opportunities. These demographic characteristics influence electricity demand, infrastructure costs, and social vulnerability considerations relevant to project implementation.

Livelihoods. Livelihood systems vary across ecological zones and are dominated by subsistence agriculture, livestock production, remittances, and informal economic activities. Major livelihood zones include lowlands, foothills, mountains, Senqu River Valley, and urban/peri-urban areas. Livelihood vulnerability is influenced by drought, erosion, climate variability, and limited economic diversification. Energy access is expected to support livelihood resilience through productive uses of energy and improved service delivery.

Water Supply and Wastewater Management. Access to water supply and sanitation services varies significantly between urban and rural areas. Rural communities frequently experience infrastructure limitations and service constraints associated with dispersed settlements and difficult terrain. Energy infrastructure expansion may create opportunities to improve water pumping, treatment systems, and service delivery in underserved areas.

Land Ownership. Land tenure in Lesotho combines statutory and customary systems. Traditional authorities continue to play an important role in land allocation, particularly in rural communities. These arrangements are important considerations for future land access requirements, voluntary land donation processes, stakeholder engagement, and management of land-related risks.

Cultural Heritage. Lesotho possesses important archaeological, historical, and cultural resources including stone-age sites, rock art, caves, and heritage landscapes. These resources are culturally significant and protected under national legislation. Potential impacts on cultural heritage resources will require consideration during future screening and site-specific assessments. Where necessary, a detailed cultural heritage baseline will be developed during site-specific assessments,

including mapping of heritage-sensitive areas and, where necessary, archaeological surveys. This will ensure that project routing and infrastructure siting avoid impacts on known cultural heritage resources.

2.2.2 Sub-Projects Designs

Detailed designs, feasibility assessments, and implementation sequencing for individual sub-projects will be undertaken progressively during project implementation as locations and investment priorities are finalized. Project activities under Components 1 and 2 will therefore apply a framework approach, with site-specific technical designs, feasibility assessments, and environmental and social instruments prepared as required prior to implementation.

Sub-project design activities may include feasibility studies, detailed engineering designs, route selection, technical assessments, environmental and social screening, and preparation of site-specific instruments where required. Consistent with the World Bank Environmental and Social Framework (ESF), feasibility studies, technical designs, and environmental and social assessments will incorporate analysis of alternatives, including consideration of technical, environmental, social, economic, and climate resilience factors, as described under Section 2.3.

The Ministry of Energy and Mining will coordinate project activities, including day-to-day implementation, coordination, supervision, and overall management of project activities. The Project Implementation Unit (PIU) established within the DoE will coordinate day-to-day implementation, fiduciary management, environmental and social risk management, monitoring, reporting, and stakeholder engagement activities.

Implementation responsibilities will be shared across institutions depending on component activities. The Lesotho Electricity Company (LEC) will support implementation of grid electrification activities, including technical inputs, detailed designs, supervision support, and operation of electricity infrastructure. The Rural Electrification Unit (REU) and other relevant sector institutions will support implementation of off-grid electrification, technical assistance activities, and sector coordination functions, as applicable.

Regional coordination and knowledge-sharing support may be provided through the Regional Energy Access Acceleration Platform under the ASCENT Multi-Phase Programmatic Approach (MPA), which supports participating countries through technical support, coordination, implementation support, and monitoring activities.

3. Environmental and Social Policies, Regulations, and Laws

3.1 Lesotho Legal Framework and International Treaties

This section summarizes the national legal framework, permit requirements, and applicable international treaties relevant to the environmental and social risks and impacts of ASCENT sub-project activities. The ASCENT Project will comply with applicable laws of the Kingdom of Lesotho and the World Bank Environmental and Social Framework (ESF). Where national requirements and the ESF differ, the more stringent requirement will apply.

Table 3.1: Lesotho Relevant Legal Framework

Law / Policy / Treaty	Relevance to Project Activities	Permit / Approval Requirement
Constitution of Lesotho (1993)	Provides framework for property rights, equality, access to justice, and environmental protection relevant to land access, compensation, and stakeholder engagement.	Not applicable
Environment Act No. 10 of 2008	Governs environmental screening, assessment, public participation, and approvals for project activities.	ESIA Certificate / Environmental Approval where applicable
Land Act No. 8 of 2010	Regulates land acquisition, servitudes, compensation, and land access arrangements relevant to project infrastructure.	Land allocation, servitude, lease, or access agreements
Labour Act No. 3 of 2024	Regulates employment conditions, worker rights, child labour prohibition, labour disputes, and employment practices.	Work permits for foreign workers where applicable
Occupational Safety and Health Act No. 4 of 2024	Provides requirements for occupational health and safety management during construction and operations.	OHS compliance and inspections where applicable
Workmen's Compensation Act (1977) and Regulations (2024)	Provides compensation requirements for occupational injuries, illnesses, disability, and fatalities.	Compliance with compensation requirements
Persons with Disability Equity Act (2021)	Promotes non-discrimination and equal access for persons with disabilities.	Not applicable
Electricity Act / LEWA Regulatory Framework	Governs electricity generation, distribution, licensing, technical standards, and service provision.	Electricity licenses / approvals where required
National Heritage / Cultural Heritage Legislation	Protects archaeological, historical, and cultural heritage resources potentially affected by project activities.	Heritage clearance where applicable
Energy Policy and Sector Regulations	Supports universal energy access and renewable energy development objectives.	Not applicable
Public Health Legislation	Relevant to community health, sanitation, communicable diseases, and worker welfare.	Health approvals where applicable

International Treaties (UNFCCC, CBD, Basel, Paris Agreement, CEDAW, CRPD, ILO Conventions)	Provide obligations relating to climate change, biodiversity, labour rights, hazardous waste, gender equality, and inclusion.	Not applicable

Note: Specific permits, approvals, and authorizations required for sub-project implementation will be determined during environmental and social screening based on sub-project type, location, and scale.

3.2 National Environmental and Social Assessment and Permitting

The Department of Environment (DoEnv) is the national authority responsible for environmental assessment review, approval, permitting, and monitoring in Lesotho. The Environment Act No. 10 of 2008 provides the legal basis for environmental assessment, including Project Briefs, ESIA/ESMP preparation, public participation, and environmental approvals for activities with potential environmental impacts.

For ASCENT sub-projects, the assessment process will begin with screening using the ESMF screening form to determine the appropriate level of assessment based on the nature, scale, location, and sensitivity of activities. Depending on screening outcomes, activities may require screening checklists, ESMPs, Project Briefs, ESIAs, and where relevant, ARAPs or RAPs.

The national approval process generally includes project screening, determination of assessment requirements, preparation of required instruments, review and approval by DoEnv, and compliance monitoring during implementation. Project activities shall not proceed to procurement or civil works until required national approvals and World Bank requirements have been satisfied.

Specific permits and approvals will depend on sub-project type and location and may include environmental approvals, land access agreements, heritage clearances, water-related permits, occupational health and safety requirements, and electricity sector authorizations where applicable (Table 3.2).

Table 3.2: Lesotho Applicable E&S Instruments as per the E&S Risk Category

National E&S Risk Category	Required E&S Instruments, and Permits	Preparation Requirements and Timing
Category A (High Risk / Significant Impacts)	Full ESIA / Environmental Impact Statement (EIS), ESMP, stakeholder consultations, relevant permits and approvals, RAP/ARAP where applicable	Prepared, reviewed, disclosed, and approved prior to procurement and commencement of civil works
Category B (Moderate / Site-Specific Impacts)	Project Brief, ESMP, stakeholder consultations where required, environmental approval and relevant permits	Prepared and approved before commencement of activities and prior to procurement where applicable

Category C (Minimal / Negligible Impacts)	Screening Form / Project Brief only; environmental approval where required	Screening undertaken before implementation to confirm limited impacts

3.3 World Bank Environmental and Social Standards

The project will apply the World Bank Environmental and Social Standards (ESSs), as well as the World Bank Group Environmental, Health and Safety Guidelines (WBG EHSGs) Based on these policies, the environmental and social risk of the project is categorized as **Moderate.** The environmental risk is considered Moderate due to the expected site-specific and manageable impacts associated with grid extension works, installation of electricity infrastructure, construction-related pollution, occupational health and safety risks, biodiversity considerations, and waste management requirements. The social risk is also considered Moderate due to potential land access requirements, temporary disruptions during construction, labor and working condition risks, community health and safety concerns, stakeholder engagement requirements, and risks associated with social inclusion and vulnerability. These risks are expected to be localized, temporary, predictable, and manageable through implementation of appropriate mitigation measures and application of the World Bank ESF requirements.

The World Bank Environmental and Social Standards applicable to the Project are summarized below.

Table 3.3: Relevant World Bank ESS and Key Gaps with the National Framework

E&S Standard	Relevant / Not Relevant	Gap between ESSs and National Framework and Measures to Address Gaps
ESS1: Assessment and Management of Environmental and Social Risks and Impacts	Relevant – Required for screening, assessment, management, monitoring, and preparation of E&S instruments for project activities.	National legislation provides a basis for environmental assessment; however, the Project will apply ESS requirements where gaps exist, including screening, monitoring, and risk management procedures.
ESS2: Labor and Working Conditions	Relevant – Project activities involve direct, contracted, primary supply, and community workers with associated labor and OHS risks.	National labour legislation generally aligns with ESS2 but does not fully address all ESF requirements. LMP and ESS2 requirements will apply.
ESS3: Resource Efficiency and Pollution Prevention and Management	Relevant – Activities may generate construction waste, hazardous materials, battery waste, transformer oils, dust, and noise.	National legislation provides environmental protection requirements but limited guidance exists for some project-specific waste streams. ESS3 requirements will apply.
ESS4: Community Health and Safety	Relevant – Activities may create community health and safety risks related to construction, electricity	National legislation addresses public safety but does not fully address all ESS4 requirements. Additional mitigation measures under ESS4 will apply.

	infrastructure, traffic, and labor influx.	
ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement	Relevant – Grid infrastructure and related activities may require land access, servitudes, or cause temporary or permanent impacts.	National legislation does not fully align with ESS5 requirements relating to livelihood restoration and informal users. The RPF and ESS5 requirements will apply.
ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources	Relevant – Activities may affect vegetation, habitats, and biodiversity-sensitive areas.	National legislation provides environmental protection requirements; however, screening and mitigation measures consistent with ESS6 will apply.
ESS8: Cultural Heritage	Relevant – Excavation and construction activities may encounter chance finds or affect cultural heritage resources.	National heritage legislation exists; however, Chance Find Procedures and ESS8 requirements will apply.
ESS10: Stakeholder Engagement and Information Disclosure	Relevant – Stakeholder engagement and disclosure are required throughout project preparation and implementation.	National requirements provide for consultation; however, SEP requirements and ESS10 provisions will apply throughout implementation.
NOTE: In principle and where there are gaps between the National and WB requirements. The more stringent and complete provisions shall be followed.		

3.4 World Bank Group Environmental, Health and Safety Guidelines

World Bank Group (WBG) Environmental, Health and Safety Guidelines (EHSGs), 2007 are considered relevant and shall be used as part of Good International Industry Practice. The EHSGs are technical reference documents that address the Bank's expectations regarding the EHS performance of projects it supports. They are designed to assist managers and decision makers with relevant industry background and technical information. This information supports actions aimed at avoiding, minimizing, and controlling EHS impacts during the construction, operation, and decommissioning phase of a project or facility. The EHS Guidelines serve as a technical reference source to support the implementation of the ESSs.

In addition to the World Bank Group General EHS Guidelines, implementation of ASCENT subprojects shall be guided by the latest applicable sector-specific Good International Industry Practice, including the IFC/WBG Environmental, Health and Safety Guidelines for Electric Power Transmission and Distribution, Solar Power, and Battery Energy Storage Systems, as applicable to each subproject.

3.4.1 General EHSGs

These guidelines contain information on cross-cutting environmental, health, and safety issues potentially applicable to all industry sectors; these are listed in link below:

The **WBG General EHS Guidelines** can be found in the following link: **http://documents.worldbank.org/curated/en/157871484635724258**

3.4.2 EHSGs for Electric Power Transmission and Distribution

The EHS Guidelines for Electric Power Transmission and Distribution include information relevant to power transmission between a generation facility and a substation located within an electricity grid, in addition to power distribution from a substation to consumers located in residential, commercial, and industrial areas. The guidelines can be found in the following link: https://www.ifc.org/content/dam/ifc/doc/2000/2007-electric-transmission-distribution-ehs-guidelines-en.pdf.

4. Identification, Mitigation and Management of Identified E&S Risks and Impacts

It is recommended that identification of the potential risks and impacts are grouped into different stages: *Planning/Design*, *Site Preparation*, *Construction*, *Operational* and *Decommissioning/Rehabilitation*.

4.1 Planning and Design Stage Considerations for Avoidance of Environmental and Social Risks and Impacts

This section describes key E&S issues that should be considered at the planning and design stage.

These may include consideration of the following features of the subproject:

- **Procurement of goods and supplies**: Where the project will include the procurement of goods and supplies e.g. equipment such as transformers, solar panels, solar batteries, conductors or PPE, this section should set out the required technical specifications, and other relevant information. Reference should be made to the relevant National Standards and GIIP such as WBG EHSGs. In addition, the PIU shall be required to undertake Supply Chain Risk Assessments of the nominated primary PV and batteries supplier to identify key E&S risks/impacts and ensure that the supplier complies with the ESS-2 requirements on child labor, forced labor, and serious safety issues to appropriately manage these risks.
- **Location, type and scale** of the energy subproject and supporting facilities, including likely construction materials and their possible sources (if known) within the subproject area/s:
    - **Location of subproject facilities**: First and foremost, the location, suitability and availability (type of ownership) of land to host the subproject equipment – considering issues relating to land acquisition and economic displacement impacts, location of access roads (temporary or permanent), temporary laydown and maintenance areas for construction activities, worker camps, should be taken into consideration in the identification process. In addition to normal considerations regarding proximity to sensitive areas such as a forest, wetland, river, a cultural heritage site or a game reserve, the environmental and social assessment should identify and examine nearby sensitive social receptors such as a residential area/s, health center or school and availability of municipal services such as public water supply, sewage and waste collection services at the location. While planning the host locations and developing the designs, for example routing of Power Distribution Lines should avoid rights of way over structures, household assets, forests, ecologically critical areas etc. Distribution Line routing should preferentially be along the roadside (sometimes in or along road reserves) and around household perimeters whereas Transmission line routing realignment may be possible to minimize impacts on sensitive and vulnerable receptors.
    - **Type and scale of subproject facilities**: During the planning stage the salient characteristics of the subproject type and size should be identified, including the likely supporting facilities and construction materials and their sources (if known).

  - The assessment should consider the **implementation requirements and arrangements**, operational procedures and working practices, including the requirements associated with E&S assessment alongside the technical assessment.

- **Proper design and functional requirements,** which may involve several aspects: i) structural and equipment safety, universal access[1]; ii) implementation impacts such as environmental (Air Emissions and Ambient Air Quality, hazardous materials management), Occupational health and safety, community health and safety, etc. Please note internationally recognized guidelines are available and should be referenced[2]

4.2 Construction and Operation Stage E&S Impacts and their Mitigation

This section provides key E&S risks and impacts associated with construction (including upgrading and rehabilitation) of power distribution lines (66/33/11 KV) involving wooden, steel or concrete poles, short transmission lines, distribution substations (33/11kV), Grid substations (132/11kV substations), Service drop cables, meters for service connections, Battery Energy Storage Systems (BESS), Solar mini grids and Stand-alone solar systems for households and public facilities (health centers, schools etc). and set out generic mitigation measures. These risks and impacts may include:

- Environmental risks and impacts associated with resource efficiency and material supply; construction related solid wastes, soil erosion, wastewater, noise, dust and emission management; hazardous materials management, structural stability, and contaminated land.
- Electronic and hazardous waste generated during operation and decommissioning, including end-of-life solar photovoltaic (PV) modules, battery energy storage systems (BESS), inverters, transformers, cables and other electrical equipment. Site-specific ESMPs shall include measures for inventory management, temporary storage, transportation, recycling, recovery, take-back schemes where available, and disposal through licensed hazardous waste facilities in accordance with ESS3 and Good International Industry Practice.
- Occupational Health and Safety (OHS) issues, including labour and working conditions, work at heights, slips and falls, struck by objects, dust, moving machinery, exposure to dust, chemicals, hazardous or flammable materials, and wastes in a combination of liquid, solid, or gaseous forms.
- Community health and safety issues, including pollutants, road safety, use of security personnel, and emergency aspects.
- Social issues, including in relation to labor influx, GBV/Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH) risks, gender or disability
- Issues relating to land acquisition and economic displacement impacts.

[1] Refer to ESS 4 Community Health and Safety

[2] For example, WBG EHSGs General, and Sector Specific, www.ifc.org/ifcext/enviro.nsf/Content/EnvironmentalGuidelines

- Impacts associated with Biodiversity Conservation and sustainable management of natural resources.
- Arrangements for employment and accommodation of workers to be engaged in project activities.
- Impacts related to Disadvantaged, Vulnerable and Marginalized Communities.
- Cultural heritage and biodiversity issues.

4.3 Decommissioning and Rehabilitation Phase

This section covers key E&S risks and impacts associated with the decommissioning phase at the end of the project life-cycle. Where temporary access roads, camps, equipment storage yards, are developed during construction and/or operation phase, they should be decommissioned and rehabilitated in accordance with a site-specific closure plan developed in consistency of international good practice and national environmental requirements. The site-specific closure plan should be developed as part of the site-specific ESMP or C-ESMP.

Both for temporary facilities and ultimately the main infrastructure implemented and associated facilities, the closure process will include site clearance, removal of all equipment including underground power lines, appropriate disposal of waste materials and reinstatement/ revegetation as appropriate.

During decommissioning, all photovoltaic modules, battery storage systems, transformers, electronic equipment and associated hazardous materials shall be removed, inventoried, transported and recycled or disposed of through licensed facilities in accordance with national legislation, the Basel Convention, ESS3 and applicable WBG EHS Guidelines.

The E&S risks and impacts may include:

- Environmental risks and impacts associated with resource efficiency and decommissioning related wastes generated, noise, dust and hazardous materials management, and contaminated land.
- Occupational Health and Safety (OHS) issues, including labour and working conditions, work at heights, slips and falls, struck by objects, dust, moving machinery, exposure to dust, chemicals, hazardous or flammable materials, and wastes in a combination of liquid, solid, or gaseous forms.
- Community health and safety issues, including pollutants, road safety, use of security personnel, and emergency aspects.

5. Procedures for Environmental and Social Risk/Impact Assessment, Mitigation and Implementation Arrangements

5.1 Procedures for Environmental and Social Risk/Impact Assessment and Mitigation

This section sets out in detail the procedures to be followed in identifying, preparing and implementing the subprojects, including the following:

- Screening potential subprojects in relation to eligibility.
- Screening each subproject for potential E&S risks and impacts and classifying each subproject according to risk (Annex 2, Screening Form).
- Conducting E&S assessment for each subproject and developing project specific management plans/instruments, such as full ESIAs/ESMPs, EIS, etc. according to the nature of the sub-project.
- Consultation and disclosure of E&S plans and instruments.
- Review and approval of E&S plans and instruments.
- Implementation and monitoring of E&S plans and instruments.

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

Table 5.1: Project Cycle and E&S Management Procedures

Project Stage	E&S Stage	E&S Management Procedures
a. Assessment and Analysis: Subproject identification and screening	Screening	• During subproject identification, ensure subproject eligibility by referring to the ***Exclusion List in table 5.2*** below. • For all activities, use the ***Screening Form in Annex 1*** to identify and assess potential environmental and social risks and impacts, and identify the appropriate mitigation measures for the subproject. • Using the identified E&S risks and impacts identified under Section 5, determine the E&S Risk Category based guidance provided under Table 4.3 below. HIGH ESRC subprojects/activities should be excluded from the project.
b. Formulation and Planning: Planning for subproject activities, including human and budgetary resources and monitoring measures	Planning	• Based on Screening Form adapt and/or prepare relevant environmental and social instruments and plans. • For activities requiring Environmental and Social Impact Assessment (ESIA), Resettlement Action Plans (RAPs), Environmental and Social Management Plans (ESMPs), submit a representative sample of ESMPs (number to be agreed with the World Bank) for prior review and no objection by the World Bank prior to initiating bidding processes (for subprojects involving bidding processes) and/or launching activities (for subproject activities not subject to bidding).

		• Ensure that the contents of the ESIAs, ESMPs, RAPs, etc are shared with relevant stakeholders in an accessible manner and consultations are held with the affected communities in accordance with the SEP. • Complete all documentation, permits, and clearances required under the government's requirements. • Assess E&S capacity, determine what is required to address shortfalls Train/hire staff responsible for implementation and monitoring of plans. • Incorporate relevant environmental and social procedures and plans into contractor bidding documents; train contractors on relevant procedures and plans.
c. Implementation and Monitoring: Implementation support and continuous monitoring for projects	Implementation	• Ensure implementation of plans through site visits, regular reporting from the field, and other planned monitoring. • Track grievances/beneficiary feedback. • Track reportable E&S incidents up to their closure. • Continue awareness raising and/or training for relevant staff, volunteers, contractors, communities.
d. Review and Evaluation: Qualitative, quantitative, and/or participatory data collection on a sample basis	Completion]	• Assess whether plans have been effectively implemented. • Ensure that physical sites are properly restored.]

More detail for each stage is provided below.

5.1.1 Subproject Assessment and Analysis – E&S Screening and Risk Classification

The E&S Screening procedure comprises of two stages-process: (1) Initial screening by using the **Exclusion List** in Table 5.2 below under Step-1; and (2) Screening the proposed activities to identify the approach for E&S risk management. This Screening Form is the second stage of screening process and is to be used for all subproject activities (Step-2), using the From in Annex

STEP 1: Eligibility Screening of Proposed Sub-Project/s
As a first step, all proposed activities should be screened to ensure that they are within the boundaries of the Project's eligible activities, and they are not considered as activities listed on the E&S Exclusion List in the Table 5.2 below.

