Environmental and Social Management Framework (ESMF)

For UNDP-supported, GEF-financed project in Lebanon:

<table>
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<tr>
<th>Project Title:</th>
<th>Lebanon Sustainable Low-Emission Transport Systems</th>
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<tr>
<td>UNDP-GEF PIMS ID number:</td>
<td>6468</td>
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<td>GEF ID number:</td>
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<td>Implementing Partner:</td>
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<td>Management Arrangements:</td>
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<td>GEF-7 Focal Area/Non-Focal Area:</td>
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<td>Total Project Cost:</td>
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<td>CEO Endorsement/Approval</td>
<td>01/10/2021</td>
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<td>01/01/2022</td>
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Executive Summary

This Environmental and Social Management Framework (ESMF) was developed for the UNDP-supported, GEF-financed project “Lebanon Sustainable Low-Emission Transport Systems”. The project will be implemented by the UNDP Country Office in Lebanon.

This ESMF has been prepared for the submission of the UNDP project proposal to the GEF for the purposes of assisting in the assessment of the project’s potential environmental and social impacts. Preliminary analysis and screening conducted during the project development phase via UNDP’s Social and Environmental Screening Procedure (SESP) identified potential social and environmental risks associated with project activities including, in particular, e-mobility strategy, roadmap on end-of-life management and the rehabilitation activities for the bus stops and other accessibility infrastructure in Jbeil. This screening resulted in the identification of nine risks, seven of which were considered “Moderate” while two were rated as “Substantial”, resulting in an overall social and environmental risk categorization of “Substantial” for the Project.

This ESMF has been developed based on this project risk categorization to specify the processes that will be undertaken by the Project Management Unit for the additional assessment of potential impacts and identification and development of appropriate risk management measures, in line with UNDP’s Social and Environmental Standards.

This ESMF identifies the steps that will be followed during the inception phase of the project, for which relevant activities cannot start until the required assessment is done and management measures are in place:

i) A strategic social and environmental assessment for upstream activities;

ii) Targeted Environmental and Social Impact Assessment (ESIA) for the activity related to the rehabilitation activities for the bus stops and other accessibility infrastructure,

iii) Based on the ESIA, preparing an Environmental and Social Management Plan, for avoiding, and where avoidance is not possible, reducing, mitigating, and managing adverse impacts, which will include an Occupational and Community Health and Safety Plan, Spill Prevention and Management Plan, Traffic Management Plan, a Waste Management Plan and other plans as necessary,

iv) Once the Green Public Transport and Green Fleet Management concepts have been defined, a SESP will be undertaken to determine the level of assessment and management required

This ESMF also details the roles and responsibilities for its implementation and includes a detailed budget and monitoring and evaluation