Table 5.2: Exclusion List

The following activities shall not be eligible for financing under the ASCENT Project: • Any activity classified as High Risk in accordance with the World Bank Environmental and Social Framework (ESF). • Any activity located within legally protected areas, critical habitats, or biodiversity-sensitive areas where the activity would result in significant adverse impacts on biodiversity, natural habitats, or ecosystem services.

- Activities that have the potential to cause significant loss, degradation, fragmentation, or conversion of critical habitats or natural habitats.
- Any activity requiring significant physical displacement or relocation of households.
- Any activity involving involuntary land acquisition resulting in large-scale resettlement impacts that cannot be mitigated in accordance with ESS5.
- Any activity located on land with unresolved ownership disputes, land tenure conflicts, or other legal encumbrances.
- Activities that may cause significant adverse impacts on physical cultural resources, including graves, cemeteries, sacred sites, archaeological resources, monuments, or other cultural heritage resources.
- Activities involving forced labor, child labor, human trafficking, discrimination, or any form of labor exploitation prohibited under national legislation or ESS2.
- Activities involving the procurement, storage, transport, or use of hazardous chemicals, pesticides, herbicides, or insecticides prohibited under the laws of Lesotho or applicable international conventions.
- Activities involving disposal of hazardous waste, solar photovoltaic panels, batteries, electrical equipment, transformer oils, or other wastes in a manner inconsistent with national legislation, ESS3, or good international industry practice.
- Activities likely to result in significant community health and safety risks, including unacceptable risks associated with electrical infrastructure, traffic, hazardous materials, security arrangements, or emergency situations.
- Activities involving unacceptable risks of gender-based violence (GBV), sexual exploitation and abuse (SEA), or sexual harassment (SH) that cannot be adequately prevented or mitigated.
- Any activity that is inconsistent with the Environmental and Social Commitment Plan (ESCP), Environmental and Social Management Framework (ESMF), Resettlement Policy Framework (RPF), Stakeholder Engagement Plan (SEP), Labor Management Procedures (LMP), or applicable Environmental and Social Standards (ESSs).

STEP 2: E&S Categorization, Assessment and Developing Mitigation and Monitoring Plans

As a second step, the *PIU* will use the ***E&S Screening Form in Annex 1*** and guidance provided under Section 5 to identify and assess relevant environmental and social risks specific to the activities, and identify the appropriate mitigation measures. The *Screening Form* lists the various mitigation measures and plans that may be relevant for the specific activities (the Environmental and Social Management Plan, the Labor Management Procedures, Chance Find Procedures, etc.). Section 5 provides a methodology for identifying likely E&S risks and impacts to be generated by the proposed project activities. The identification of E&S risks and impacts should include direct impacts, indirect impacts, cumulative impacts and residual impacts. After completing the E&S screening and impacts identification, the E&S Risk Category should be determined and assigned in line with the guidance provided under Table 5.3 below. HIGH ESRC subprojects/activities should be excluded from the project. E&S due diligence and screening should be extended to any Associated Facilities.

Table 5.3: Summary of Parameters to guide determination of ESRC in line with ESS-1.

ESRC E&S Aspects	High Risk	Substantial Risk	Moderate Risk	Low Risk
Project type, location, sensitivity, scale	"Complex large to very large scale in sensitive location(s) ".	"Not as complex; large to medium scale not such sensitive location ".	"No activities with high potential for harming people or environment; located away from sensitive areas ".	"Few or no adverse risks and impacts.
Nature & magnitude of risks & impacts,	Mitigation unproven: unable to entirely address	Mitigation more reliable: significant risks	Easily mitigated: site specific, low magnitude risks.	Nothing to mitigate: - no

available mitigation	significant risk; high residual value.	but possible to avoid or address.		further assessment after screening.
Borrower capacity and commitment	Challenges and concerns about track record regarding E&S issues, significant stakeholder engagement capacity, commitment, track record concerns.	Some concerns about borrower track record, engagement capacity but readily addressed.	Sufficient borrower experience, track record, stakeholder engagement capacity.	Minimal or negligible risks to and impacts on human populations and/or the environment
Context of risk relevant to ES measures	Significant effects on ability to mitigate risk - significant contextual risks outside project control impacting on E&S performance and outcomes.	Some effects on ability to mitigate risk - known and reliable mechanisms to prevent or minimize, enforcement is weak in some respects, some stakeholder engagement concerns but readily addressed.	No effects on ability to mitigate risk – no contextual risks with effects on E&S performance	Negligible risk.

The *PIU* will also identify the documentation, permits, and clearances required under the government's Environmental Regulation.

STEP 3: Subproject Formulation and Planning – E&S Planning

Table 5.4 below provides list of anticipated Low, Moderate, and Substantial risk sub-projects to be implemented and their respective E&S Instruments to be used, including circumstances where Moderate-Substantial risk projects will require stand-alone Instruments and not ESMPs.

Table 5.4: List of activities supported under ASCENT and the menu of ESF instrument
(Source: Adopted from the ASCENT E&S Risk Tip List (Annex 4)

Activity	E&S Instruments to be prepared
Construction of distribution lines (66/33/11 KV) involving wooden, steel or concrete poles. Line right of way for distribution line is ~27m	Standard instruments (i.e., generic Environmental and Social Management Plans -ESMPs) can be considered for distribution schemes in urban areas **if screening and scoping confirm absence of significant E&S risks and impacts.**
ASCENT may also support small length of transmission lines (132kV) involving towers. For 132kV transmission line, line right of way is ~52m	**Transmission Lines, and distribution in peri-urban areas**, will **need project specific approaches**, like the preparation of Resettlement Action Plans (RAPs), Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH) action plans, etc.

Rehabilitation/upgrade of distribution lines that involve replacing poles and re-stringing using existing line right of way	Standard instruments (i.e., generic ESMPs) can be considered in non-sensitive locations, if screening and scoping confirm absence of significant E&S risks and impacts. **Project specific instruments will be needed for sensitive locations or if resettlement** (physical and/or economic displacement), or restrictions on land use are involved.
Construction of distribution substations (33/11kV). Grid substations (132/11kV substations) could be supported on a limited scale. Distribution substation may require 0.33-1.5 acres (33-150 decimal) of land depending on the type of equipment, layout design and local regulations. Grid substations may require up to 5 acres of land (indoor type can be installed in 3 acres).	Project specific instruments (i.e., ESIAs/ESMPs) needed for proper siting of substations and avoidance/minimization of significant E&S risks and impacts. RAPs/LRPs needed for any resettlement – would need to be project specific. **Project specific BMPs needed** in case of significant biodiversity impacts. **Standard instruments not recommended for substations.**
Service drop cables, meters for service connections	Standard instruments (i.e., E&S checklists, general EHS guidelines, standard working protocol regarding safety) can be used for service drop repetitive activities in urban areas.
Battery Energy Storage Systems (BESS)	Site-specific instruments (i.e., ESIAs/ESMPs) considering the capacity, location, and other technical details of the battery storage system.
Solar mini grids	Site-specific instruments (i.e., ESIAs/ESMPs) needed for proper siting of larger solar mini grids and avoidance/ minimization of significant E&S risks and impacts. RAPs needed for any resettlement which would be site specific. Standard instruments (i.e., generic ESMPs) can be considered for smaller mini-grids if screening and scoping confirm absence of significant E&S risks and impacts. **Larger Mini-Grids will need project specific approaches.**
Stand-alone solar systems for households and public facilities (health centers, schools, etc.)	Standard instruments (i.e., E&S checklists) can be used for repetitive activities in urban areas.
Improved cookstoves	Use Technical documentation and training on manufacturing and appropriate use of the cookstoves.

Based on the anticipated E&S instruments to be used following the outcome of the E&S Screening and Risk Classification presented under Section 6.1.1 including Table 5.4 above, Table 5.5 below

provides a summary of Templates which have been produced by the ASCENT MPA and should be adapted and used for individual subprojects:

Table 5.5: Standardized E&S Instruments developed and to be adapted and used during implementation.

No	Subproject Activity	Standardized E&S Instrument
1.	Standardized framework instruments for new countries joining ASCENT	Standardized ESMF and RPF template for country teams to deploy with clients for new countries joining ASCENT MPA.
2	Construction of distribution lines (66/33/11 KV) involving wooden, steel or concrete poles. Line right of way for distribution line is ~27 m	Standard ESMPs for distribution schemes in urban areas, including all the necessary standard annexes (i.e. WMP, OHS MP, SEA/SH Action Plan, etc.)..). Standard TOR for: ESIA, Resettlement Action Plans, and SEA/SH Action Plans for Transmission Lines, and distribution in peri-urban areas, that will require project specific approaches.
3	Rehabilitation/ upgrade of distribution lines that involve replacing poles and re-stringing using existing line right of way.	Standard generic ESMP, including all the necessary standard annexes (i.e. WMP, OHS MP, SEA/SH, etc). for rehabilitation/upgrade works in non-sensitive locations.
4	Service drop cables, meters for service connections	E&S checklist, general EHS guidelines, standard working protocol regarding safety for service drop, land access documents for repetitive activities in urban areas.
5	Battery Energy Storage Systems (BESS)	Generic ESMP template including the necessary standard annexes (i.e. Electronic and Hazardous Waste Management Plan (E-HWMP) that considers the capacity, location, and other technical details of the battery storage system.
6	Solar mini grids	Generic ESMP including the necessary standard annexes e.g. e-WMP, OHS MP, SEA/SH etc) templates for smaller solar mini grids, if screening and scoping confirm absence of significant E&S risks and impacts.
7	Stand-alone solar systems for households and public facilities (health centers, schools, etc.)	Standard Environmental and Social Checklist Template for Small Stand-Alone Solar System.
8	Improved cookstoves	Technical documentation and training on manufacturing and appropriate use of the cookstoves.

Based on the process above and the Screening Form, the *PIU* will adapt the necessary environmental and social management measures under Table 5.5 above or develop relevant site-specific environmental and social management plans.

Where site-specific environmental and social instruments are required, the PIU shall prepare such instruments as required, adapting the recommended E&S Template Instruments listed in Table 1. Depending on the nature of the sub-project, these may include ESMPs, RAPs/ARAPs, OHS Management Plans, Waste Management Procedures, Community Health and Safety Plans, SEA/SH Action Plans, Cultural Heritage Management Plans, and other relevant management plans in accordance with the ESMF, ESCP, applicable ESSs, and national requirements.

The PIU shall review and compile the site-specific instruments and ensure that the findings and summary of the instruments are shared with relevant stakeholders in an accessible manner. Consultations shall be undertaken with affected communities on the environmental and social risks, impacts, and mitigation measures. Where appropriate, a single environmental and social instrument may be prepared to cover multiple sub-projects or activities within the same geographical area.

The PIU shall obtain all permits, approvals, and clearances required under national legislation and shall submit any environmental and social instruments requiring World Bank prior review for review and no objection, as agreed with the Association.

At this stage, staff who will be working on the various subproject activities should be trained in the environmental and social instruments relevant to the activities they work on. The *PIU* should provide such training to field staff.

The *PIU* should also ensure that the bidding documents and process incorporates the respective subproject ESIAs/ESMPs and that all selected contractors, subcontractors, and vendors understand and incorporate environmental and social mitigation measures relevant to them as standard operating procedures for civil works. The *PIU* should provide training to selected contractors to ensure that they understand and incorporate environmental and social mitigation measures; and plan for cascading training to be delivered by contractors to subcontractors and vendors. The *PIU* should further ensure that the entities or communities responsible for ongoing operation and maintenance of the investment have received training on operations stage environmental and social management measures as applicable.

5.2 Implementation and Monitoring – E&S Implementation

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

The *PIU* working to implement the project will ensure that monitoring practices include the environmental and social risks identified in the ESIA/ESMP and will monitor the implementation of E&S risk management mitigation plans as part of regular project monitoring.

At a minimum, the reporting will include (i) the overall implementation of E&S risk management instruments and measures, (ii) any environmental or social issues arising as a result of project activities and how these issues will be remedied or mitigated, including timelines, (iii) Occupational Health and Safety performance (including incidents and accidents), (iv) community health and safety, (v) stakeholder engagement updates, in line with the SEP, (vi) public notification and communications, (vii) progress on the implementation and completion of project works, and (viii) summary of grievances/beneficiary feedback received, actions taken, and complaints closed out, in line with the SEP. Reports from contractors, supervising firms, and other implementing partners shall be submitted to the PIU, where they will be reviewed, consolidated, and incorporated into the Project's quarterly environmental and social performance reports for submission to the World Bank in accordance with the ESCP.

Throughout the Project implementation stage, the PIU Environmental Specialist, and Social Specilalist will continue to provide training and awareness raising to relevant stakeholders, such as staff, selected contractors, and communities, to support the implementation of the environmental and social risk management mitigation measures. An initial list of training needs is proposed below, in Section 5.5.

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

5.3 Review and Evaluation – E&S Completion

Last, if the *PIU* becomes aware of a serious incident in connection with the project, which may have significant adverse effects on the environment, the affected communities, the public, or workers, it should notify the World Bank within 24 hours of becoming aware of such incident. A fatality is automatically classified as a serious incident, as are incidents of forced or child labor, abuses of community members by project workers (including gender-based violence incidents), violent community protests, or kidnappings, lost time injury requiring 3 or more days off work, occurrence of a disease in excess of normal expectancy of number of cases, displacement without due process of compensation, unexpected impacts on heritage resources, unexpected impacts on biodiversity resources, environmental pollution incident, cases of sexual exploitation and abuse (SEA), sexual harassment (SH), and any other incident or accident that may have a significant adverse effect on the environment, the affected communities, the public, or the workers, irrespective of whether harm had occurred on that occasion.

The incidents reporting, root-cause-analysis and correction action plan forms shall be developed by the PIU and reviewed by the World Bank Task Team to align with both the National reporting requirements with the World Bank Environmental and Social Reporting Tool (ESIRT) Templates. Provide sufficient details regarding the scope, severity, and possible causes of the incident or accident, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any contractor and/or supervising firm, as appropriate. Subsequently, at the World Bank's request, prepare a report on the incident or accident and propose any measures to address it and prevent its recurrence.

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

5.4 Technical Assistance Activities

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

5.5 Implementation Arrangements

All contractors will be required to comply with the applicable Project's E&S risk management plans and procedures, including the ESMP, , LMP, SEP, GBV Action Plan, and local legislation. This provision will be specified in the contractor's agreements. Contractors will be expected to disseminate and create awareness within their workforce of environmental and social risk management compliance for their effective implementation].
It is recommended that selection of Contractors be undertaken in line with the WB Standard Procurement Documents incorporating ESHS requirements. The Task Team Leader shall provide the most recent World Bank Standard Procurement Documents (SPDs) to the respective Countries.

The Table 5.6 below summarizes the roles and responsibilities regarding the implementation arrangements for **environmental and social management**

Table 5.6: Implementation Arrangements

Level/ Responsible Party	Roles and Responsibilities
National/ Ministry of Energy and Mining - Department of Energy PIU	• Provide support, oversight, and quality control to field staff working on environmental and social risk management. • Collect, review, and provide quality assurance and approval to Screening Forms and ESMPs as relevant. Keep documentation of all progress. • Oversee overall implementation and monitoring of environmental and social mitigation and management activities, compile progress reports from local levels/subprojects, and report to the World Bank on a quarterly basis. • Train central and field staff and contractors who will be responsible for implementing the ESMF. • If contracting is managed centrally, ensure that all bidding and contract documents include all relevant E&S management provisions per screening forms, ESMPs, and ESCOPs. An ESHS Performance Security normally must be incorporated in the requirements from potential bidders for implementation of works under project financing. All sections of the bidding documents must be reviewed in detail by the Project Implementation Unit and cross referenced with the E&S policies and instruments relevant to the specific sub-projects. In particular, the Bid Documents shall reflect requirements as summarized in this ESMF for labor management, labor working conditions, worker health and safety, public health and safety and grievance redress, in line with World Bank ESSs. The perspective contractor is required to provide a costing at minimum within this amount in the BOQ, listing itemized values for C-ESMP implementation. For large scale contracts that are assessed as high risk during environmental screening, the prospective contractors may be required to have the following certifications in the Eligibility and Qualifications Subsection, in Section III of the Standard Bidding Documents, under Contractor Requirements: Registration with ISO 14001 (Environmental Management) and ISO 45001/ OSHAS 18000/ or equivalent.
Regional/local field staff of the PIU, Host Local Government	• Ensure project activities do not fall under the Negative List. Fill out Screening Forms for relevant subproject activities and submit forms to the national level. • If relevant, complete site-specific ESMPs for subproject activities and submit forms to the national level. • Oversee daily implementation and monitoring of environmental and social mitigation measures, and report progress and performance to the national level on a monthly basis.

	• Provide training to local contractors and communities on relevant environmental and social mitigation measures, roles, and responsibilities. • If contracting is managed regionally, ensure that all bidding and contract documents include all relevant E&S management provisions per screening forms, ESMPs, and ESCOPs.
Contractors	• Comply with the Project's environmental and social mitigation and management measures as specified in ESMPs, ESCOPs, and contract documents, as well as national and local legislation. • Take all necessary measures to protect the health and safety of workers and community members, and avoid, minimize, or mitigate any environmental harm resulting from project activities.]

5.6 Proposed Training and Capacity Building

The ASCENT PIU, in collaboration with the World Bank, shall undertake an Environmental and Social (E&S) Capacity Needs Assessment to identify capacity gaps and develop an appropriate Capacity Building Plan. Successful implementation of the Project will depend, among others, on the effective implementation of the environmental and social risk management measures outlined in this ESMF and the ESCP. Training and capacity building will be provided to key stakeholders to support effective implementation of the ESMF, SEP, LMP, RPF, site-specific ESMPs, RAPs/ARAPs, grievance mechanisms, occupational health and safety requirements, SEA/SH risk management measures, incident reporting procedures, and other environmental and social requirements of the Project.

An initial training programme is presented in **Table 5.7** and includes training on the World Bank ESF and ESSs, environmental and social screening procedures, stakeholder engagement, grievance management, labor management procedures, occupational health and safety, community health and safety, SEA/SH prevention and response, emergency preparedness and response, contractor ESHS compliance, environmental and social monitoring and reporting, and incident and accident reporting. To the extent possible, environmental and social risk management training shall be integrated into Project implementation processes and operational procedures. Given the need to raise awareness among project workers and stakeholders at multiple levels, a cascading approach shall be adopted to facilitate information flow from the national level to field-level implementation.

Table 5.7: Proposed Training and Capacity Building Approach

Level	Responsible Party	Audience	Topics/Themes that May Be Covered
National level	World Bank	National staff responsible for overall implementation of ESMF	ESMF and approach: • Identification and assessment of E&S risks • Selection and application of relevant E&S risk management measures/instruments • E&S monitoring and reporting • Incident and accident reporting • Application of LMP, including Code of Conduct, incident reporting, SEA/SH, • Application of SEP and the grievance/beneficiary feedback mechanism
Regional level	National staff	Regional staff	ESMF and approach:

		Contractors	• Identification and assessment of E&S risks • Selection and application of relevant E&S risk management measures • E&S monitoring and reporting • Incident and accident reporting • Application of LMP, including Code of Conduct, incident reporting, SEA/SH, • Application of SEP and the grievance/beneficiary feedback mechanism
Local/site level	Regional staff	Local staff Local contractors	• E&S implementation and operational management and responsibilities. • Application of SEP and the grievance/beneficiary feedback mechanism • Application of LMP, including Code of Conduct, incident reporting, SEA/SH, • Application of ESCOPs or ESMPs, as relevant Basic OHS measures and Personal Protective Equipment
Community level	Local staff	Community members Community Workers, if relevant	• Community health and safety issues • Worker Code of Conduct • SEA/SH issues, prevention, measures] • Grievance redress • Workers' grievance redress

5.7 Estimated Budget

Implementation of this ESMF will require financial resources to support environmental and social screening, preparation and implementation of site-specific instruments, stakeholder engagement, supervision, monitoring, capacity building, grievance management, and reporting activities throughout the Project lifecycle. These costs are expected to be integrated within overall project implementation arrangements and component budgets, while specific environmental and social management costs will be financed through dedicated E&S budget allocations.
The estimated ESMF budget below provides indicative costs for implementation of environmental and social risk management measures. Stakeholder engagement and consultation costs should be read together with the budget provisions provided under the SEP.

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

Table 5.8: ESMF Implementation Budget

Activity / Cost Item		Estimated Cost (USD)	
Capacity building and training for PIU, DoE,	PIU	40,000	120,000
	DoE	20,000	
	LEC	20,000	

LEC, MEM and other implementing partners	MEM	20,000	
	Other implementing partners	20,000	
Contractor environmental, social, health and safety training and awareness programs		75,000	
Stakeholder engagement, awareness materials, disclosure, GRM materials and communication activities		230,000	
Environmental and social screening and monitoring tools (software, tablets, databases, etc.)		60,000	
Preparation of site-specific ESMPs, ARAPs/RAPs, specialized studies and management plans		100,000	
Environmental permits, clearances, and regulatory approvals		50,000	
Implementation of site-specific ESMP mitigation measures		120,000	
Environmental and social staffing and implementation support		450,000	
Travel, accommodation, and field supervision costs for environmental and social monitoring		150,000	
Independent monitoring, audits, supervision consultants, and external support		50,000	
Contingency (approximately 10%)		140,500	
TOTAL		**1,545,500**	
Note: Costs presented above are indicative estimates intended for planning purposes and may be refined during project implementation as sub-project designs, locations, and implementation arrangements become available.			

6. Stakeholder Engagement, Disclosure, and Consultations

A separate Stakeholder Engagement Plan (SEP) has been prepared for the Project, based on the World Bank's Environmental and Social Standard 10 on Stakeholder Engagement. The SEP can be found here: *https://doe.gov.ls/post/view/6*.

This ESMF, will be disclosed, together with the SEP and the Environmental and Social Commitment Plan (ESCP) that have been prepared for this project, on the following website *https://doe.gov.ls/*.

Annex 1: Checklist for Environmental and Social Screening Form

The E&S Screening procedure comprises of two stages-process: (1) Initial screening by using the **Exclusion List** in **Table 5.2** of the ESMF; and (2) Screening the proposed activities to identify the approach for E&S risk management. This Screening Form is the second stage of screening process and is to be used for all subproject activities.

The completed forms will be signed and kept in the Project ESF file. The World Bank may review a sample of the forms during implementation support visits.

1. Subproject Information:

Subproject Title	
Subproject Location	
Regional Unit in Charge	
Estimated Cost	
Start/Completion Date	
Brief Description of Subproject	

2. Environmental and Social Screening Questionnaires

Questions	Answer		Next Steps
	Yes	No	
ESS1			
1. Is the subproject likely to have significant adverse environmental and / or social impacts that are sensitive and unprecedented that trigger the 'Ineligible Activities' or other exclusion criteria?			If "Yes": Exclude from project.
2. Does the subproject involve new construction or significant expansion of energy infrastructure, ponds, solid waste management systems, shelters, roads (including access roads), community centers, schools, bridges and jetties?			If "Yes": 1. Prepare a site-specific E&S Assessment and/or ESMP for the proposed subproject. 2. Include E&S risk management measures in bidding documents.
3. Does the subproject involve works with a significant scope whose environmental and social impacts are not immediately known?			If "Yes": 1. Prepare an ES Impact Assessment following national legislation and the TORs provided by the ASCENT MPA. 2. Include E&S risk management measures in bidding documents.
4. Do the characteristics of the subproject fall under the projects listed under [National Legislation] establishing the list of projects that must undergo environmental impact assessment,			If "Yes": 1. Prepare an ES Impact Assessment following national legislation and the TORs provided by the ASCENT MPA. 2. Include E&S risk management measures in bidding documents.

instructions, requirements and procedures to conduct environmental impact assessment?			
5. Does the subproject involve works with low/moderate and foreseeable environmental and social impacts that are immediately known?			If "Yes": 1. Prepare an ESMP for the proposed subproject, based on the templates provided by the ASCENT MPA. 2. Include E&S risk management measures in bidding documents.
6. Will construction or renovation works require new borrow pits or quarries to be opened?			If "Yes": 1. Prepare a site-specific ESMP for the proposed subproject, based on the templates provided by the ASCENT MPA. 2. Include E&S risk management measures in bidding documents.
7. Does the project lead to any risks and impacts on, individuals or groups who, because of their particular circumstances, may be disadvantaged or vulnerable.[1]			If "Yes": Apply relevant measures described in the ESMF and SEP.
ESS2			
8. Does the subproject involve uses of goods and equipment involving forced labor, child labor, or other harmful or exploitative forms of labor?			If "Yes": Exclude from project.
9. Does the subproject involve recruitment of workforce including direct, contracted, primary supply, and/or community workers?			If "Yes": Apply LMP in Annex 2.
10. i) Will the workers be exposed to workplace hazards that needs to be managed in accordance with local regulations and EHSGs, such as work at height, underground trenching, heavy machinery? ii) Do workers need PPE relative to the potential risks and hazards associated with their work? iii) Does the work involve engagement of direct, contracted, community & primary suppliers workers? iv) Does the work require provision of worker accommodation?			If "Yes": Apply LMP in Annex 2, CESMP (with commensurate OHS provisions) and/ or applicable E&S templates Instruments.
11. Is there a risk that vulnerable and disadvantaged groups may be underpaid when compared to men when working on the project construction?			If "Yes": Apply LMP in Annex 2.
ESS3			
12. Is the project likely to generate solid or liquid waste that could adversely impact soils, vegetation, rivers, streams or groundwater, or nearby communities?			If "Yes": 1. Prepare a site-specific ESMP for the proposed subproject, based on the templates provided by the ASCENT MPA. 2. Include E&S risk management measures in bidding documents.

13. Do any of the construction works involve the removal of asbestos or other hazardous materials?			If "Yes": Apply asbestos guidance provide in the ESCOP
14. i) Are works likely to cause significant negative impacts to air and / or water quality? ii) Will the solar/mini grids subprojects utilize wet cleaning technologies and will require substantial water usage for cleaning?			If "Yes": 1. Prepare a site-specific ESMP for the proposed subproject, based on the templates provided by the ASCENT MPA. • Include in the site specific ESMP, water management plan that detail the water usage, water conservations efforts and how to minimize potential water conflicts with communities due to water competing needs. 3. Include E&S risk management measures in bidding documents.
15. Does the activity rely on existing infrastructure (such as discharge points) that is inadequate to prevent environmental impacts?			If "Yes": 1. Prepare a site-specific ESMP for the proposed subproject, based on the templates provided by the ASCENT MPA. 2. Include E&S risk management measures in bidding documents.
ESS4			
16. Is there a risk of increased community exposure to communicable disease (such as COVID-19, HIV/AIDS, Malaria), or increase in the risk of traffic related accidents?			If "Yes": Apply LMP in Annex 2 and relevant measures in SEP, ESMP (CHS-MP & Traffic MP) and/ or applicable E&S Template Instruments.
17. (i) Is an influx of workers, from outside the community, expected? (ii) Would workers be expected to use health services of the community? (iii) Would they create pressures on existing community services (water, electricity, health, recreation, others?)			If "Yes": Apply LMP in Annex 2.
18. Is there a risk that SEA/SH may increase as a result of project works?			If "Yes": Apply SEA/SH Action Plan in applicable E&S Template Instruments .
19. Would any public facilities, such as schools, health clinic, church be negatively affected by construction?			If "Yes": Prepare a site-specific ESMP for the proposed subproject, based on the templates provided by the ASCENT MPA.
20. Will the subproject require the government to retain workers to provide security to safeguard the subproject?			If "Yes": Prepare a site-specific ESMP for the proposed subproject, including an assessment of potential risks and mitigation measures of using security personnel.
21. Will the project activities pose emergency response situations?			If "Yes", Prepare Emergency Preparedness and Response plan to respond to project level emergencies.

ESS5			
22. Will the subproject require the involuntary acquisition of new land ?			If "Yes": Refer to and apply the project Resettlement Policy Framework (RPFRPF).
23. Will the subproject lead to temporary or permanent physical displacement (including people without legal claims to land)?			If "Yes": Refer to and apply the project RPFRPF.
24. Will the subproject lead to economic displacement (such as loss of assets or livelihoods, or access to resources due to land acquisition or access restrictions)?			If "Yes": Refer to and apply the project RPFRPF.
25. Has the site of the subproject been acquired through eminent domain in the past 5 years, in anticipation of the subproject?			If "Yes": Refer to and apply the project RPFRPF.
26. Are there any associated facilities needed for the subproject (such as access roads or electricity transmission lines) that will require the involuntary acquisition of new land?			If "Yes": Refer to and apply the project RPFRPF.
27. Is private land required for the subproject activity being voluntarily donated to the project?[3]			If "Yes": Refer to and apply the project RPFRPF.
ESS6			
28. Does the subproject involve activities that have potential to cause any significant loss or degradation of critical habitats[4] whether directly or indirectly, or which would lead to adverse impacts on natural habitats[5]?			If "Yes": Exclude from project.
29. Will the project involve the conversion or degradation of non-critical natural habitats?			If "Yes": 1. Prepare a site-specific ESMP for the proposed subproject, based on the templates provided by the ASCENT MPA. 2. Include E&S risk management measures in bidding documents.
30. Will this activity require clearance of mangroves?			If "Yes": Exclude from project.
31. Will this activity require clearance of trees, including inland natural vegetation?			If "Yes": 1. Prepare a site-specific ESMP for the proposed subproject, based on the template in Annex 3. 2. Exclude from project if more than x hectares of tree and vegetation cutting is expected.

			2. Include E&S risk management measures in bidding documents.
32. Will there be any significant impact on any ecosystems of importance (especially those supporting rare, threatened or endangered species of flora and fauna)?			If "Yes": Exclude from project.
ESS7			
33. Are there any Indigenous Peoples or Sub-Saharan African Historically Underserved Traditional Local Communities present in the subproject area and are likely to be affected by the proposed subproject negatively?			If "Yes": Prepare an Indigenous Peoples Plan OR includeinclude the requirements of an Indigenous Peoples Plan in the SEP to be prepared alongside the ESMF.
ESS8			
34. Is the subproject to be located adjacent to a sensitive site (historical or archaeological or culturally significant site) or facility?			If "Yes": Apply Chance Find Procedures in Annex 3.
35. Locate near buildings, sacred trees or objects having spiritual values to local communities (e.g. memorials, graves or stones) or require excavation near there?			If "Yes": Apply Chance Find Procedures in Annex 3.

3. Conclusion

Based on the result from the screening above, please list the E&S risk management instruments to be prepared / adapted and implemented:

a)
b)
c)
d)

Recommendations:

……
……
……
……

Prepared by: ……
Signature: ……..
Date and time: ……..

Approved by: ……..,
Signature: ..……,
Date and time: ……,

Annex 2: Simplified Labor Management Procedures

In accordance with the requirements of World Bank's Environmental and Social Standard 2 (ESS2) on Labor and Working Conditions, a simplified LMP have been developed for the project. The LMP sets out the ways in which *Ministry of Energy and Mining* will manage all project workers in relation to the associated risks and impacts. The objectives of the LMP are to: Identify the different types of project workers that are likely to be involved in the project; identify, analyze and evaluate the labor-related risks and impacts for project activities; provide procedures to meet the requirements of ESS 2 on Labor and Working Conditions, ESS 4 on Community Health and Safety, and applicable national legislation.

The Labor Management Procedures apply to all project workers, irrespective of contracts being full-time, part-time, temporary or casual. The types of workers that will be included in the project are listed below

- **Direct Workers** – Personnel engaged by DoE, PIU, LEC, MEM, and other implementing agencies for project management, supervision, environmental and social management, procurement, and monitoring activities (approximately 20–50 workers).
- **Contracted Workers** – Workers employed by contractors, subcontractors, consultants, and service providers for construction, installation, supervision, technical support, and related activities (expected to constitute the largest workforce category and may exceed several hundred workers during peak implementation).
- **Community Workers** – Community workers are not expected under the Project (0 workers anticipated). Where local labor is engaged by contractors for unskilled or temporary activities, such workers will be treated as contracted workers and will be subject to applicable labor requirements.
- **Primary Supply Workers** – Workers involved in the manufacture, supply, transportation, and delivery of materials and equipment such as poles, cables, transformers, solar equipment, and related materials (numbers currently unknown and dependent on supply arrangements).

Labor Risks

The following potential labor risks are identified under the project*:*

- Violation of worker's rights: Terms and conditions of employment of workers may not be consistent with national legislation or World Bank standards.
- Violation of worker's rights: Non-discrimination and equal opportunity of workers may not be consistent with national legislation or World Bank standards.
- Use of child labor or forced labor.
- Unsafe work environment and poor working conditions.
- Workplace injuries and accidents, particularly when operating construction equipment, when working at height on erection of poles and building construction, when working with electricity, and when handling heavy equipment and materials.
- Risks from exposure to hazardous substances (dust, cement, chemicals used in construction etc.).
- Sexual exploitation and abuse/sexual harassment (SEA/SH) risks for workers.
- SEA/SH risks for community members, from workers from outside the project areas.
- Conflicts between workers and communities.

General Applicable Procedures

Ministry of Energy and Mining and contractors will apply the following guidelines when dealing with workers:

- There will be no discrimination with respect to any aspects of the employment relationship, such as: Recruitment and hiring; compensation (including wages and benefits; working conditions and terms of employment; access to training; job assignment; promotion; termination of employment or retirement; or disciplinary practices.
- Harassment, intimidation and/or exploitation will be prevented or addressed appropriately.
- Special measures of protection and assistance to remedy discrimination or selection for a particular job will not be deemed as discrimination.
- Vulnerable project workers will be provided with special protection.
- Ministry of Energy and Mining and contractors will provide job / employment contracts with clear terms and conditions including rights related to hours of work, wages, overtime, compensation and benefits, annual holiday and sick leave, maternity leave and family leave. Code of Conduct included in this LMP will be applicable for all project workers.
- Ministry of Energy and Mining will ensure compliance with the Code of Conduct including providing briefings/awareness raising on the Code.
- Ministry of Energy and Mining and contractors will ensure compliance with occupational health and safety procedures and COVID-19 specific procedures (see below) including that the workers are properly trained in application of the standards that are relevant to the work.
- Ministry of Energy and Mining and retained contractors will ensure no person under the age of 18 shall be employed. Age verification of all workers will be conducted by the contractors.
- Ministry of Energy and Mining will recruit contractors and labor locally to the extent that they are available.
- Workers shall be recruited voluntarily, and no worker is forced or coerced into work.
- Ministry of Energy and Mining will supervise and monitor to ensure compliance with the above requirements.
- All workers will be made aware of the Worker's Grievance Mechanism (see below) to raise work related grievances, including any sensitive and serious grievances on SEA/SH.

  Communities and individuals who believe that they are adversely affected by a project supported by the World Bank may submit complaints to existing project-level grievance mechanisms or the Bank's Grievance Redress Service (GRS). For information on how to submit complaints to the Bank's Grievance Redress Service (GRS), please visit http://www.worldbank.org/GRS.

Occupational Health and Safety (OHS) Procedures

The objective of the procedure is to achieve and maintain a healthy and safe work environment for all project workers (contracted workers and community workers) and the host community.

- On procurement for contractors, Ministry of Energy and Mining will avail the ESMF to the aspiring contractors so that contractors include the budgetary requirements for OHS measures in their respective bids.
- The contractor will develop and maintain an OHS management system that is consistent with the scope of work, which must include measures and procedures to address all the following topics listed below and in accordance with local legislation and GIIP (as defined by World Bank Group EHSGs). The management system must be consistent with the duration of contract and this LMP.

- Contractor will conduct workplace hazards identification and adapt all applicable E&S risk mitigation measures in accordance with local legislation requirements and WBG EHSGs.
- Contractor designates a responsible person to oversee OHS related issues at the project site and define OHS roles and responsibilities for task leaders and contract managers.
- Contractor should put in place processes for workers to report work situations that they believe are not safe or healthy, and to remove themselves from a work situation which they have reasonable justification to believe presents an imminent and serious danger to their life or health, without fear of retaliation.
- Contractor provides preventive and protective measures, including modification, substitution, or elimination of hazardous conditions or substances informed by assessment and plan. Whenever PPEs are required for the work, it must be provided at no cost for the workers.
- Contractor should assess workers' exposure to hazardous agents (noise, vibration, heat, cold, vapors, chemicals, airborne contaminants etc.) and adapt adequate control measures in accordance with local regulations and WB EHSGs.
- Contractors provides facilities appropriate to the circumstances of the work, including access to canteens, hygiene facilities, and appropriate areas for rest. Where accommodation services are provided to project workers, policies will be put in place and implemented on the management and quality of accommodation to protect and promote the health, safety, and well-being of the project workers, and to provide access to or provision of services that accommodate their physical, social and cultural needs.
- Contractor provides for appropriate training/induction of project workers and maintenance of training records on OHS subjects.
- Contractor documents and reports on occupational incidents, diseases and incidents as per ESMF guidance.
- Contractor provides emergency prevention and preparedness and response arrangements to emergency situations including and not limited to workplace accidents, workplace illnesses, flooding, fire outbreak, disease outbreak, labor unrest and security.
- Contractor provides remedies for adverse impacts such as occupational injuries, deaths, disability and disease in accordance with local regulatory requirements and Good International Industry Practices.
- Contractor shall maintain all such record for activities related to the safety health and environmental management for inspection by [implementing agency] or the World Bank.

Contractor Management Procedures

The objective of this procedure is to ensure that [implementing agency] has contractual power to administer oversight and action against contractors for non-compliance with the LMP.

- Ministry of Energy and Mining will require the selected Contractors to prepare the Construction Environmental and Social Management Plan (C-ESMP) and submitted for approval by Project Implementation Unit and the World Bank. The C-ESMP must comply with all requirements of the sub-project ESMP.
- Ministry of Energy and Mining will make available relevant documentation to inform the contractor about requirements for effective implementation of the LMP.
- Ministry of Energy and Mining will include the provisions of the ESMF, LMP and other relevant documents into the specification section of the bidding documents. The contractors will be required to comply with these specifications.
- Contractor will raise worker awareness on the Code and Conduct.
- Contractor will show evidence of OHS and Emergency Preparedness procedures.

- Ministry of Energy and Mining will monitor contract's E&S performance during its regular site visits utilizing contactor reporting or external monitoring/supervision consultants where available. Where appropriate, Ministry of Energy and Mining may withhold contractor's payment or apply other contractual remedies as appropriate until corrective action(s) is/are implemented on significant non-compliance with the LMP, such as failure to notify Ministry of Energy and Mining of incidents and accidents.

Procedures for Primary Suppliers

The objective of the procedure is to ensure that labor-related risks, especially child and forced labor as well as serious safety issues to the project from primary supply workers are managed. Ministry of Energy and Mining and all contractors will undertake the following measures:

- Procure supplies from legally constituted suppliers.
- To the extent feasible, conduct due diligence to ensure that primary suppliers conduct age verifications, employ workers without any force or coercion, and maintain basic OHS systems.

For the procurement process of solar panels and their components, it is recommended to include in the procurement document the following considerations:

1. The World Bank IPF Solar Procurement Bidder Declaration - Forced Labor.
2. Criteria for the environmental and social sustainability of solar panels and components, including factors such as recyclable materials, reuse potential, low toxicity, comprehensive safety data sheets, energy efficiency, product lifespan, and other relevant considerations.
3. Preference should be given to bidders who guarantee equipment replacement and maintenance for the duration of its useful life, as well as the proper handling of unused equipment. This includes cases of technical failures, transport or installation damage, misuse, or when the equipment reaches the end of its operational life.

Worker Accommodation

If accommodations are provided for workers, contractors will ensure that they are provided in good hygiene standards, with fresh drinking water, clean beds, restrooms and showers, clean bedrooms, good illumination, lockers, proper ventilation, safe electrical installation, fire and lightening protection, separate cooking and eating areas. There will be separate facilities provided for men and women. The contractors will be liable to comply with "Workers' Accommodation: Processes and Standards: A guidance Note" by IFC and the EBRD.

Institutional Arrangement for Implementation of the LMP

Ministry of Energy and Mining will carry the main responsibility for the implementation and monitoring of the LMP. *PIU* will identify subproject activities, prepare subproject designs and bidding documents, as well as procure contractors. *PIU* will be responsible for contractor and site supervision, technical quality assurance, certification, and payment of works. *PIU* will ensure that labor management procedures are integrated into the specification section of the bidding documents and the procurement contracts.

Grievance Mechanism

There will be a specific Workers Grievance Mechanism (Worker GM) for project workers as per the process outlined below. This considers culturally appropriate ways of handling the concerns of direct and contracted workers. Processes for documenting complaints and concerns have been specified, including time commitments to resolve issues. Workers will be informed about the relevant Worker GM upon their recruitment and their right to redress, confidentiality and protection against any reprisals from the employer will be stated in the contract.

Routine Grievances

The process for the Worker GM is as follows:

- Any worker may report their grievance in person, by phone, text message, mail or email (including anonymously if required) to the contractor as the initial focal point for information and raising grievances. For complaints that were satisfactorily resolved by the aggrieved worker or contractor within one week of receipt of complaint, the incident and resultant resolution will be logged and reported monthly to the *PIU*.
- If the grievance is not resolved within one week, the contractor (or the complainant directly) will refer the issue to the *PIU*. The *PIU* will work to address and resolve the complaint and inform the worker as promptly as possible, in particular if the complaint is related to something urgent that may cause harm or exposure to the person, such as lack of PPE needed. For non-urgent complaints, the *PIU* will aim to resolve complaints withing 2 weeks. For complaints that were satisfactorily resolved by the *PIU*, the incident and resultant resolution will be logged by *PIU* and reported monthly to *Ministry of Energy and Mining* as part of regular reporting. Where the complaint has not been resolved, the *Ministry of Energy and Mining* will refer to [national level responsible parties at the implementing agency] for further action or resolution.

  The workers will preserve all rights to refer matters to relevant judicial proceedings as provided under national labor law.

At *Ministerial* level, each grievance record should be allocated a unique number reflecting year, sequence and township of received complaint. Complaint records (letter, email, record of conversation) should be stored together, electronically or in hard copy. The *Ministry of Energy and Mining* will appoint a Worker GM Focal Person, who will be responsible for undertaking a monthly review of all grievances to analyze and respond to any common issues arising. The Focal Person will also be responsible for oversight, monitoring and reporting on the Worker GM.

Serious Grievances

In case a worker experiences serious mistreatment such as harassment, intimidation, abuse, violence, discrimination or injustice at the workplace, the worker may raise the case, verbally or in writing directly to the contractor or *PIU*. The contractor will immediately refer the case to *Ministry of Energy and Mining*. The [implementing agency] will immediately investigate the case respecting confidentiality and anonymity of the worker.

Upon project effectiveness, the *Ministry of Energy and Mining* will designate a Focal Person or Persons for Serious Grievances. These Focal Persons will receive training in investigating serious grievances, relevant laws and regulations, and World Bank standards including the rights of people who file a grievance. *Ministry of Energy and Mining* and the World Bank will jointly develop culturally-sensitive and locally-appropriate roles and responsibilities, and procedures.

In case of SEA/SH aspects, the [implementing entity] will be required to develop and implement a SEA/SH Action Plan based on the assessment of SEA/SH risks, with key indicators, estimated budget, timelines for implementation and monitoring indicators and reflect it in the project ESMP. The SEA/SH Action Plan shall be integrated in all contracts, including those related to E&S and incident reporting and in the C-ESMP. As part of the SEA/SH Action Plan, develop localized referral protocols, to be integrated in the project Accountability and Response Framework, in line with the ESF Good Practice Note on Addressing SEA/SH in IPF Involving Major Civil Works.

In case a direct worker or civil servant has a serious grievance, the staff may directly contact verbally or in writing the Focal Person for Serious Grievances.

All complaints received will be filed and kept confidential. For statistical purposes, cases will be anonymized and bundled to avoid identification of persons involved.

Code of Conduct

CODE OF CONDUCT FOR CONTRACTOR'S PERSONNEL

We are the Contractor, [enter name of Contractor]. We have signed a contract with [enter name of Employer] for [enter description of the Works]. These Works will be carried out at [enter the Site and other locations where the Works will be carried out]. Our contract requires us to implement measures to address environmental and social risks related to the Works, including the risks of sexual exploitation, sexual abuse and sexual harassment.

Note to the Proposer:

The minimum content of the Code of Conduct form as set out by the Employer shall not be substantially modified. However, the Proposer may add requirements as appropriate, including to take into account Contract-specific issues/risks.

The Proposer shall initial and submit the Code of Conduct form as part of its proposal.

This Code of Conduct is part of our measures to deal with environmental and social risks related to the Works. It applies to all our staff, labourers and other employees at the Works Site or other places where the Works are being carried out. It also applies to the personnel of each subcontractor and any other personnel assisting us in the execution of the Works. All such persons are referred to as "Contractor's Personnel" and are subject to this Code of Conduct.

This Code of Conduct identifies the behavior that we require from all Contractor's Personnel.

Our workplace is an environment where unsafe, offensive, abusive or violent behavior will not be tolerated and where all persons should feel comfortable raising issues or concerns without fear of retaliation.

REQUIRED CONDUCT

Contractor's Personnel shall:

1. carry out his/her duties competently and diligently;
2. comply with this Code of Conduct and all applicable laws, regulations and other requirements, including requirements to protect the health, safety and well-being of other Contractor's Personnel and any other person;
3. maintain a safe working environment including by:
    a. ensuring that workplaces, machinery, equipment and processes under each person's control are safe and without risk to health;
    b. wearing required personal protective equipment;
    c. using appropriate measures relating to chemical, physical and biological substances and agents; and
    d. following applicable emergency operating procedures.
4. report work situations that he/she believes are not safe or healthy and remove himself/herself from a work situation which he/she reasonably believes presents an imminent and serious danger to his/her life or health;
5. treat other people with respect, and not discriminate against specific groups such as women, people with disabilities, migrant workers or children;
6. not engage in any form of Sexual Harassment, which means unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature with other Contractor's or Employer's Personnel;
7. not engage in Sexual Exploitation, which means any actual or attempted abuse of position of vulnerability, differential power or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another;
8. not engage in Sexual Abuse, which means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions;

9. not engage in any form of sexual activity with individuals under the age of 18, except in case of pre-existing marriage;
10. complete relevant training courses that will be provided related to the environmental and social aspects of the Contract, including on health and safety matters, Sexual Exploitation and Abuse (SEA), and Sexual Harassment (SH);
11. report violations of this Code of Conduct; and
12. not retaliate against any person who reports violations of this Code of Conduct, whether to us or the Employer, or who makes use of the grievance mechanism for Contractor's Personnel or the project's Grievance Redress Mechanism.

RAISING CONCERNS

If any person observes behavior that he/she believes may represent a violation of this Code of Conduct, or that otherwise concerns him/her, he/she should raise the issue promptly. This can be done in either of the following ways:

1. Contact [*enter name of the Contractor's Social Expert with relevant experience in handling sexual exploitation, sexual abuse and sexual harassment cases, or if such person is not required under the Contract, another individual designated by the Contractor to handle these matters*] in writing at this address [ ] or by telephone at [ ] or in person at [ ]; or
2. Call [ ] to reach the Contractor's hotline (*if any*) and leave a message.

The person's identity will be kept confidential, unless reporting of allegations is mandated by the country law. Anonymous complaints or allegations may also be submitted and will be given all due and appropriate consideration. We take seriously all reports of possible misconduct and will investigate and take appropriate action. We will provide warm referrals to service providers that may help support the person who experienced the alleged incident, as appropriate.

There will be no retaliation against any person who raises a concern in good faith about any behavior prohibited by this Code of Conduct. Such retaliation would be a violation of this Code of Conduct.

CONSEQUENCES OF VIOLATING THE CODE OF CONDUCT

Any violation of this Code of Conduct by Contractor's Personnel may result in serious consequences, up to and including termination and possible referral to legal authorities.

FOR CONTRACTOR'S PERSONNEL:

I have received a copy of this Code of Conduct written in a language that I comprehend. I understand that if I have any questions about this Code of Conduct, I can contact [*enter name of Contractor's contact person with relevant experience*] requesting an explanation.

Name of Contractor's Personnel: [*insert name*]

Signature: _____

Date: (*day month year*): _____

Countersignature of authorized representative of the Contractor:

Signature: _____

Date: (*day month year*): _____

ATTACHMENT 1: Behaviors constituting Sexual Exploitation and Abuse (SEA) and behaviors and behaviors constituting Sexual Harassment (SH)

ATTACHMENT 1 TO THE CODE OF CONDUCT FORM

BEHAVIORS CONSTITUTING SEXUAL EXPLOITATION AND ABUSE (SEA) AND BEHAVIORS CONSTITUTING SEXUAL HARASSMENT (SH)

The following non-exhaustive list is intended to illustrate types of prohibited behaviors.

(1) Examples of sexual exploitation and abuse include, but are not limited to:

- A Contractor's Personnel tells a member of the community that he/she can get them jobs related to the work site (e.g. cooking and cleaning) in exchange for sex.
- A Contractor's Personnel that is connecting electricity input to households says that he can connect women headed households to the grid in exchange for sex.
- A Contractor's Personnel rapes, or otherwise sexually assaults a member of the community.
- A Contractor's Personnel denies a person access to the Site unless he/she performs a sexual favor.
- A Contractor's Personnel tells a person applying for employment under the Contract that he/she will only hire him/her if he/she has sex with him/her.

(2) Examples of sexual harassment in a work context

- Contractor's Personnel comment on the appearance of another Contractor's Personnel (either positive or negative) and sexual desirability.
- When a Contractor's Personnel complains about comments made by another Contractor's Personnel on his/her appearance, the other Contractor's Personnel comment that he/she is "asking for it" because of how he/she dresses.
- Unwelcome touching of a Contractor's or Employer's Personnel by another Contractor's Personnel.
- A Contractor's Personnel tells another Contractor's Personnel that he/she will get him/her a salary raise, or promotion if he/she sends him/her naked photographs of himself/herself

Annex 3: Chance Find Procedures

Cultural heritage encompasses tangible and intangible heritage which may be recognized and valued at a local, regional, national or global level. *Tangible cultural heritage*, which includes 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. Tangible cultural heritage may be located in urban or rural settings, and may be above or below land or under the water. *Intangible cultural heritage*, which includes practices, representations, expressions, knowledge, skills—as well as the instruments, objects, artifacts and cultural spaces associated therewith— that communities and groups recognize as part of their cultural heritage, as transmitted from generation to generation and constantly recreated by them in response to their environment, their interaction with nature and their history.

In the event that during construction, sites, resources or artifacts of cultural value are found, the following procedures for identification, protection from theft, and treatment of discovered artifacts should be followed and included in standard bidding documents. These procedures take into account requirements related to Chance Finding under national legislation including the Environment Act No. 10 of 2008 and relevant cultural heritage requirements

- Immediately stop construction activities within the area of the chance find.
- Secure and isolate the site to prevent damage, theft, removal, or disturbance of discovered materials.
- Notify the supervising engineer, contractor representative, Environmental and Social Specialist, and PIU immediately. The PIU shall notify the Ministry of Energy and Mining and relevant authorities.

- Notify the relevant authorities including the Department of Culture at Tel: +266 22313034 OR +266 22310194 and the Police, where necessary.

- The responsible authorities shall inspect and assess the significance of the discovery and determine appropriate management measures.
- Construction activities shall not resume until written authorization or clearance has been provided by the relevant authorities.
- Where the discovery is confirmed as cultural heritage, appropriate mitigation, documentation, relocation, preservation, or other management measures shall be implemented in accordance with recommendations provided by the responsible authorities.

Annex 4: Guidance on E&S Risk Rating and Applicable E&S Instruments (Source: Project Task Team)

Part-A: ASCENT Tip Sheet For E&S Risk Rating

The following tip sheet should assist E&S Specialists to rate E&S risks under the ASCENT program. The tip sheet presents the likely risks of the activities being proposed under the ASCENT program.

However, E&S Specialists should make a final determination on the risk rating based on the country context and any specific details on the geographical location of the Project. This includes, but is not limited to:

- Client Capacity: if screening indicates that the Borrower has very limited capacity or commitment to assess and manage the project's E&S risks and impacts and/or the institutional arrangements are likely to be complex this would justify higher risk ratings.

- Receptor Sensitivity: such as presence of sensitive environmental areas or vulnerable social settings (e.g., working in areas where there are indigenous groups as per ESS7, E&S legacy issues, activities proposed in protected areas, critical habitats etc).

- Context: FCV countries, particularly where security may be an issue

Activities involving environment and social risks	Influence Area	Technical Mitigation Measures	Activity Based Risk Rating
Pillar 1: Regional and National Platforms for Energy Access			
Policies, regulations, national electrification plans and strategies, feasibility Studies	Technical assistance activities		**Capacity Building**: Low -limited potential for risks and impacts that can't be easily managed. Borrower commitment that the capacity building will be undertaken in line with ESF. **Policies, regulations and national electrification plans:** Low to Moderate, need to ensure such activities are aligned with ESF but unlikely to result in significant E&S impacts (unless exceptional circumstances).

Activities involving environment and social risks	Influence Area	Technical Mitigation Measures	Activity Based Risk Rating
			Feasibility studies and TORs preparation of E&S Instruments such as ESIAs and for feasibility studies among others to be prepared by participating governments or private sector entities using COMESA ASCENT grants: Risk Rating depends on what activities the studies will be for and associated downstream risks: • Distribution, Mini-grids etc (unless in sensitive areas) the rating is likely to be Moderate (see rationale under Pillar 2) • Transmission or power generation likely to be Substantial, significant downstream risks may occur depending on what is proposed. Specialist will need to assess based on what is being proposed.
Pillar 2: Expanding Grid Electrification			
Construction of distribution lines (66/33/11 KV) involving wooden, steel or concrete poles. ASCENT may also support small length of transmission lines (132kV) involving towers	Line right of way for distribution line is ~27m (subject to national regulations) For 132kV transmission line, line right of way is ~52m (subject to national regulations)	Distribution line routing is highly flexible and detailed routing can avoid rights of way over structures, household assets, forests, ecologically critical areas etc. Line routing is preferentially along the roadside (sometimes in or along road reserves) and around household perimeters. Transmission line	Distribution Lines: Moderate risk, Potential risks and impacts related to vegetation clearing, cultural heritage sites, land acquisition and resettlement. Should be possible to rate as low to moderate due to potential for re-routing around sensitive locations and the use of exclusion lists (e.g. no clearing of sensitive habitats, no physical resettlement etc). Impacts on avifauna, community health and safety, and occupational health and safety (OHS) may all occur but should be Moderate risk UNLESS client capacity is a significant concern. Transmission Lines:

Activities involving environment and social risks	Influence Area	Technical Mitigation Measures	Activity Based Risk Rating
		routing with larger right of way and tower footprint has less flexibility than distribution lines but some realignment may be possible to minimize impacts on sensitive and vulnerable receptors.	Substantial risk as less flexibility in routing resulting in physical and potentially significant economic displacement as a result of establishment of rights-of-way /easements (depending on national regulations, extensive vegetation clearance (including potential to pass through sensitive areas / habitats). Other risks OHS, Community H&S, labor influx, SEA/SH etc., can all be significant given the scale of construction activities and potential for labor influx.
Rehabilitation/upgrade of distribution lines that involve replacing poles and re-stringing	Existing line right of way	N/A workers will take place along existing routes.	Moderate risk due to limited potential E&S risks and impacts related to waste management, OHS, community health and safety, environmental liabilities, and resettlement of encroachers (assets).
Construction of distribution substations (33/11kV). Grid substations (132/11kV substations) could be supported on a limited scale	Distribution substation may require 0.33-1.5 acres (33-150 decimal) of land depending on the type of equipment, layout design and national regulations. Grid substations may require up to 5 acres of land (indoor type can be installed in 3 acres).	Land purchased under willing buyer-willing seller basis avoids the resettlement issues.	Distribution Substations: Moderate risk, even if land acquisition is needed resulting in resettlement this is likely to be minimal. Some flexibility in siting is possible. Exclusion of sites involving physical resettlement, impacting cultural heritage or otherwise on land that is sensitive (critical habitat, sensitive areas of biodiversity value etc). Grid Substations: Moderate to Substantial. Less flexibility in siting resulting in physical and potentially significant economic displacement, vegetation clearance. Other risks OHS, Community H&S, SEA/SH etc are all greater given scale of construction activities and potential contribution to influx (especially if combined with other activities e.g. line construction).
Service drop cables, meters for service connections	Usually small physical footprint and provides direct benefits to communities.		Low to Moderate risk as limited impacts related to OHS and Community H&S. Exclusion Criteria could also be used e.g. no physical resettlement,

Activities involving environment and social risks	Influence Area	Technical Mitigation Measures	Activity Based Risk Rating
			voluntary land donation etc to maintain low risk rating
Battery Energy Storage Systems (BESS)		Land requirement is very small. Can be located within existing substations.	Moderate risk as limited impacts related to OHS, Community H&S, management of hazardous materials. Exclusion Criteria could also be used e.g. no physical resettlement, impacting cultural heritage or otherwise on land that is sensitive (critical habitat, sensitive areas of biodiversity value etc).
Pillar 3: Scaling Distributed Renewable and Clean Cooking			
Solar mini grids	100KW solar mini-grid can take about 0.5 acre of land.	Mini-grids are typically owned and operated by the private sector with land bought on a willing buyer-willing seller basis. Land can also be donated by the local community/ or social or health service (getting the electricity is much more valuable to the community than the land value). (ASCENT STP and ASCENT Somalia are supporting MW-scale solar parks between 5-10MW range at each site, which is different than the typical mini-grids supported under pillar 3)	100kw Minigrid: Moderate risk related to vegetation clearing, cultural heritage, land acquisition and resettlement. Exclusion Criteria could also be used e.g. no physical resettlement, impacting cultural heritage or otherwise on land that is sensitive (critical habitat, sensitive areas of biodiversity value etc). Impacts on biodiversity, community health and safety, and occupational health and safety (OHS) may all occur but should be Moderate. Substantial rating may occur for larger size mini-grids (5-10 MW) where it is harder to identify land without impacts to households and / or existing land uses.

Activities involving environment and social risks	Influence Area	Technical Mitigation Measures	Activity Based Risk Rating
Stand-alone solar systems for households and public facilities (health centers, schools etc)		Financing facility to support private sector led installation of solar home systems at individual households. Also solar home systems at institutional facilities will be supported.	Low to Moderate risk: Limited E&S risks and impacts related to waste management, community health and safety (during installation and guidance for operation) and OHS. Requirements will depend on how the financing is arranged, and implementation arrangements considered.
Improved cookstoves		Financing facility to support private sector led dissemination of improved cookstoves.	Low risk: Limited E&S risks and impacts related to waste management, community health and safety and OHS.

Part-B: Available Standardized Instruments/ Checklists to Assist Preparation

To support preparation of E&S instruments standardized instruments and checklists have been prepared as per the table below.

Activities involving environment and social risks	Type of ESF instruments
Pillar 1: Regional and National Platforms for Energy Access	
Policies, regulations, national electrification plans and strategies, feasibility Studies	• No Standardized Instruments available. • Requirement in the ESCP that TORs of TAs to be consistent with ESF requirements and WBG EHS guidelines • ESCP to include provisions for identifying potential E&S risks of downstream subprojects • Screening and scoping relevant for feasibility studies to avoid/minimize potential E&S risks and impacts
Pillar 2: Expanding Grid Electrification	
Construction of distribution lines (66/33/11 KV) involving	• **Standard instruments** (i.e., generic ESMPs, ESMFs and RPFs) for distribution schemes in urban areas if screening and scoping confirm absence of significant E&S risks and impacts.

Activities involving environment and social risks	Type of ESF instruments

wooden, steel or concrete poles.	• **Site-specific instruments**
	  • ESIAs/ESMPs) needed for construction of distribution in peri-urban areas and transmission lines.
	  • Site Specific RAPs needed for any resettlement based on RPF
	  • BMPs needed in case of significant biodiversity impacts like construction within or close proximity to habitat or corridors considered to be high biodiversity value

ASCENT may also support small length of transmission lines (132kV) involving towers	**Site Specific Instruments** will be required.
Rehabilitation/upgrade of distribution lines that involve replacing poles and re-stringing	• **Standard instruments** (i.e., generic ESMPs, ESMFs and RPFs) for rehabilitation/upgrade works in non-sensitive locations, if screening and scoping confirm absence of significant E&S risks and impacts. Site specific instruments will be needed for sensitive locations or if resettlement is involved.

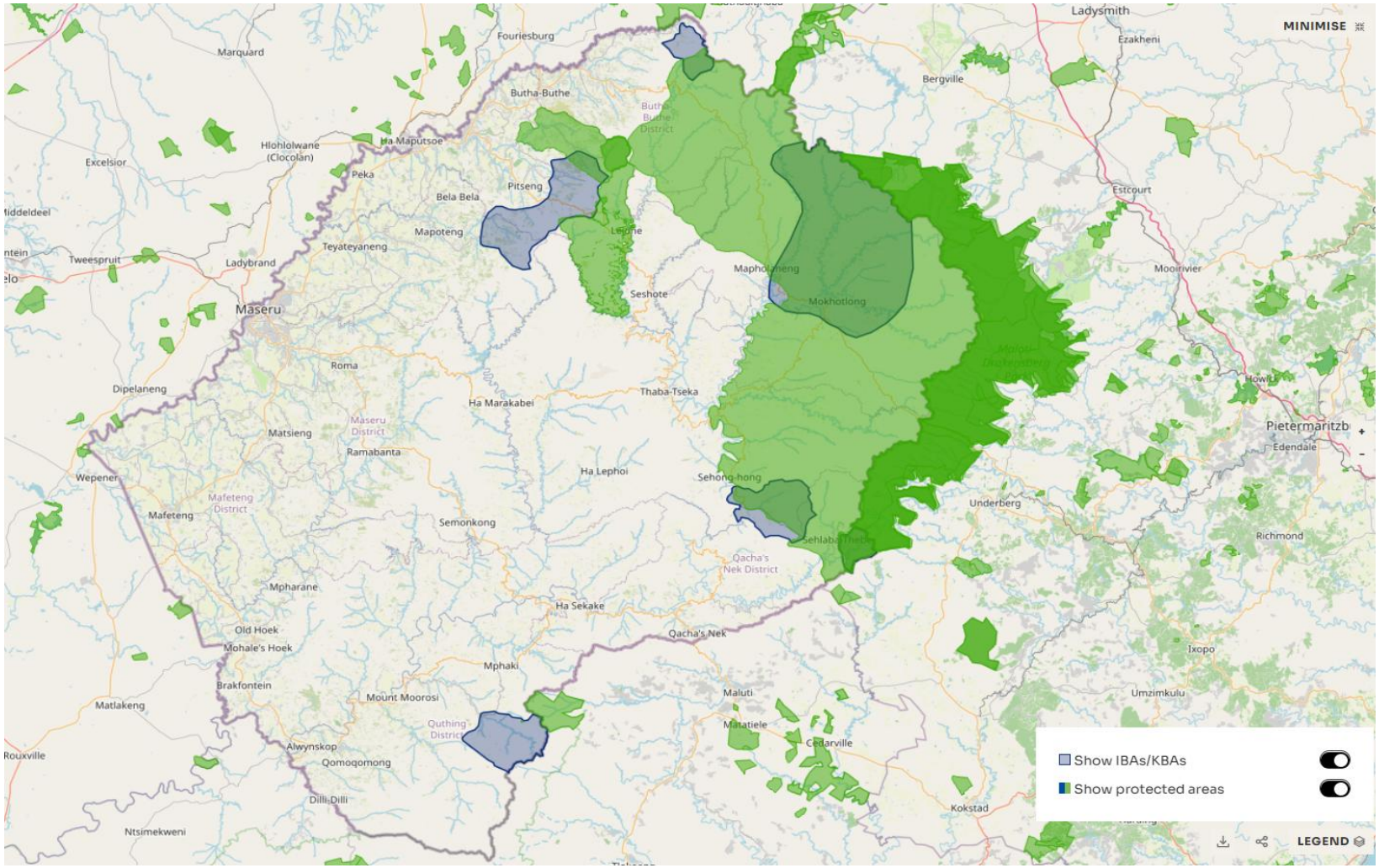
Construction of distribution substations (33/11kV).
 	
Grid substations (132/11kV substations) could be supported on a limited scale
	• **Site-specific instruments**
	  • ESIAs/ESMPs needed for proper siting of substations and avoidance/minimization of significant E&S risks and impacts.
	  • RAPs needed for any resettlement – may be possible to come up with standardized templates to be customized.
	  • BMPs needed in case of significant biodiversity impacts.
	
	Standard instruments not recommended for substations

Service drop cables, meters for service connections	• **Standard instruments** (i.e., E&S checklists, general EHS guidelines, standard working protocol regarding safety) can be developed for service drop repetitive activities. IF LOW, no ESF instruments required beyond those under the Borrower Framework (unless country specific reason not to rely on it).
Battery Energy Storage Systems (BESS)	• **Site-specific instruments** (i.e., ESIAs/ESMPs) considering the capacity, location, and other technical details of the battery storage system.

Activities involving environment and social risks	Type of ESF instruments
	Standard instruments not recommended for battery storage systems
Pillar 3: Scaling Distributed Renewable and Clean Cooking	
Solar mini grids	**Standard instruments** • Generic ESMPs can be applied for smaller mini-grids if screening and scoping confirm absence of significant E&S risks and impacts. **Site-specific instruments** • ESIAs/ESMPs needed for proper siting of larger solar mini grids and avoidance/ minimization of significant E&S risks and impacts. • RAPs needed for any resettlement – may be possible to come up with standardized templates to be customized. Larger Mini-Grids will need project specific approaches.
Stand-alone solar systems for households and public facilities (health centers, schools etc)	**Standard instruments** • E&S checklists can be developed for repetitive activities. • Guidance for FIs to pass to owners/ installer of SHS IF LOW, no ESF instruments required beyond those under the Borrower Framework.
Improved cookstoves	• Technical documentation and training on manufacturing and appropriate use of the cookstoves.

Additional guide notes
OESRC TA ESF advisory note (**Here**)
ESF streamlining resources on OPCS ESF resource page (**Here**)
WB EHS guidelines **(Here)**

Annex 5: Map/ List of Protected Areas in the project area/ Region/ Country)



List of IBAs/KBAs

Search in table

Site name	IBA classification	KBA classification	IBA criteria	KBA criteria	Year of last assessment
Sehlabathebe National Park	Global	Global/Regional TBD	A1, A2, A3	-	1998
Upper Senqu River	Global	Global	A1, A2, A3, A4ii	-	1998
Liqobong	Global	Global/Regional TBD	A1, A2, A3	-	1998
Mafika - Lisiu	Global	Global	A1, A2, A3, A4ii	-	1998
Sehonghong and Matebeng	Global	Global	A1, A2, A3, A4ii	-	1998
Upper Quthing	Global	Global	A1, A2, A3, A4ii	-	1998

Annex 6: Sample Minimum E&S Provisions in Contracts

ENVIRONMENTAL AND SOCIAL SPECIFICATIONS FOR CONTRACTORS TO BE ENGAGED

INTRODUCTION
The purpose of this document is to present a comprehensive set of specifications to be followed by Contractors in the implementation of the ASCENT Sub-projects.

GENERAL
In order to prevent harm and nuisances on local communities, and to minimize the impacts on the environment during implementation of infrastructure sub-projects, the Contractor and his employees shall adhere to the mitigation measures set down in:

- Contractor's ESMP specifications, procedures, and best practices included in this document. These specifications complement any technical specifications included in the work quantities and the requirements of *Lesotho* regulations.
- Contractor's ESMP: The Contractor is required to submit a construction ESMP (CESMP)) as part of his proposed Construction Method Statements prepared as part of his Bid document and/or during construction phase. The Contractor's CESMP shall provide details such as Contractor's commitment to environmental protection; methodology of implementing the project ESMP; environmental mitigation measures and monitoring program during different stages of the construction period, and the contractor's proposed resources for the implementation of the ESMP.

The Contractor and his employees shall adhere to the mitigation measures set down in these specifications to prevent harm and nuisances on local communities, and to minimize the impacts in construction and operation on the environment.

SUBPROJECTS CONSTRUCTION ACTIVITIES
The following information is intended solely as broad guidance to be used in conjunction with local and national regulations and complemented by the Contractor's Environmental and Social Management Plans prepared for the project. Before initiation of civil works activities, the Contractor shall present to the Employer a Plan which explicitly states how he plans to abide by these specifications. After approval of such Plan by the PIU construction activities can proceed.

Workforce and Site Installation Management Plan
Workforce
There is the potential that local labor from the subproject area could participate in the project implementation activities. Priority shall be set by the Contactor(s) and sub-Contractor(s) to hire the local labor for the works. The contractor will not engage in child labor or forced labor. Based on the Labor Management Procedures (LMP) of the project the Contractor should prepare a Labor Management Plan (LMP) for his workers. The Contractor shall take the following steps to maximize to use of the local labor:

- Announcement for the position that local labor could participate in the works to every subproject area;
- Provide equal employment opportunities for both youth, women, men and disabled;
- Provide work safety/environmental awareness training to those local labors upon their hiring

Code of Conduct

A Code of Conduct shall be established to outline the importance of appropriate behavior, drug and alcohol abuse, and compliance with relevant laws and regulations. Each employee shall be informed of the Code of Conduct and bound by it while in the employment of the Contractors. The Code of Conduct shall be available to local communities at the project information centers or other places easily accessible to the communities.

The Code of Conduct shall address the following measures (but not limited to them):

- All of the workforce shall abide by the laws and regulations of *Lesotho*;
- Reporting of work situations that are believed not to be safe or healthy;
- Treating other people with respect, and not discriminating against specific groups such as women, people with disabilities, migrant workers or children;
- Illegal substances, weapons and firearms shall be prohibited;
- Pornographic material and gambling shall be prohibited;
- Fighting (physical or verbal) shall be prohibited;
- Creating nuisances and disturbances in or near communities shall be prohibited;
- Disrespecting local customs and traditions shall be prohibited;
- Smoking shall only be allowed in designated areas;
- Maintenance of appropriate standards of dress and personal hygiene;
- Requirement of completion of relevant training courses that will be provided related to the environmental and social aspects of the Contract, including on health and safety matters, and Sexual Exploitation, and Sexual Abuse (SEA);
- Failure to comply with the Code of Conduct, or the rules, regulations, and procedures implemented at the construction camp will result in disciplinary actions.

Prohibitions

The following activities shall be prohibited on or near the project site.

- Cutting of trees for any reason outside the approved project area;
- Hunting, fishing, wildlife capture, or plant collection;
- Buying of wild animals for food;
- Feeding of wild animals;
- Use of unapproved toxic materials, including lead-based paints, asbestos, etc.;
- Disturbance to anything with architectural or historical value;
- Building of fires;
- Use of firearms;
- Use of alcohol by workers during office hours;
- Washing cars or machinery in streams or creeks;
- Doing maintenance (change of oils and filters) of cars and equipment outside authorized areas:
- Disposing trash in unauthorized places;
- Driving in an unsafe manner in local roads;
- Having caged wild animals (especially birds) in camps;
- Working without safety equipment (including boots and helmets);
- Creating nuisances and disturbances in or near communities;
- The use of rivers and streams for washing clothes;
- Indiscriminate disposal of rubbish or wastes or rubble;
- Littering the site;
- Spillage of potential pollutants, such as petroleum products;

- Collection of firewood;
- Poaching of any description;
- Explosive and chemical fishing;
- Latrine outside the designated facilities;
- Burning of wastes and/or cleared vegetation;
- Engaging in any form of sexual harassment including unwelcome sexual advances, requests for sexual favours, and other unwanted verbal or physical conduct of a sexual nature with other Contractor's or Employer's Personnel;
- Engaging in sexual exploitation, rape or sexual abuse;
- Engaging in any form of sexual activity with individuals under the age of 18, except in case of pre-existing marriage.

Any workers, office staff, Contractor's employees, the implementing agencies employees or any other person related to the project found violating these prohibitions will be subjected to disciplinary actions that can range from a simple reprimand to termination of his/her employment depending on the seriousness of the violation.

Camp and Site Facilities

If applicable, the following general measures shall be considered for camp and site facilities:

- The construction, layout and extent of the construction site and its components, i.e. all offices, accommodation facilities, testing facilities / laboratories, batching areas, storage & stockpiling areas, workshops, vehicle washing areas and all other areas/facilities required for completion of the project shall be planned, designed and managed in such a manner that environmental and social impacts are minimized;
- The Contractor shall establish worker's camps, offices, workshops, testing facilities, stockpiling areas, staff accommodation etc. in a manner that does not adversely affect the environment.
- Observe applicable national (if any) and international standards 27 on how many workers are allowed in one room, what minimum space required per person, type of beds, cooking arrangements etc.
- Site offices, camps, depots, asphalt plants, mixing stations, and workshops shall be located in appropriate areas as agreed by local village and approved by the Supervision engineer/Consultant and not within 500 meters of existing residential settlements and not within 1,000 meters for asphalt plants;
- Site offices, camps, depots and particularly storage areas for fuel, lubricants, bitumen and asphalt plants shall not be located within 500 meters of watercourses, and be operated so that no pollutants enter watercourses, either overland or through groundwater seepage, especially during periods of rain. This will require lubricants to be recycled and a ditch to be constructed around the area with an approved settling pond/oil trap at the outlet;
- Areas for the storage of fuel or lubricants and for a maintenance workshop shall be fenced and have a compacted/impervious floor to prevent the escape of accidental spillage of fuel and or lubricants from the site. Surface water drainage from fenced areas shall be discharged through purpose designed and constructed oil traps. Empty fuel or oil drums may not be stored on site.
- Fuel wood shall not be used as a means of heating during the processing or preparation of any materials forming part of the Works;
- The Contractor shall restrict all his activities, materials, equipment and personnel to the area specified. Entry into restricted areas by any person, vehicle or equipment without the Supervision Engineer's/Consultant's permission can result in penalties;

- Potable water safe for human consumption shall be provided for at camps, site offices, and other working areas;
- Camp areas shall be located to allow effective natural drainage;
- A method shall be established for storing and disposing of all solid wastes generated by the labor camp. If applicable, kitchen wastes shall be disposed into soak pits;
- Solid wastes generated in the labor site shall be reused if recyclable or disposed of in land fill sites;
- If water is stored on site, drinking water and multi-purposed water storage facilities shall be clearly distinguished and demarcated.
- Sanitary arrangements, latrines and urinals shall be provided in every camp sites/work fronts.

First Aid Facilities

- Medical and first aid facilities shall be provided at each camp area. First aid box shall be provided at the construction campsite and under the charge of a responsible person who shall always be readily available 24 hours. He/she shall be adequately trained in administering first aid-treatment. Formal arrangement shall be prescribed to make motor transport available to carry injured person or person suddenly taken ill to the nearest hospital.

Sanitary Facilities

- In every camp site shall have gender segregated and adequate lavatory facilities (toilets and washing areas) shall be provided for the use of male and female workers. Toilet facilities should also be provided with adequate supplies running water, soap, and toilet paper. Such facilities shall be conveniently accessible and shall be kept in clean and hygienic conditions:

    - Where female workers are employed, there shall be at least one latrine for every 25 females or part thereof.
    - Where males are employed, there shall be at least one latrine for every 25 males or part thereof.
    - Every latrine shall be under cover and so partitioned off as to secure privacy, and shall have a proper door and fastenings.
    - Where workers of both sexes are employed, each latrine or urinal must be lockable from inside, and outside of each block there must be a notice in the language understood by the majority of the workers “For Men” or “For Women” as the case may be.
    - The latrines and urinals shall be adequately lighted and shall be maintained in a clean sanitary condition at all times and Water shall be provided in or near the latrines and urinals by storage in drums.

- A temporary septic tank system shall be installed for the disposal of domestic wastes and excreta without causing pollution of nearby watercourses. Wastewater should not be disposed into water bodies without treatment.

Eating areas

- If none is available, the Contractor shall provide adequate temporary shade within the project areas to ensure that site personnel do not move off site to eat;
- The Contractor shall provide adequate refuse bins at all eating areas to the satisfaction of the Supervision engineer/Consultant;
- If deemed necessary by the Supervision engineer/Consultant, the Contractor shall demarcate designated eating areas.

Security

Some security measures shall be put into place to ensure the safe and secure running of the site facilities and its residents. Some of these security measures include:

- Adequate, day-time night-time lighting shall be provided;
- A perimeter security fence at least 2m in height constructed from appropriate materials;
- Provision and installation in all buildings of firefighting equipment and portable fires extinguishers.

Impact Management Plan

Erosion and Sedimentation

In order to minimize negative impacts in the project area, the following activities shall be carried out by the Contractor:

- The Contractor shall implement erosion and sedimentation control measures to the satisfaction of the PIU and Supervision engineer/Consultant;
- The Contractor shall protect all areas susceptible to erosion by installing necessary temporary and permanent drainage works as soon as possible and by taking any other measures necessary to prevent storm water from concentrating in streams and scouring slopes, banks, etc.
- Areas of the site not disturbed by project activities shall be maintained in their existing conditions;
- Conserve topsoil with its leaf litter and organic matter, and reapply this material to local disturbed areas to promote the growth of local native vegetation;
- Apply local, native grass seed and mulch to barren erosive soil areas or closed construction surfaces;
- Apply erosion control measures before the rainy season begins preferably immediately following project works;
- Install sediment control structures where needed to slow or redirect runoff and trap sediment until vegetation is established. Sediment control structures include windrows of logging slash, rock berms, sediment catchment basins, straw bales, brush fences, and silt;
- In areas where project activities have been completed and where no further disturbance would take place, re-vegetation should commence as soon as possible;
- Spray water as needed on dirt roads, cuts, fill material and stockpiled soil to reduce wind-induced erosion;
- Traffic and movement over stabilized areas shall be restricted and controlled, and damage to stabilized areas shall be repaired and maintained to the satisfaction of the Supervision engineer/Consultant.

Earthworks, Cut and Fill Slopes

All earthworks shall be properly controlled, especially during the rainy season;

- The Contractor shall maintain stable cut and fill slopes at all times and cause the least possible disturbance to areas outside the prescribed limits of the works;
- In order to protect any cut or fill slopes from erosion, in accordance with the drawings, cut off drains shall be provided at the top and bottom of slopes and be planted with grass or other plant cover. Cut off drains should be provided above high cuts to minimize water runoff and slope erosion;
- Any excavated cut or unsuitable material shall be disposed of in designated disposal areas as agreed to by the Supervision engineer/Consultant;
- Disposal sites should not be located where they can cause future slides, interfere with agricultural land or any other properties, or cause soil from the dump to be washed into any watercourse. Drains may need to be dug within and around the tips, as directed by the Engineer

Stockpiles and Borrow Pits

In general terms, the Contractor shall:

- Identify and demarcate locations for stockpiles and borrow pits, ensuring that they are 15 meters away from critical areas such as steep slopes, erosion-prone soils, and areas that drain directly into sensitive water bodies. Location of borrow pits shall be approved by the Supervision engineer/Consultant.
- Limit extraction of material to approved and demarcated borrow pits.
- Stockpile topsoil when first opening the borrow pit. After all usable borrow has been removed, the previously stockpiled topsoil should be spread back over the borrow area and graded to a smooth, uniform surface, sloped to drain. On steep slopes, benches or terraces may have to be specified to help control erosion.
- Excess overburden should be stabilized and re-vegetated. Where appropriate, organic debris and overburden should be spread over the disturbed site to promote re-vegetation. Natural re-vegetation is preferred to the extent practicable.
- Existing drainage channels in areas affected by the operation should be kept free of overburden.
- The Contractor shall ensure that all borrow pits used are left in a trim and tidy condition with stable side slopes, re-establishment of vegetation, restoration of natural water courses, avoidance of flooding of the excavated areas wherever possible so no stagnant water bodies are created which could breed mosquitoes.
- When the borrow pits cannot be refilled or reasonably drained, the Contractor shall consult with the local community to determine their preference for reuse such as fish farming or other community purposes;
- No foreign material generated/ deposited during construction shall remain on site. Areas affected by stockpiling shall be reinstated to the satisfaction of the Supervision Engineer/Consultant.

Disposal of Debris

The Contractor shall carry out the following activities:

- Establish and enforce daily site clean-up procedures, including maintenance of adequate disposal facilities for debris;
- Debris generated due to the dismantling of existing structures shall be suitably reused, to the extent feasible, in the proposed program activities (e.g. as fill materials for embankments). The disposal of remaining debris shall be carried out only at sites identified and approved by the Supervision Engineer/Consultant. The contractor should ensure that these sites (a) are not located within designated forest areas; (b) do not impact natural drainage courses; and (c) do not impact endangered/rare flora. Under no circumstances shall the contractor dispose of any material in environmentally sensitive areas.
- In the event any debris or silt from the sites is deposited on adjacent land, the Contractor shall immediately remove such debris or silt and restore the affected area to its original state to the satisfaction of the Supervision Engineer/Consultant.
- Water courses shall be cleared of debris and drains and culverts checked for clear flow paths;
- Include provisions for incorporating the most appropriate stabilization techniques for each disposal site and determine that the selected spoil disposal sites do not cause unwanted surface drainage;
- Assess risk of any potential impact regarding leaching of spoil material on surface water;
- Once the job is completed, all project -generated debris should be removed from the site.

Demolition of Existing Infrastructures

The following measures shall be implemented in order to protect workers and the public from falling debris and flying objects:

- Set aside a designated and restricted waste drop or discharge zones, and/or a chute for safe movement of wastes from upper to lower levels;
- Conduct sawing, cutting, grinding, sanding, chipping or chiseling with proper guards and anchoring as applicable;
- Maintain clear traffic ways to avoid driving of heavy equipment over loose scrap;
- Provide all workers with safety glasses with side shields, face shields, hard hats, and safety shoes.

Dust Control

- The Contractor shall ensure that the generation of dust is minimized and shall implement a dust control program to maintain a safe working environment, minimize nuisance for surrounding residential areas/dwellings and protect damage to natural vegetation, crops, etc.;
- Construction vehicles shall comply with speed limits and haul distances shall be minimized;
- Material loads shall be suitably covered and secured during transportation;
- Exposed soil and material stockpiles shall be protected against wind erosion and the location of stockpiles shall take into consideration the prevailing wind directions and locations of sensitive receptors;
  - The Contractor shall implement dust suppression measures (e.g. water spray vehicles, covering of material stockpiles, etc.) if and when required.

Noise Control

- The Contractor shall be responsible for compliance with the relevant legislation with respect to noise;
- The Contractor shall try to keep noise generating activities to a minimum;
- The Contractor shall restrict all operations that result in undue noise disturbance to local communities and/or dwellings (e.g. blasting, crushing, etc.) to daylight hours on weekdays or as agreed with the Supervision Engineer/Consultant;
- The Contractor shall warn any local communities and/or residents that could be disturbed by noise generating activities such as blasting well in advance and shall keep such activities to a minimum;
- In sensitive areas (including residential neighbourhoods, hospitals, rest homes, schools, etc.) more strict measures may need to be implemented to prevent undesirable noise levels;
- To the extent possible, night time operations shall be kept to a minimum and banned near sensitive receptors;
- No blasting shall be allowed during night time unless prior approval is obtained from the government authority and the Supervision Engineer/Consultant;
- The Contractor shall maintain the construction equipment in its best operating conditions and lowest noise levels possible.

Vegetation and site restoration

- Re-vegetation shall start at the earliest opportunity. Appropriate local native species of vegetation shall be selected for the compensatory planting and restoration of the natural landforms;
- Restoration of cleared areas such as borrow pits no longer in use, disposal areas, site facilities, stockpiles areas, working platforms and any areas temporarily occupied during construction of the project works shall be accomplished using landscaping, adequate drainage and re-vegetation;

- Spoil heaps and excavated slopes shall be re-profiled to stable batters, and grassed to prevent erosion;
- Restoration and re-vegetation shall be carried out timely for the exposed slopes/soils and finished areas shall be reinstated in order to achieve the stability of slopes and maintain soil integrity;
- All affected areas shall be landscaped and any necessary remedial works shall be undertaken without delay, including grassing and reforestation;
- Soil contaminated with chemicals or hazardous substances shall be removed and transported and buried in waste disposal areas.

Waste Management Plan

Waste management on site shall be strictly controlled and monitored. Only approved waste disposal methods shall be allowed. The Contractor shall ensure that all site personnel are instructed in the proper disposal of all waste.

Solid waste

- The Contractor shall submit a method statement detailing a solid waste control system (storage, provision of bins, site clean-up schedule, bin clean-out schedule, etc.) to the Supervision Engineer/Consultant for approval.
- The Contractor shall ensure that all facilities are maintained in a neat and tidy condition and the site shall be kept free of litter;
- Measures shall be taken to reduce the potential for litter and negligent behaviour with regard to the disposal of all refuse. At all places of work, the Contractor shall provide litter bins, containers and refuse collection facilities for later disposal;
- Solid waste may be temporarily stored on site in a designated area approved by the Supervision Engineer/Consultant prior to collection and disposal through a licensed waste collector;
- Waste storage containers shall be covered, tip-proof, weatherproof and scavenger proof. The waste storage area shall be fenced off to prevent wind-blown litter;
- No burning, on-site burying or dumping of waste shall occur;
- All solid waste shall be disposed of offsite at an approved landfill site. The Contractor shall supply the Supervision Engineer/Consultant with certificates of disposal;
- Random disposal of solid waste in scenery areas shall be strictly prohibited;
- During project activities, inert construction materials / excavated soil shall be reused on site as much as possible and minimize the volume requiring disposal;
- The Contractor shall identify and demarcate disposal areas clearly indicating the specific materials that can be deposited in each;
- Recyclable materials such as wooden plates for trench works, steel, scaffolding material, site holding, packaging material, etc. shall be collected and separated on-site from other waste sources. Collected recyclable material shall be re-used for other projects or sold to waste collector for recycling.

Domestic waste

- The Contractor shall provide refuse bins, all with lids, for all buildings. Refuse shall be collected and removed from all facilities at least twice per week. Domestic waste shall be transported to the approved refuse disposal site in covered containers or trucks.

- The Contractor shall submit a method statement to the Supervision Engineer/Consultant detailing how wastewater would be collected from all wastewater generating areas, as well as storage and disposal methods. If the Contractor intends to carry out any on-site wastewater treatment, this should also be included;
- Water from kitchens, showers, laboratories, sinks etc. shall be discharged into a conservancy tank for removal from the site;
- Runoff from fuel depots / workshops / machinery washing areas and concrete batching areas shall be collected into a conservancy tank and disposed off at a site approved by the Supervision Engineer/Consultant;
- Domestic sewage from site office and toilets shall either be collected by a licensed waste collector or treated by on-site treatment facilities. Discharge of treated wastewater must comply with the discharge limit according to the legislation;
- Chemical toilets can be provided on site for construction workers. Domestic sewage collected from the site office and chemical toilets shall be cleaned up on regular basis. Only licensed waste collectors shall be employed for this disposal;
- At completion of project works, soak pits and septic tanks shall be covered and effectively sealed off.

Hazardous and Chemical waste

- All hazardous and chemical waste (including bitumen, etc.) shall be disposed of at an approved hazardous landfill site and in accordance with local legislative requirements. The Contractor shall provide disposal certificates to the Supervision Engineer/Consultant;
- The removal of asbestos-containing materials or other toxic substances shall be performed and disposed of by specially trained workers;
- Used oil and grease shall be removed from site and sold to an approved used oil recycling company;
- Used oil, lubricants, cleaning materials, etc. from the maintenance of vehicles and machinery shall be collected in holding tanks and sent back to the supplier or removed from site by a specialist oil recycling company for disposal at an approved hazardous waste site.
- Inform the Supervision Engineer/Consultant of any accidental spill or incident;
- Initiate a remedial action following any spill or incident;
- Provide a report explaining the reasons for the spill or incident, remedial action taken, consequences/damage from the spill, and proposed corrective actions.

Electronic and End-of-Life Renewable Energy Equipment Management

The Contractor shall prepare and implement procedures for the management of electronic and hazardous waste generated during the installation, commissioning and handover of Solar Home Systems (SHSs). Prior to project completion, the Contractor shall establish arrangements for the environmentally sound management of end-of-life SHS components during operation, including handover of all relevant records to the Ministry of Energy and Mining (MEM) or the designated system operator.

The procedures shall include, as applicable:

- Maintaining an inventory of installed solar panels, batteries, inverters and other electrical components.

- Collecting and safely storing defective or replaced batteries and other electronic components generated during installation and commissioning.
- Segregating lithium batteries and other hazardous electronic waste from general waste.
- Prohibiting the open burning, burial or uncontrolled disposal of electronic and hazardous waste.
- Implementing supplier take-back or Extended Producer Responsibility (EPR) programmes, where available.
- Transporting electronic and hazardous waste using licensed transporters and disposing of or recycling such waste through approved facilities in accordance with national legislation.
- Maintaining records of waste collection, transportation and disposal or recycling.
- Establishing emergency procedures for damaged lithium batteries, including thermal runaway, fire and electrolyte leakage.
- Providing the Ministry of Energy and Mining (MEM) with recommendations and procedures for the long-term management of end-of-life SHS components following project handover.

Electric and Magnetic Fields (EMF)

The Contractor shall:

- Design, construct, and operate electricity infrastructure in accordance with applicable **ICNIRP** exposure guidelines and the World Bank Group Environmental, Health and Safety (EHS) Guidelines.
- Maintain statutory wayleaves, minimum safety clearances, and separation distances from occupied areas.
- Avoid routing transmission and distribution lines near schools, health facilities, and densely populated areas where technically and economically practicable.
- Minimize public exposure to electric and magnetic fields through appropriate engineering design and infrastructure siting.
- Conduct routine inspection and maintenance of substations, transformers, and distribution infrastructure to ensure continued compliance with safety requirements.

Electrocution Prevention

The Contractor shall:

- Install and maintain appropriate warning signs on substations, transformers, switchgear, and electricity poles.
- Restrict unauthorized public access through fencing, locked enclosures, and other appropriate physical barriers.
- Install anti-climbing devices on electricity poles and other structures where required.
- Maintain statutory electrical clearances for overhead lines and energized equipment.
- Ensure proper earthing and grounding of all electrical installations.
- Carry out routine inspection and preventive maintenance of electrical infrastructure.

- Repair damaged conductors, exposed live equipment, and other electrical hazards immediately upon identification.
- Establish and implement emergency response procedures for electrical incidents, including electrocution, fire, equipment failure, and accidental contact with energized infrastructure.

Community Risk Communication

The Contractor shall:

- Conduct community awareness and electrical safety campaigns before commissioning or energizing new electricity infrastructure.
- Educate communities on the dangers associated with overhead power lines, substations, transformers, and other energized equipment.
- Promote safe agricultural and other livelihood activities beneath or near power lines.
- Establish and publicize procedures for reporting damaged conductors, unsafe electrical installations, and other public safety hazards.
- Implement electrical safety awareness programmes in schools and other community institutions located within the project area.
- Display emergency contact numbers and reporting information at substations and other strategic locations.
- Ensure that all public safety information, warning signage, and awareness materials are communicated in local languages and in formats accessible to affected communities.

Materials Handling, Use and Storage Management Plan

Transportation

- The Contractor shall ensure that all suppliers and their delivery drivers are aware of procedures and restrictions (e.g. restricted areas);
- Material shall be appropriately secured to ensure safe passage between destinations during transportation;
- Loads shall have appropriate cover to prevent them spilling from the vehicle during transit;
- The Contractor shall be responsible for any clean-up resulting from the failure by his employees or suppliers to property secure transported materials.
- Transport vehicle e.g. dumper, book truck and any equipment as may be required for offloading heavy objects should have safety equipment like cones, first aid kit, fire extinguisher, etc.

Hazardous and Chemical Substances

The Contractor shall provide a method statement detailing the hazardous substances/material that are to be used during construction, as well as the storage, handling, and disposal procedures for each substance / material and emergency procedures in the event of misuse or spillage that might negatively affect the environment.
In general terms, the following activities shall be carried out:

- All hazardous material/substances (e.g. petrochemicals, oils, etc.) shall be stored on site only under controlled conditions;
- All hazardous material/substances shall be stored in a secured, appointed area that is fenced and has restricted entry. All storage shall take place using suitable containers to the approval of the Supervision Engineer/Consultant;
- Hazard signs indicating the nature of the stored materials shall be displayed on the storage facility or containment structure;
- Fuel shall be stored in a steel tank supplied and maintained by the fuel suppliers. The tank shall be located in a secure, demarcated area and should be contained by dykes than can hold 100% of the volume of the fuel stored.

Ecological Considerations

Protection of Natural Vegetation

The Contractor shall be responsible for informing all employees about the need to prevent any harmful effects on natural vegetation on or around the work sites as a result of their activities;

- Clearing of natural vegetation shall be kept to a minimum;
- The removal, damage and disturbance of natural vegetation without the written approval of the Supervision Engineer/Consultant are prohibited;
- The use of herbicides shall be approved by the Supervision Engineer/Consultant;
- Regularly check the work site boundaries to ensure that they are not exceeded and that no damage occurs to surrounding areas;
- Prohibit and prevent open fires during project works and provide temporary firefighting equipment in the work areas, particularly close to forest areas;
- Some tress might be of value for the communities and may not be cut, disturbed, damaged, destroyed and their products may not be possessed, collected, removed, transported, exported, donated, purchased or sold except under license granted a delegated authority.

Safety during Construction

Construction Site Safety

The Contractor's responsibilities include the protection of every person and nearby property from construction accidents. The Contractor shall be responsible for complying with all national and local safety requirements and any other measures necessary to avoid accidents, including the following:

- Provide personal protective equipment and clothing (goggles, gloves, respirators, dust masks, hard hats, steeltoed boots, etc.,) for construction workers and enforce their use;
- During heavy rains or emergencies of any kind, suspend all work;
- Brace electrical and mechanical equipment to withstand seismic events during the construction;
- Present details regarding maximum permissible vehicular speed on each section of road;
- Establish safe sight distance in both construction areas and construction camp sites;
- Place signs around the work areas to facilitate traffic movement, provide directions to various components of the works, and provide safety advice and warning. All signs shall be in English and local language and be constructed according to *Lesotho* specifications.

Measures on blasting (if applicable)

- The Contractor shall take necessary precautions to prevent damage to special features and the general environment;
- Environmental damage caused by blasting/drilling shall be repaired at the Contractor's expense to the satisfaction of the Supervision Engineer/Consultant;
- The Contractor shall notify any occupants / owners of surrounding land at least one week prior to blasting and shall address any concerns that they may have to the satisfaction of the Supervision Engineer/Consultant;
- For the transportation, storage, process, package on site, connect, blasting and the disposal of the blasting, the procedure shall be in accordance with the relevant *Lesotho* National Regulations.

Fire Control

- The Contractor shall submit a fire control and fire emergency method statement to the Supervision Engineer/Consultant for approval. The method statement shall detail the procedures to be followed in the event of fire;
- The contractor shall take all reasonable steps to avoid increasing the risk of fire through activities on site;
- The contractor shall ensure that basic fire-fighting equipment is available at all camp areas and facilities;
- The contractor shall appoint a fire officer who shall be responsible for ensuring immediate and appropriate action in the event of a fire;
- The contractor shall ensure that all site personnel are aware of the procedure to be followed in the event of a fire;
- Any work that requires the use of fire may only take place at a designated area approved by the Supervision Engineer/Consultant and must be supervised at all times. Fire-fighting equipment shall be available.

Traffic Management

- Estimate maximum concentration of traffic (number of vehicles/hour);
- Use selected routes to the project site, as agreed with the Supervision Engineer/Consultant, and appropriately sized vehicles suitable to the class of roads in the area, and restrict loads to prevent damage to local roads and bridges used for transportation purposes;
- Maintain adequate traffic control measures throughout the duration of the Contract and such measures shall be subject to prior approval of the Supervision Engineer/Consultant;
- Carefully and clearly mark pedestrian-safe access routes;
- If school children are in the vicinity, include traffic safety personnel to direct traffic during school hours;
- Maintain a supply for traffic signs (including paint, diesel, sign material, etc.), road marking, and guard rails to maintain pedestrian safety during construction.

Other Requirements

Contractors will be required to include in their Health and Safety Management Plans (HSMPs) safety measures in different activities including the following:

- Excavations

- Working from height
- Working in confined spaces
- Housekeeping
- Other general work (hot work, power tool safety, electrical work, tagging system, etc.)
- Permit-to-work system.

Protection of Cultural Heritage and Archaeological Resources

The Contractor shall take all necessary measures to identify, protect, and preserve cultural heritage — including archaeological, paleontological, historical, religious, and other culturally significant resources — that may be encountered or affected during the execution of civil works. These obligations apply regardless of whether such resources have been previously identified, legally protected, or disturbed.

1. Pre-Construction Awareness and Worker Training

Prior to the commencement of any excavation or earthworks activities, the Contractor shall ensure that all site workers and supervisors are trained to recognize and report potential archaeological or paleontological finds. Training shall include examples of the types of objects or features that may constitute cultural heritage , including artifacts, bones, structural remains, burial sites, and objects of religious or cultural significance , and the steps to follow upon discovery. Records of training attendance shall be maintained and made available to the Supervision Engineer/Consultant and PIU upon request.

2. Chance Finds Procedure

The Contractor shall implement a Chance Finds Procedure for the duration of the civil works. In the event that any archaeological, paleontological, or culturally significant material is uncovered during excavation or earthworks activities, the Contractor shall:

- Immediately cease all works in the vicinity of the find and secure the area to prevent further disturbance, unauthorized access, looting, or removal of materials;
- Fence off the area of the find to a safe perimeter and install appropriate signage to restrict access;
- Notify the Supervision Engineer/Consultant immediately, who shall in turn notify the PIU and the relevant national or local heritage authority — including the Provincial Culture Department or equivalent regulatory body — within 24 hours of the discovery;
- Refrain from removing, disturbing, or relocating any found objects or materials until formally authorized to do so by the relevant heritage authority and/or a qualified cultural heritage expert;
- Document the find through photographs, written descriptions, and GPS coordinates, and submit this record to the Supervision Engineer/Consultant and PIU.

3. Heritage Specialist Assessment

Upon notification, the relevant heritage authority shall determine whether a qualified heritage specialist is required to conduct an assessment of the find. Where a heritage specialist is appointed, the Contractor shall comply fully with the specialist's instructions and specifications regarding the management, preservation, documentation, and potential relocation of the find. Works in the affected area shall not

resume until the specialist has completed their assessment and the relevant authority has issued written authorization to proceed. The Contractor shall incorporate any resulting delay into the construction schedule without additional claim against the project, unless otherwise agreed.

4. Prohibition on Unauthorized Disturbance

The Contractor shall not, without a valid permit issued by the relevant heritage resources authority, destroy, damage, excavate, alter, deface, remove, or otherwise disturb any archaeological material, cultural heritage site, or artifact encountered during civil works. Any worker found to have deliberately removed, damaged, or misappropriated cultural heritage materials shall be subject to disciplinary action in accordance with the Contractor's Code of Conduct, and the matter shall be reported to the relevant national authority.

5. Looting and Illicit Trade Prevention

The Contractor shall explicitly prohibit workers from collecting, retaining, selling, or trading in any objects of archaeological, paleontological, or cultural significance discovered on the project site. This prohibition shall be included in the workers' Code of Conduct and reinforced during induction and regular toolbox talks. The Contractor shall report any suspected looting or illicit trade in cultural heritage materials to the Supervision Engineer/Consultant and PIU immediately.

6. Confidentiality

Where the location, characteristics, or nature of a cultural heritage find may be of a sensitive or sacred nature — particularly where such information is held in confidence by local or affected communities — the Contractor shall, in consultation with the PIU and relevant authorities, take appropriate measures to maintain confidentiality and protect the integrity of the heritage resource.

7. Reporting

The Contractor shall include a summary of all cultural heritage incidents, chance finds, and related actions taken in its regular environmental and social progress reports submitted to the Supervision Engineer/Consultant and PIU.

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Grievance Redress Mechanism (GRM)

In accordance with ESS2 (Labor and Working Conditions), the Contractor shall establish and maintain a dedicated grievance mechanism for all direct and contracted workers. This mechanism shall be separate from the Community Grievance Mechanism and shall be designed specifically to address workplace concerns including, but not limited to, working conditions, labor practices, occupational health and safety, discrimination, harassment, and sexual exploitation and abuse (SEA) or sexual harassment (SH).

Designation of Responsible Person The Contractor shall designate a GRM Focal Point at the site level who will be responsible for receiving, recording, and following up on all worker grievances. The name and contact details of the GRM Focal Point shall be prominently displayed at the worksite and included in worker induction materials.

Submission Channels Workers may submit grievances through multiple channels, including: in-person reporting to the GRM Focal Point or a supervisor other than their immediate supervisor; a suggestion/complaints box located at a visible and accessible location on the worksite; written submission; or by telephone. Where workers are unable to read or write, verbal complaints shall be accepted and recorded by the GRM Focal Point on their behalf.

Anonymous and Confidential Complaints Workers shall have the right to raise concerns anonymously. The GRM Focal Point shall ensure that all complaints, particularly those related to GBV, SEA/SH, and harassment, are handled with strict confidentiality. The identity of complainants shall not be disclosed without their express consent. For GBV and SEA/SH cases, a survivor-centered approach shall be applied. Such cases shall not be subject to standard mediation or negotiation processes. Workers raising GBV or SEA/SH concerns shall be referred to appropriate support services, including medical, psychosocial, and legal assistance, as available.

Non-Retaliation The Contractor shall ensure that no worker is subjected to any form of retaliation, intimidation, or disciplinary action as a result of raising a concern or grievance. Workers shall be explicitly informed of this protection at induction and throughout the duration of their employment.

Induction and Awareness All workers shall be informed of the grievance mechanism at the time of recruitment and during induction. The Contractor shall maintain signed induction records for each worker confirming that they have been briefed on the GRM process, their rights, and the non-retaliation policy.

Resolution Timeframes All grievances shall be acknowledged within two (2) working days of receipt. The Contractor shall endeavor to resolve grievances within fifteen (15) working days. Where resolution requires more time, the worker shall be informed of the delay and provided with an estimated timeline for resolution. Feedback on the outcome shall be communicated to the complainant upon resolution.

Recording and Reporting All grievances received shall be recorded in a grievance register, capturing the date of receipt, nature of the complaint, actions taken, and the outcome. The grievance register shall be made available to the supervision engineer/consultant and the Project Implementation Unit (PIU) upon request. A summary of grievances received and resolved shall be included in the Contractor's regular progress reports.

Escalation If a grievance cannot be resolved at the worksite level, the matter shall be referred to the PIU for further action. Where a dispute remains unresolved, workers may avail themselves of mechanisms provided under applicable national labor legislation, including referral to the relevant labor authority. The Contractor shall not obstruct or discourage workers from pursuing these avenues.

B. Community Grievance Mechanism (ESS10)

In accordance with ESS10 (Stakeholder Engagement and Information Disclosure), the Contractor shall support the implementation of the Project-level Community Grievance Mechanism (CGM) for project-

affected communities and other stakeholders who wish to raise concerns about the environmental and social impacts of the civil works. This mechanism shall be accessible, inclusive, culturally appropriate, and available at no cost to complainants.

Designation of Responsible Person A Community GRM Focal Point shall be designated and shall be responsible for receiving, recording, and tracking community complaints. The name, location, and contact details of the Focal Point shall be communicated to communities through the project's stakeholder engagement activities and displayed at visible points in the project area.

Submission Channels Community members may submit grievances through the following channels: in-person at the project office or designated community contact point; written submission via a complaints form; suggestion/complaints boxes placed in accessible locations within the project area; telephone or other electronic means where available. Anonymous complaints shall be accepted and addressed in line with ESS10 requirements.

Confidential and Anonymous Complaints The CGM shall allow for complaints to be raised both confidentially and anonymously. For GBV and SEA/SH related complaints from community members, strict confidentiality shall be maintained throughout the process. A survivor-centered approach shall be applied, and complainants shall be referred to appropriate support services. Such cases shall not be mediated through the standard grievance resolution process.

Resolution Timeframes All community complaints shall be acknowledged within five (5) working days of receipt. The Contractor and PIU shall endeavor to resolve complaints within twenty-one (21) working days. Where resolution is delayed, the complainant shall be informed in writing of the reasons for the delay and the expected timeline.

Recording and Reporting All community complaints shall be recorded in a complaints register maintained by the PIU. The register shall capture the date received, the nature of the complaint, the complainant's details (where provided), the response given, and the date of resolution. The supervision engineer/consultant and PIU shall be informed of all complaints upon receipt.

Escalation Where a community complaint cannot be resolved at the site or contractor level, the matter shall be escalated to the PIU and addressed through the Project-level GRM system. Complainants shall be informed of their right to seek further redress through administrative or judicial mechanisms at the national level, or through the World Bank's Grievance Redress Service, without prejudice or retaliation.

Feedback to Complainants The Contractor and PIU shall ensure that complainants are informed of the outcome or progress of their complaint at each stage of the resolution process. A publicly available record documenting responses to grievances shall be maintained in accordance with ESS10 requirements.

Community Relations

To enhance community relations the Contractor shall:

The Contractor shall proactively manage its relationship with local communities throughout the duration of the civil works, ensuring that communities are engaged, informed, and treated with respect. The following obligations shall apply:

1. Community Information and Communication

The Contractor shall inform local communities in a timely and accessible manner about construction schedules, work plans, anticipated disruptions, traffic detour routes, and any other activities likely to affect their daily lives. Information shall be communicated through appropriate channels, including postings at the project site, community notice boards, local government offices, bus stops, and directly to affected households and businesses. Where community members have limited literacy, the Contractor shall use verbal communication, community meetings, or other appropriate means to ensure information reaches all affected persons, including vulnerable and disadvantaged groups.

2. Night Work

Construction activities shall be limited during nighttime hours to minimize disturbance to nearby residents. Where night work is unavoidable, the Contractor shall schedule such activities carefully and provide adequate advance notice to affected communities — at a minimum, **forty-eight (48) hours** prior to commencement — so that community members can take appropriate measures. Night work shall comply with applicable national noise and environmental regulations.

3. Service Interruptions

The Contractor shall inform the local community as early as possible, and at a minimum **one (1) working day in advance**, of any planned interruption to essential services, including water supply, electricity, telecommunications, and public transport routes. Notifications shall be posted at the project site, at bus stops, and delivered directly to affected homes and businesses. Where interruptions are unavoidable and unplanned, the Contractor shall notify affected parties immediately and provide an estimated timeline for service restoration. The Contractor shall make every reasonable effort to minimize the duration of service interruptions and restore services promptly.

4. Protection and Restoration of Community Infrastructure

All community infrastructure affected during the course of civil works — including but not limited to roads, bridges, water supply systems, irrigation systems, power generators, boat landings, and footpaths — shall be protected to the greatest extent possible. Where damage or disruption to such infrastructure is unavoidable, the Contractor shall restore it to a condition equal to or better than its pre-construction state, to the satisfaction of the affected communities and subject to approval by the Supervision Engineer. The Contractor shall not wait until the end of the project to undertake restorations; repairs shall be carried out as soon as practicable following the occurrence of damage.

5. Local Roads

All local roads used, damaged, or bypassed by the Contractor during civil works shall be rehabilitated to their original condition or better upon completion of works in the relevant area. The Contractor shall maintain a record of the pre-construction condition of all roads within the project area of influence, using photographs and written assessments, to serve as a baseline for restoration verification.

6. Labor Influx Management

Where the project involves an influx of workers from outside the local area, the Contractor shall take measures to manage associated risks to community health, safety, and security. This includes enforcing a Code of Conduct for all workers, prohibiting unauthorized interactions with community members, and ensuring workers are aware of and comply with standards relating to prevention of sexual exploitation and abuse (SEA) and sexual harassment (SH).

7. Community Health and Safety

The Contractor shall take all necessary measures to protect the health and safety of communities in the vicinity of construction activities, in accordance with ESS4 (Community Health and Safety). This includes the installation and maintenance of appropriate signage, barriers, and lighting around construction sites; safe management of construction materials, waste, and hazardous substances; and ensuring that construction vehicles are operated safely on public roads.

8. Vulnerable and Disadvantaged Groups

The Contractor shall pay particular attention to the needs of vulnerable and disadvantaged community members — including women, children, the elderly, persons with disabilities, and low-income households — in the design and implementation of community engagement and communication activities. Engagement mechanisms shall be accessible and inclusive, including through the use of accessible formats, appropriate venues, and differentiated approaches where necessary.

9. Community Grievance Mechanism

The Contractor shall support the implementation of a Community Grievance Mechanism (CGM) to receive, process, and resolve complaints from community members arising from construction activities. The CGM shall be clearly communicated to communities at the outset of works and maintained throughout the construction period. All complaints shall be recorded and addressed in a timely manner, with feedback provided to complainants on the outcome of their concerns. Records of all complaints received and their resolution shall be maintained and made available for review by the Supervision Engineer/Consultant and PIU. Where a complaint cannot be resolved at the Contractor level, it shall be escalated to the PIU and addressed through the Project-level GRM system.

Health Services, HIV/AIDS and COVID-19 Education

The Contractor shall provide basic first aid services to the workers as well as emergency facilities for work related accidents including medical equipment suitable for treatment likely to be required prior to transportation to hospital. The Contractor shall be responsible for implementing a program for the detection screening of sexually transmitted diseases, especially with regard to HIV/AIDS, amongst laborers. The Contractor shall appoint an accident prevention officer at the Site, responsible for maintaining safety and protection against accidents. This person shall be qualified for this responsibility and shall have the authority to issue instructions and take protective measures to prevent accidents. Throughout the execution of the Works, the Contractor shall provide whatever is required by this person to exercise this responsibility and authority. The Contractor shall send, to the Supervision Engineer/Consultant details of any accident as soon as practicable after its occurrence. The Contractor shall maintain records and make reports concerning health, safety and welfare of persons, and damage to property, as the Engineer may reasonably require. The Contractor shall conduct an HIV-AIDS awareness program via an approved service provider, and shall undertake such other measures as are specified in this Contract to reduce the risk of the transfer of the HIV virus between and among the Contractor's Personnel and the local community, to promote early diagnosis and to assist affected individuals. The Contractor shall conduct information and education campaigns addressed to all the site staff and labor (including all the Contractor's employees, all Sub-Contractors and Consultants' employees, and all truck drivers and crew making deliveries to site for construction activities) and to the immediate local communities, concerning the risks, dangers and impact, and appropriate avoidance behaviour with respect to of Sexually Transmitted Diseases (STD)-or Sexually Transmitted Infections. The Contractor shall also provide awareness on COVID-19 as well as putting in place necessary precautionary and emergency facilities for COVID-19 as per the national guidelines.

Environmental Emergency Procedures

The possibility exists for environmental emergencies of an unforeseen nature to occur during the course of the construction and operational phases of the project;

- By definition, the nature of such emergencies cannot be known. Therefore, the Contractor shall respond on a case-by-case basis to such emergencies and shall initiate event-specific measures in terms of notifications and reactions;
- The Contractor shall prepare a report on the incident detailing the accident, clean-up actions taken, any pollution problems and suggested measures to prevent similar accidents from happening again in future. The incident report shall then be submitted to the Supervision Engineer/Consultant and PIU for review and records.

Environmental Training and Awareness

The Contractor should ensure that all concerned staff are aware of the relevant environmental requirements as stipulated in local environmental legislation and the Contract specifications. The Contractor is responsible for providing appropriate training to all staff. This should be tailored to suit their level of responsibility for environmental matters. The Contractor should also ensure that all site staff members are aware of the emergency response procedures. All staff should receive environmental induction training and managerial staff

should receive additional training. The training materials should be reviewed by the Supervision Engineer/Consultant. Additional refresher training may be provided and this should be scheduled following periodic internal review of requirements for the Project activity. Records should be maintained for staff environmental training. Records should be kept on site where possible for each project activity for easy access during site audits or enquiries. Environmental training records (e.g. attendance records for environmental awareness training, topics covered) should be kept.

Remedial Actions

Remedial actions which cannot be effectively carried out during construction should be carried out on completion of the works (and before issuance of the acceptance of completion of works):

- All affected areas should be landscaped and any necessary remedial works should be undertaken without delay, including grassing and reforestation;
- Water courses should be cleared of debris and drains and culverts checked for clear flow paths; and
- All sites should be cleaned of debris and all excess materials properly disposed;
- Borrow pits should be restored prior to formal contract closure.

Annex 7: Proposed Outline of ESHS Project Implementation Closure Report

1. Cover Page
2. Abbreviations and Acronyms
3. Project Background Info and Introduction, Project Components, PDO, including baseline situation of sanitation before and after (with selected pictorial presentation).
4. Applicable E&S Standards and Instruments Prepared by the Client and those prepared by the Contractors, including the timing. Please indicate the challenges encountered and how these were overcome.
5. Key factors that affected implementation and outcome (Key factors during preparation, and Key Factors during implementation).
6. ESHS Performance, Compliance Issues and Risks to development outcomes
    a. ESHS Staffing – right from start up to the end of implementation. Turnover, if any, with reasons and corrective measures
    b. Statutory permits obtained, summary of compliance to permit conditions (tabulate each), notices of non-compliance issued by the regulators.
    c. Summary of Serious E&S Incidents, Corrective Actions implemented, Total number of incidents recorded, resolved and Outstanding (if any, with recommended way-forward).
    d. Summary of Major Workers' Grievances, Total number recorded, resolved and Outstanding (if any, with recommended way-forward).
    e. Summary of Major Community Grievances, Total number recorded, resolved and Outstanding (if any, with recommended way-forward).
    f. E&S due diligence of procurement of construction materials (if applicable).
    g. O&M implementation arrangements during the operation phase, including O&M-ESMP.
    h. End-of-life asset management, PV recycling and Battery disposal records.
7. Lessons Learned and Recommendations - Based on all of the above, list key lessons that can be drawn from the preparation and implementation experience and which might benefit other similar projects. Start by discussing key factors during preparation and implementation that contributed to the project's achievements or non-achievements.
8. Appendix – Supporting Documents

Annex 8: Terms of Reference (TOR) for The Development of Resettlement Plans (RP) of Transmission and Distribution Lines in Urban and Peri-Urban Areas

ASCENT MPA
Terms of Reference (TOR) for The Development of Resettlement Plans (RP) of Transmission and Distribution Lines in Urban and Peri-Urban Areas

I. Context:

The Accelerating Sustainable and Clean Energy Access Transformation (ASCENT) aims to accelerate access to sustainable and clean energy in Eastern and Southern Africa (AFE). The project will establish an ASCENT Regional Acceleration Platform, managed by the Common Market for Eastern and Southern Africa (COMESA), which will drive implementation of Pillar 1 from the regional level, supported by additional actions and activities in participating countries. The Acceleration Platform will support both Phase 1 countries (for implementation of their projects), and to assist those countries still to enter the Multi Programmatic Approach (MPA) to prepare. In addition, the Platform will provide support to Distributed Renewable Energy (DRE) and clean cooking companies active in the region to accelerate their efforts and mobilize capital. Specifically, the Acceleration Platform will (i) support AFE countries in their adoption of digital platforms and tools facilitating management, financing, verification and monitoring of their energy access efforts, (ii) enact a digital monitoring, reporting and verification (D-MRV) platform at the regional level allowing aggregation from countries and the private sector and enabling the generation of carbon revenues and/or other climate/impact-related result-based financing; (iii) establish a Project Preparation Facility providing market intelligence and technical assistance both to Government agencies and the private sector, including for identification and enabling of cross-border electrification solutions; (iv) support planning processes and adoption of best practices and harmonization of policy and regulatory frameworks; (v) deliver energy access data and statistics, facilitating knowledge exchange and driving skill development, and (vi) provide support for monitoring and evaluation of the overall ASCENT program.

II. Project Objectives and Description:

The objective of the ASCENT MPA in [insert name of formal sovereign borrower name] is [Project Development Objective, from Project Concept Note (PCN), Project Appraisal Document (PAD), or other available documentation].

[Project description, including identification of components, from PCN, PAD or elsewhere]

[Identification of components that may require physical displacement or land acquisition for project use, including description of likely scale of land required for use. If feasible, a description of likely resettlement-related impacts and an estimated number of persons likely to be affected by them is also included.]

III. Objectives of the TORs:

These Terms of Reference (ToR) are applicable to development sub projects involving transmission and distribution lines of the Accelerating Sustainable and Clean Energy Access Transformation (ASCENT) Program. The ToR outline the aspects of an Environmental and Social Impact Assessment (ESIA) which when thoroughly addressed will provide a comprehensive evaluation of the sites, in terms of predicted environmental impacts, needed mitigation strategies, potentially viable alternatives to the development proposed and all related legislation.

IV. Objectives of the RP

The aim of the RP is to identify and assess the human impact of the planned energy projects in [insert location of works] and to prepare an Action Plan to be implemented in coordination with the civil works in line with World Bank ES Standards and Government of [insert name of formal sovereign borrower name] policies and laws. The Resettlement Plan will identify the project affected persons (PAPs), engage them in participatory discussions regarding the plan and formulating a plan of action to adequately compensate people for their losses.

V. Scope of Work

The consultant will prepare the Resettlement Action Plan (RAP) on the basis of the most recent and accurate information on the: (i) selected projects and the impacts on displaced persons and other adversely affected groups; and (ii) legal issues affecting resettlement. The RP must be based on the principles, planning procedures and implementation arrangements established in the project RPF. Specifically, the consultant will:

- Prepare a RP that is consistent in policy and context to the laws, regulations, and procedures adopted by the Government of Lesotho and the World Bank's ESS5 covering displacement, resettlement, and livelihood restoration;
- Conduct consultations with identified project affected persons (PAPs), based on a census of the affected sites;
- Complete a baseline socio-economic survey of PAPs and host communities.
- Establish committees as appropriate who will be part of RP implementation, valuation and compensation approaches;
- Develop in a participatory manner the proposed grievance mechanism to be covered in the RP; and

VI. Contents of a RAP

a) Description of the investment/project under ASCENT, project area and area of influence: Information presented in this section will include description of the project area showing location, sitting of plants, structures, lands, affected dwellings etc; ASCENT objectives and strategy; the investment/project objectives; policy and legal framework; timeframe; geographical coverage; project strategic context and rationale.

b) Potential Impacts: Description of investment/project components or activities which would trigger resettlement; the cultural, social, economic and environmental impacts envisioned; and the alternatives considered to avoid or minimize resettlement.

c) Review of relevant laws and regulations pertaining to acquisition, compensation, and other assistance to displaced persons, and identification of gap-filling measures needed to achieve ESS5 requirements.

This will be the same as the RPF

d) Socio-economic Studies: These will include the following: Population census of the project area including a description of production systems, household organization, baseline information on livelihoods and standards of living of the displaced population (and host communities)
   - An inventory of assets of displaced households; the magnitude of the expected loss (total or partial for individual or group assets); and extent of physical and economic displacement;
   - Information on disadvantaged/vulnerable groups or persons for whom special provisions may have to be made. Such groups and persons include those living below the poverty line, the landless, the elderly, women, children, indigenous people, ethnic minorities and displaced persons who are not protected through national land compensation legislation. Resettlement involving vulnerable/disadvantaged groups/persons should be preceded by a social preparation phase to build their capacity to deal with issues of resettlement;
   - Provisions for updating information on the livelihood of displaced people and their standards of living at regular intervals;
   - Description of land tenure systems including common property and non-title-based land ownership, or allocation recognized locally and related issues;
   - Public infrastructure and social services that will be affected; and
   - Social and cultural characteristics of displaced and host communities. Appropriate patterns of social organization should be promoted, and the existing social and cultural institutions of resettled persons and their host should be retained, supported and used to the extent possible.

e) Description of tenure arrangements, including collective, communal, or customary use or ownership claims
f) Eligibility: Definition of displaced persons and criteria for compensation and other resettlement assistance including relevant cut off dates. The assurance should be given that lack of legal title should not bar affected persons from being compensated.
g) Valuation and Compensation for losses
   - The methodology to be employed for valuing losses in order to determine their replacement cost. This is a description of the levels of compensation under the local laws and supplementary measures aimed at determining replacement of cost for lost assets.
   - A description of the packages of compensation and other resettlement measures that will ensure that each category of eligible displaced persons get their fair compensation. In conformity with the World Bank ESS5, displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them to pre-displacement levels or to levels prevailing prior to the start of project implementation whichever is higher.
h) Identification of alternative sites, selection of resettlement site(s), site preparation and relocation

- Institutional and technical arrangements for identifying and preparing relocation sites for which a combination of productive potential, location advantages and other factors, should be at least comparable to ancillary resources.
- Procedures for physical relocation including timetable for site preparation and land title transfer and description of resettlements sites.
- Measures to prevent the influx of ineligible people (encroachers and squatters) into the selected sites such as the identification and recording of affected people at the project identification stages.
- Legal arrangements for regularizing tenure and transferring titles to resettled persons.

i) Description of programs for improvement and restoration of livelihoods and standards of living of the affected people. The programs aimed at improving and restoring the livelihoods and standards of living of the affected people should in line with the Resettlement Policy framework

j) Community Participation:

This sub-section includes:

- Description of the consultation and participation of the displaced and host communities in design and implementation of resettlement activities including a summary of the views expressed and how these views were incorporated during the preparation of the resettlement plan.
- A review of the resettlement alternatives identified, and choices made by the displaced people, including choices related to forms of compensation and resettlement assistance, relocating as individual families or as part of pre-existing families and to retaining access to cultural property (e.g. cemeteries, places of worship, etc.)
- Description of procedures for grievances redress by affected people throughout the planning and implementation period.
- Description of measures aimed at sensitizing and educating the affected and host communities on matters of resettlement.

k) Integration with host communities

- Arrangements for consultation with host communities and procedures for prompt payment to the host for land and other assets should be provided to the resettled persons.
- Arrangements for resolving conflicts which may arise between the resettled persons.
- Arrangements for resolving conflicts which may arise between the resettled persons and host communities should be put in place.
- Appropriate measures to augment public services such as education, water, health in host communities in order to avoid disparities between resettled persons and the host communities should be put in place.
- Plan for resettled persons should be integrated economically and socially into host communities so that adverse impacts to host communities are minimized.

l) Shelter, infrastructure and social services

This sub-section provides details regarding plans to provide or finance housing, infrastructure (e.g. roads, water supply, etc.) and social services (schools, health services) and plans aimed at ensuring that services and any necessary site development to host.

m) Institutional arrangement and responsibilities
This will be the same as the RPF

n) Implementation Schedules
An implementation schedule covering all resettlement activities from project preparation through implementation to monitoring and evaluation. The schedule should indicate dates for achievement of expected benefits to resettled persons and hosts and dates for terminating the various forms of assistance.

o) Consultation and disclosure arrangements
A description of the consultation to be carried out before, during, and after the resettlement process. A summary of any past consultation sessions can be included.

p) Grievance mechanism
A description of the grievance mechanism for the involuntary resettlement process in relation to the project wide GRM developed in the Stakeholder Engagement Plan.

q) Costs and Budget
The breakdown of cost estimates for all resettlement activities including allowances for inflation and other contingencies, timetable for expenditures, sources of funds and arrangements for timely disbursement of funds.

r) Monitoring and evaluation
Under this sub-section, information regarding arrangements for monitoring of resettlement activities by the implementing agency is presented. When appropriate, independent monitors will supplement the role of the implementing agency to ensure objectivity and completeness of information. Performance indicators for measuring inputs, outputs and outcomes of resettlement activities and for evaluating impacts for a reasonable period of time after the resettlement activities have been completed are also presented. (Similar to the RPF)

For projects causing physical displacement, the RP should include planning measures relating to the following, as relevant for project circumstances:

a) Description of relocation arrangements, including options available to displaced persons, and including transitional support for moving or other expenses
b) Description of resettlement site selection, site preparation, and measures to mitigate any impacts on host communities or physical environment, including environmental protection and management
c) Measures to improve living standards and otherwise address particular needs of relocating poor or vulnerable households, including measures to ensure that replacement housing is

at least consistent with minimum community standards and is provided with security of tenure

d) Description of project design measures to improve living standards, access to or functioning of community services or facilities, or for providing other project-related benefits
e) Any measures necessary to address impacts of resettlement on host communities.

For projects causing significant economic displacement,the RP describes (as relevant):

a) The scale and scope of likely livelihoods-related impacts, including agricultural production for consumption or market, all forms of commercial activity, and natural resource use for livelihoods purposes
b) Livelihoods assistance options (for example, employment, training, small business support, assistance in providing replacement land of equivalent productive value, other) available to persons losing agricultural land or access to resources
c) Assistance measures available to commercial enterprises (and workers) affected by loss of assets or business opportunities directly related to land acquisition or project construction
d) Project measures to promote improvement of productivity or incomes among displaced persons or communities.

VII. Coordination

The Consultant will closely liaise with the Environmental and Social Specialists at the PIU. The PIU will facilitate initial contacts with relevant stakeholders, including the World Bank. Liaison with the ES and technical team at the PIU is particularly important to ensure that SEA/SH mitigation measures are incorporated into the relevant ES instruments, bidding documents, and project programs.

VIII. Timetable and Outputs

The expected output is a report that provides detailed information on the scope of adverse social impacts and mitigation measures (resettlement/rehabilitation) actions to be taken by the project. The Consultant is expected to submit to the PIU the following:

- Deliverable 1: Inception report describing the procedures and timetable for completion of the RP preparation process by first week after contract signing;
- Deliverable 2: Report summarizing the preliminary results of the baseline socio-economic survey and PAPs census (by six weeks after contract signing);
- Deliverable 3: Report summarizing the consultations with PAPs and other key stakeholders (by two months after contract signing); and
- Deliverable 4: Draft RP report (by nine weeks after contract signing).
- Deliverable 5: Final RP report.

The main findings of the draft RP will be shared in consultation forum with PAPs and communities and the final report will be reviewed and cleared by the World Bank and disclosed publicly by [insert name of formal sovereign borrower name] and the World Bank´s website.

IX. Qualifications and Experience

The Consultant team should have a minimum of five (5) years working experience in social assessment, involuntary resettlement, or other relevant fields. It is desirable that the consultant team have experience of working with international development institutions like the World Bank. Knowledge about World Bank ESF and experience in similar operations is vital. The consultant's team shall be composed of professionals with experience in socio-economic analysis, spatial/ urban, surveying and valuation.

Annex 9: Terms of Reference (TORs) for a Sexual Exploitation, Abuse, and Sexual Harassment (SEA/SH) Action Plan for Projects Consisting of Transmission and Distribution Lines in Urban and Peri-Urban Areas

Accelerating Sustainable and Clean Energy Access Transformation (ASCENT)

Terms of Reference (TORs) for a Sexual Exploitation, Abuse, and Sexual Harassment (SEA/SH) Action Plan for Projects Consisting of Transmission and Distribution Lines in Urban and Peri-Urban Areas

I. Context

The Accelerating Sustainable and Clean Energy Access Transformation (ASCENT) aims to accelerate access to sustainable and clean energy in Eastern and Southern Africa (AFE). The project will establish an ASCENT Regional Acceleration Platform, managed by the Common Market for Eastern and Southern Africa (COMESA), which will drive implementation of Pillar 1 from the regional level, supported by additional actions and activities in participating countries. The Acceleration Platform will support both Phase 1 countries (for implementation of their projects), and to assist those countries still to enter the Multi Programmatic Approach (MPA) to prepare. In addition, the Platform will provide support to Distributed Renewable Energy (DRE) and clean cooking companies active in the region to accelerate their efforts and mobilize capital. Specifically, the Acceleration Platform will (i) support AFE countries in their adoption of digital platforms and tools facilitating management, financing, verification and monitoring of their energy access efforts, (ii) enact a digital monitoring, reporting and verification (D-MRV) platform at the regional level allowing aggregation from countries and the private sector and enabling the generation of carbon revenues and/or other climate/impact-related result-based financing; (iii) establish a Project Preparation Facility providing market intelligence and technical assistance both to Government agencies and the private sector, including for identification and enabling of cross-border electrification solutions; (iv) support planning processes and adoption of best practices and harmonization of policy and regulatory frameworks; (v) deliver energy access data and statistics, facilitating knowledge exchange and driving skill development, and (vi) provide support for monitoring and evaluation of the overall ASCENT program.

II. Project Objectives and Description

The objective of the ASCENT MPA in [insert name of formal sovereign borrower name] is [Project Development Objective, from Project Concept Note (PCN), Project Appraisal Document (PAD), or other available documentation].

[Include project description, including identification of components, from PCN, PAD or elsewhere]

III. Objectives of the TORs

These Terms of Reference (ToR) are applicable to development sub projects involving transmission and distribution lines of the Accelerating Sustainable and Clean Energy Access Transformation (ASCENT) Program. The ToR outline the tasks to carry out a Sexual Exploitation, Abuse, and Sexual Harassment (SEA/SH) Action Plan for Projects Consisting of Transmission and Distribution Lines in Urban and Peri-Urban Areas.

IV. Scope of the SEA/SH Action Plan

The SEA/SH Action Plan for projects with civil works such as Transmission and Distribution Lines in Urban and Peri-Urban Areas elaborates on a range of potential mitigation measures for works that were assessed to be at Substantial/High SEA/SH risk. To develop an SEA/SH Action Plan, the consultant carry out the following key tasks:

i. Carry out an assessment of the project's underlying SEA/SH risks as part of the project social assessment and (if possible) ensure SEA/SH risks are adequately reflected in all E&S project documentation;
ii. Carry out consultations with women and girls and other groups at risks, including on SEA/SH, as part of the project SEP to keep them informed about the project, get their feedback on project design and safeguard issues, knowledge and efficacy of mitigation measures;
iii. Based on the assessment of SEA/SH risks, develop SEA/SH Action Plan, with key indicators, estimated budget, timelines for implementation and monitoring indicators
iv. Develop an Accountability and Response Framework that captures the steps for handling, reviewing, verifying and investigating allegations, including timeframe, and responsibilities for each stage of the process, reporting requirements, and specific provisions for child survivors.
v. Establish mandatorily enforceable codes of conduct for each category of project workers;
vi. Train project workers on expected behaviors and prohibitions related to SEA/SH, GM and support services, ways to file a complaint, etc.;
vii. Map GBV service providers in all areas of project implementation;
viii. Establish SEA/SH pathways in GMs (community-based and for workers) and capacity to safely and ethically receive and respond to SEA/SH cases;

The Action Plan can follow the templates that are found in Annex to these ToRs, which is aligned with the recommendations of the ESF Good Practice Note on Addressing SEA/SH in IPF Involving Major Civil Works (Civil Works GPN). The templates correspond to Moderate/Substantial and High SEA/SH risk categories. The consultant will use the template that corresponds to the risk category of the project at hand.

To strengthen monitoring reporting, the Action Plan template integrates recommended standardized indicators. The actions described in the template below should provide a starting point to consider appropriate mitigation of SEA/SH risks and associated budget and responsibility constraints. Decisions about necessary actions should be informed by the project context and design and SEA/SH risk.

V. Coordination

The Consultant will closely liaise with the Environmental and Social Specialists at the Project PIU. The PIU will facilitate initial contacts with relevant stakeholders, including the World Bank. Liaison with the ES and technical team at the PIU is particularly important to ensure that SEA/SH mitigation measures are incorporated into the relevant ES instruments, bidding documents, and project programs.

VI. Timetable and Outputs

The consultant will be responsible for the timeliness, content and form of the contracted reports, products and activities that are described as follows, including the coordination of any team that is implicated:

- Deliverable 1: An inception report describing the procedures and timetable for completion of the SEA/SH Action Plan preparation process by first week after contract signing;
- Deliverable 2: A report summarizing the consultations with key stakeholders (by two months after contract signing); and
- Deliverable 3: Draft SEA/SH Action Plant (by three months after contract signing).

The main findings of the draft SEA/SH Action Plan will be shared in consultation forum with key stakeholders and the final report will be reviewed and cleared by the World Bank and disclosed publicly by [insert name of formal sovereign borrower name] and the World Bank´s website.

VII. Qualifications and Experience

The Consultant team should have a minimum of five (5) years working experience in the gender and development field. It is desirable that the consultant team have experience with working with

international development institutions like the World Bank. Knowledge about World Bank ESF and experience in similar operation is vital.

ANNEX 9.1: SEA/SH Action Plan sample – Substantial SEA/SH risk

Project Name : **Project P code:** **Country :**

Date of SEA/SH Action Plan : **SEA/SH risk level : Moderate/Substantial**

Brief description of main drivers of risks, including component-specific risks:

Mitigation actions	Responsible for action (Clearly indicate lead agency/ies), and contributing party/ies)	Timeline for action	Budget	Indicators	Responsible for monitoring and reporting (Clearly indicate lead agency/ies), and contributing party/ies)
RISK ASSESSMENT					
• **Carry out an assessment of the project's underlying SEA/SH risks as part of the project social assessment and ensure SEA/SH risks are adequately reflected in all E&S project documentation** (i.e., Project ESMF/P, C-ESMP, LMP, SEP, etc.). *Sample intermediary steps to implement this mitigation action are listed here to facilitate planning and budgeting and may include:* o Integrate assessment of SEA/SH risks in TOR of	IA, SEA/SH assessment consultant			• SEA/SH risks integrated in E&S assessment report (Y/N)	IA, SEA/SH assessment consultant

social assessment (or of stand-alone SEA/SH assessment), including mapping of GBV service providers (see below), assessment of existing behavioral standards on SEA/SH, mandatory reporting requirements, etc. o Train teams carrying out assessment as needed, including on safety and ethical considerations related to GBV data collection o Carry out assessment o Plan for and update assessment as part of stakeholder engagement during project implementation					
• **Carry out consultations with women and girls and other groups at risks,** including on SEA/SH, as part of the project SEP to keep them informed about the project, get their feedback on project design and safeguard issues, knowledge and efficacy of mitigation measures, etc.[1]	IA, consultant mobilized to carry out the SEP			• # women and girls involved in sex-specific consultations/total number of community members consulted with (SEP) or # of focus groups carried out with	IA, consultant mobilized to carry out the SEP

o Identify groups particularly at risks of SEA/SH as part of the SEP o Establish methodology and approaches to consult with the most vulnerable o Carry out consultations in a safe and enabling manner, with facilitator of the same sex and with the right expertise and culturally sensitive approaches				women only (SEP) • # of CSOs advocating for women and girls, children, LGBTQI, disability rights consulted	
• **Develop SEA/SH Action Plan** o Based on the assessment of SEA/SH risks, develop SEA/SH Action Plan, with key indicators, estimated budget, timelines for implementation and monitoring indicators and reflect it in the project ESMF/P o Integrate responsibilities and expectations related to SEA/SH in all contracts, including those related to E&S and incident reporting and in the C-ESMP o Define timelines and processes to update the SEA/SH actions plans throughout	IA, SEA/SH assessment consultant			• An SEA/SH action plan has been developed (Y/N) • Action plan is regularly updated (Y/N)	IA

implementation, based on emerging risks and the evolution of the project o Update regularly and as needed the SEA/SH action plan					
BEHAVIORAL STANDARDS					
• **Develop an Accountability and Response Framework** o Document in one place the steps for handling, reviewing, verifying and investigating allegations, including timeframe, and responsibilities for each stage of the process, reporting requirements, and specific provisions for child survivors. o Ensure coherence with GM and referral protocols/GBV service mapping o Reflect in the Ops Manual o Ensure that accountability and response framework is reflected as needed in bidding documents, offers and contracts o Update the accountability and response framework based on lessons learned	IA			• Project has a SEA/SH Prevention and Response Action Plan (Y/N) • Project has an Accountability and Response Framework as part of the ESMP (Y/N)	IA

from incident response and other feedbacks.					
Establish mandatorily enforceable codes of conduct for each category of project workers o Develop proportional project-specific codes of conduct o Integrate requirements on CoC in all contracts (see dedicated action) o Roll-out codes of conduct to ensure they are in place before workers start project-related activities(i.e. have workers sign them individually or as part of training, ensuring that they are aware/trained and that CoC are enforceable)	IA, all project consultants and contractors			• Behavioral standards or CoC which addresses SEA/SH is in place (Y/N) • # training sessions carried out for project actors about Behavioral standards or CoC	IA, supervising engineer, all project consultants and contractors
• **Train project workers on expected behaviors and prohibitions related to SEA/SH, GM and support services, ways to file a complaint, etc.** o Identify proportional training/sensitization solutions for each category of project workers o Ensure that requirement and expectations on training are included in	All project consultants and contractors, GBV service provider if relevant			• # of project actors trained on CoC / total # of project actors active in reporting period • # training session carried out for project actors • GM coordinator has been trained	Supervising engineer, all project consultants and contractors, GBV service providers (if relevant)

contracts with consultants/contractors o Mobilize expertise to ensure that project related training is of quality, rights-centered, etc. - integrate training of workers in responsibilities of GBV actor to be recruited for TA o Training all project workers before they start activities (solutions proportional to risk level) o Conduct refresher- or on-the-job training/awareness as part of workers and civil servants ongoing training				in the survivor centered approach (Y/N)	
GRIEVANCE MECHANISM AND INCIDENT RESPONSE					
• **Map GBV service providers in all areas of project implementation** o Consult what mapping exists in country o Develop TOR and methodology for mapping, including quality assessment (include in TOR for SEA/SH/social assessment) o Carry out mapping	IA, SEA/SH assessment consultant			• Localized referral protocols available for all areas of project implementation (Y/N, disaggregated by region)	IA

o Integrate gap filling GBV service provision in the TOR of GBV service provider as needed o Develop localized referral protocols, to be integrated in the project Accountability and Response Framework. o Update referral pathways regularly, as needed					
• **Establish SEA/SH pathways in GMs (community-based and for workers) and capacity to safely and ethically receive and respond to SEA/SH cases** o Develop survivor-centered SOPs to receive and response to SEA/SH complaints o Develop intake forms, referral protocols, information sharing tools, etc. o Develop training plans for all stakeholders involved in management of SEA/SH complaints o Carry out GM training plans o Mobilize expertise as needed to provide TA to operationalization and	IA			• SEA/SH sensitive SOPs in place as part of broader GM SOPs • # of SEA/SH cases received by the project, (disaggregated by age, sex, form of violence reported, status/open/closed, etc.);	IA

training related to SEA/SH GM (include in TOR of GBV actor, if relevant). o Roll out SEA/SH sensitive GM o Reflect key elements of the GM in the Accountability and Response Framework and Ops Manual					
• **Respond to SEA/SH incidents reported to the project in line with a survivor-centered approach** o Offer referral to GBV services based on mapping and referral protocols o Verify and take action, prioritizing survivors' rights and wishes o Identify and implement corrective actions	IA, GBV service providers (if relevant), all project consultants and contractors			% of SEA/SH cases where survivors were connected to services (disaggregated by services)	IA
• **Raise community awareness on SEA/SH, standards of conduct, GM and GBV services available:** o Develop plan for mobilization, depending on project timelines and risk level o Integrate responsibility in TOR of actor raising awareness on broader GM	IA, GBV service provider			• # of community members targeted by awareness raising (disaggregated by sex) •	IA

or of GBV actor to be mobilized for SEA/SH TA o Develop and review awareness materials, messages, IEC, etc. regularly, based on community's feedbacks, consultations and evolving understanding of risks					
MOBILIZATION OF TECHNICAL EXPERTISE					
• **Mobilize GBV expert in the PIU** o Reflect requirement for GBV specialist in PIU in ESCP and allocate funding o Plan to mobilize adequate expertise during preparation o Develop TOR and recruit	IA			• The IA has a GBV specialist in place (Y/N)	IA
• **Clearly define the SEA/SH requirements and expectations, including on CoC, in bid documents and contracts:** o Include requirements on CoC, workers training, SEA/SH reporting, etc. in the bidding documents, based on project action plan and risk level (key elements already on ICB SPD).	IA (social specialists and procurement)			• SEA/SH requirements and expectations are clearly defined in the bid documents (Y/N) • SEA/SH requirements and expectations are clearly defined in the	IA

o Explain SEA/SH requirements to bidders. o Assess SEA/SH risk mitigation proposal as part of bidding evaluation o SEA/SH requirements reflected in C-ESMP and part of offer evaluation, including of contractor's Accountability and Response Framework. o Requirements on SEA/SH in contracts of consultants with escalation clauses for non-compliance. o SEA/SH costs clearly reflected in contracts (i.e. line items in bill of quantities for clearly defined SEA/SH activities (such as preparation of relevant plans, or specified provisional sums for activities that cannot be defined in advance, such as for implementation of relevant plan/s, etc.)				procurement documents (Y/N)	
• **For supervision, have a social specialist in the supervising engineer's team with GBV specific skills to supervise issues related to SEA/SH.**	IA, supervising engineer			• Supervising engineer with SEA/SH responsibilities and expertise in place (Y/N)	IA

o Include responsibilities around SEA/SH monitoring in TOR of supervising engineers social specialist (e.g. supervise signing of CoCs, training of workers, and compliance with other commitment by contractor)					
Action to be considered • **Ensure oversight through an independent Third-Party Monitoring (TPM)** organization/Independent Verification Agent (IVA) with experienced GBV staff to monitor implementation of the SEA/SH Action Plan o Include responsibilities around SEA/SH monitoring in TOR of TPM o Mobilize TPM o Integrate SEA/SH monitoring in TPM reports	IA, TPM			· TPM with SEA/SH responsibilities and expertise in place (Y/N)	IA
· **Recruit GBV service provider(s)** to facilitate access to timely, safe and confidential services for survivors disclosing incidents to the projects in areas where these services are otherwise unavailable. GBV service	IA			· # of survivors that were provided GBV services funded by the project (disaggregates by type of	IA

provider(s)/consultant(s) may also provide technical assistance with the implementation of some of the above mentioned SEA/SH risk mitigation measures at the community level (i.e. workers training, awareness raising, GM operationalization, etc.) o Enable funding o Develop TOR o Recruit o Supervise contract and review reports o Enable coordination with all different project stakeholders				service, project link (Y/N), etc.) · # of referrals to GBV services · GBV service provider (consultant) in place (Y/N)	
· **Train all project stakeholders on project approach to SEA/SH risk management**	IA				
M&E					
• **Undertake regular M&E of progress on SEA/SH prevention and response activities,** including reassessment of risks as appropriate. o Integrate advancement of SEA/SH action plan implementation in E&S reporting (all stakeholders) and reports on ESCP implementation (IA)	IA, contractors, consultants (including GBV actor), supervising engineer.			• Protocol for M&E of the project is in place (Y/N) • E&S instruments are updated throughout the life span of the project (Y/N)	IA

o Update the ESCP and/or the relevant E&S management tools to incorporate necessary corrective and preventive actions.					

[1] This activity can put women and girls at risk, when not planned and implemented accordingly. It is imperative that consultations are prepared and rolled out in line with basic safeguarding measures, enable referrals of participants disclosing experiences of violence, that stakeholders responsible for data collection are trained and experienced in facilitated such consultations and that no individual data on GBV experiences is collected. For further information, consult Annex 2 of the SEA/SH GPN for civil works.

ANNEX 9.2: SEA/SH Action Plan sample – IPF with Civil Works, high SEA/SH risk

Project Name : **Project P code:** **Country :**
Date of SEA/SH Action Plan : **SEA/SH risk level : High**

Brief description of main drivers of risks, including component-specific risks:

Mitigation actions	Responsible for action (Clearly indicate lead agency/ies), and contributing party/ies)	Timeline for action	Budget	Indicators	Responsible for monitoring and reporting (Clearly indicate lead agency/ies), and contributing party/ies)
RISK ASSESSMENT					
• **Carry out an assessment of the project's underlying SEA/SH risks as part of the project social assessment and ensure SEA/SH risks are adequately reflected in all E&S project documentation** (i.e., Project ESMF/P, C-ESMP, LMP, SEP, etc.). *Sample intermediary steps to implement this mitigation action are listed here to facilitate planning and budgeting and may include:* o Integrate assessment of SEA/SH risks in TOR of social assessment (or of stand-alone SEA/SH	IA, SEA/SH assessment consultant			• SEA/SH risks integrated in E&S assessment report (Y/N)	IA, SEA/SH assessment consultant

assessment), including mapping of GBV service providers (see below), assessment of existing behavioral standards on SEA/SH, mandatory reporting requirements, etc. o Train teams carrying out assessment as needed, including on safety and ethical considerations related to GBV data collection o Carry out assessment o Plan for and update assessment as part of stakeholder engagement during project implementation					
• **Carry out consultations with women and girls and other groups at risks,** including on SEA/SH, as part of the project SEP to keep them informed about the project, get their feedback on project design and safeguard issues, knowledge and efficacy of mitigation measures, etc.[3]	IA, consultant mobilized to carry out the SEP			• # women and girls involved in sex-specific consultations/total number of community members consulted with (SEP) or	IA, consultant mobilized to carry out the SEP

[3] This activity can put women and girls at risk, when not planned and implemented accordingly. It is imperative that consultations are prepared and rolled out in line with basic safeguarding measures, enable referrals of participants disclosing experiences of violence, that stakeholders responsible for data collection are trained and experienced in facilitated such consultations and that no individual data on GBV experiences is collected. For further information, consult Annex 2 of the SEA/SH GPN for civil works.

○ Identify groups particularly at risks of SEA/SH as part of the SEP ○ Establish methodology and approaches to consult with the most vulnerable ○ Carry out consultations in a safe and enabling manner, with facilitator of the same sex and with the right expertise and culturally sensitive approaches				# of focus groups carried out with women only (SEP) • # of CSOs advocating for women and girls, children, LGBTQI, disability rights consulted	
• **Develop SEA/SH Action Plan** ○ Based on the assessment of SEA/SH risks, develop SEA/SH Action Plan, with key indicators, estimated budget, timelines for implementation and monitoring indicators and reflect it in the project ESMF/P ○ Integrate responsibilities and expectations related to SEA/SH in all contracts, including those related to E&S and incident reporting and in the C-ESMP ○ Define timelines and processes to update the SEA/SH actions plans throughout implementation,	IA, SEA/SH assessment consultant			• An SEA/SH action plan has been developed (Y/N) • Action plan is regularly updated (Y/N)	IA

based on emerging risks and the evolution of the project o Update regularly and as needed the SEA/SH action plan					
BEHAVIORAL STANDARDS					
• **Develop an Accountability and Response Framework** o Document in one place the steps for handling, reviewing, verifying and investigating allegations, including timeframe, and responsibilities for each stage of the process, reporting requirements, and specific provisions for child survivors. o Ensure coherence with GM and referral protocols/GBV service mapping o Reflect in the Ops Manual o Ensure that accountability and response framework is reflected as needed in bidding documents, offers and contracts o Update the accountability and response framework based on lessons learned from incident response and other feedbacks.	IA			• Project has a SEA/SH Prevention and Response Action Plan (Y/N) • Project has an Accountability and Response Framework as part of the ESMP (Y/N)	IA

Establish mandatorily enforceable codes of conduct for each category of project workers o Develop proportional project-specific codes of conduct o Integrate requirements on CoC in all contracts (see dedicated action) o Roll-out codes of conduct to ensure they are in place before workers start project-related activities (i.e. have workers sign them individually or as part of training, ensuring that they are aware/trained and that CoC are enforceable)	IA, all project consultants and contractors			• Behavioral standards or CoC which addresses SEA/SH is in place (Y/N) • # training sessions carried out for project actors about Behavioral standards or CoC	IA, supervising engineer, all project consultants and contractors
• **Train project workers on expected behaviors and prohibitions related to SEA/SH, GM and support services, ways to file a complaint, etc.** o Identify proportional training/sensitization solutions for each category of project workers o Ensure that requirement and expectations on training are included in contracts with consultants/contractors o Mobilize expertise to ensure that project related training is of quality, rights-centered, etc. -integrate	All project consultants and contractors, GBV service provider if relevant			• # of project actors trained on CoC / total # of project actors active in reporting period • # training session carried out for project actors • GM coordinator has been trained in the survivor centered	Supervising engineer, all project consultants and contractors, GBV service providers (if relevant)

training of workers in responsibilities of GBV actor to be recruited for TA o Training all project workers before they start activities (solutions proportional to risk level) o Conduct refresher- or on-the-job training/awareness as part of workers and civil servants ongoing training				approach (Y/N)	
GRIEVANCE MECHANISM AND INCIDENT RESPONSE					
• **Map GBV service providers in all areas of project implementation** o Consult what mapping exists in country o Develop TOR and methodology for mapping, including quality assessment (include in TOR for SEA/SH/social assessment) o Carry out mapping o Integrate gap filling GBV service provision in the TOR of GBV service provider as needed o Develop localized referral protocols, to be integrated in the project Accountability and Response Framework. o Update referral pathways regularly, as needed	IA, SEA/SH assessment consultant			• Localized referral protocols available for all areas of project implementation (Y/N, disaggregated by region)	IA

• **Establish SEA/SH pathways in GMs (community-based and for workers) and capacity to safely and ethically receive and respond to SEA/SH cases** o Develop survivor-centered SOPs to receive and response to SEA/SH complaints o Develop intake forms, referral protocols, information sharing tools, etc. o Develop training plans for all stakeholders involved in management of SEA/SH complaints o Carry out GM training plans o Mobilize expertise as needed to provide TA to operationalization and training related to SEA/SH GM (include in TOR of GBV actor, if relevant). o Roll out SEA/SH sensitive GM o Reflect key elements of the GM in the Accountability and Response Framework and Ops Manual	IA			• SEA/SH sensitive SOPs in place as part of broader GM SOPs • # of SEA/SH cases received by the project, (disaggregated by age, sex, form of violence reported, status/open/closed, etc.);	IA
• **Respond to SEA/SH incidents reported to the project in line with a survivor-centered approach**	IA, GBV service providers (if relevant),			% of SEA/SH cases where survivors were	IA

○ Offer referral to GBV services based on mapping and referral protocols ○ Verify and take action, prioritizing survivors' rights and wishes ○ Identify and implement corrective actions ○ Refer to the disqualification mechanism as needed	all project consultants and contractors			connected to services (disaggregated by services)	
• **Raise community awareness on SEA/SH, standards of conduct, GM and GBV services available:** ○ Develop plan for mobilization, depending on project timelines and risk level ○ Integrate responsibility in TOR of actor raising awareness on broader GM or of GBV actor to be mobilized for SEA/SH TA ○ Develop and review awareness materials, messages, IEC, etc. regularly, based on community's feedbacks, consultations and evolving understanding of risks	IA, GBV service provider			• # of community members targeted by awareness raising (disaggregated by sex) •	IA
MOBILIZATION OF TECHNICAL EXPERTISE					

• **Mobilize GBV expert in the PIU** o Reflect requirement for GBV specialist in PIU in ESCP and allocate funding o Plan to mobilize adequate expertise during preparation o Develop TOR and recruit	IA			• The IA has a GBV specialist in place (Y/N)	IA
• **Clearly define the SEA/SH requirements and expectations, including on CoC, in bid documents and contracts:** o Include requirements on CoC, workers training, SEA/SH reporting, etc. in the bidding documents, based on project action plan and risk level (key elements already on ICB SPD). o Explain SEA/SH requirements to bidders. o Assess SEA/SH risk mitigation proposal as part of bidding evaluation o SEA/SH requirements reflected in C-ESMP and part of offer evaluation, including of contractor's Accountability and Response Framework. o Requirements on SEA/SH in contracts of consultants with escalation clauses for non-compliance.	IA (social specialists and procurement)			• SEA/SH requirements and expectations are clearly defined in the bid documents (Y/N) • SEA/SH requirements and expectations are clearly defined in the procurement documents (Y/N)	IA

○ SEA/SH costs clearly reflected in contracts (i.e. line items in bill of quantities for clearly defined SEA/SH activities (such as preparation of relevant plans, or specified provisional sums for activities that cannot be defined in advance, such as for implementation of relevant plan/s, etc.) ○ Disqualification mechanisms integrated in contracts.					
• **For supervision, have a social specialist in the supervising engineer's team with GBV specific skills to supervise issues related to SEA/SH.** ○ Include responsibilities around SEA/SH monitoring in TOR of supervising engineers social specialist (e.g. supervise signing of CoCs, training of workers, and compliance with other commitment by contractor)	IA, supervising engineer			• Supervising engineer with SEA/SH responsibilities and expertise in place (Y/N)	IA
• **Ensure oversight through an independent Third-Party Monitoring (TPM)** organization/Independent Verification Agent (IVA) with	IA, TPM			• TPM with SEA/SH responsibilities and	IA

experienced GBV staff to monitor implementation of the SEA/SH Action Plan o Include responsibilities around SEA/SH monitoring in TOR of TPM o Mobilize TPM o Integrate SEA/SH monitoring in TPM reports				expertise in place (Y/N)	
• **Recruit GBV service provider(s)** to facilitate access to timely, safe and confidential services for survivors disclosing incidents to the projects in areas where these services are otherwise unavailable. GBV service provider(s)/consultant(s) may also provide technical assistance with the implementation of some of the above mentioned SEA/SH risk mitigation measures at the community level (i.e. workers training, awareness raising, GM operationalization, etc.) o Enable funding o Develop TOR o Recruit o Supervise contract and review reports	IA			• # of survivors that were provided GBV services funded by the project (disaggregates by type of service, project link (Y/N), etc.) • # of referrals to GBV services • GBV service provider (consultant) in place (Y/N)	IA
• **Train all project stakeholders on project approach to SEA/SH risk management**	IA				
M&E					

• **Undertake regular M&E of progress on SEA/SH prevention and response activities,** including reassessment of risks as appropriate. o Integrate advancement of SEA/SH action plan implementation in E&S reporting (all stakeholders) and reports on ESCP implementation (IA) o Update the ESCP and/or the relevant E&S management tools to incorporate necessary corrective and preventive actions.	IA, contractors, consultants (including GBV actor), supervising engineer.			• Protocol for M&E of the project is in place (Y/N) • E&S instruments are updated throughout the life span of the project (Y/N)	IA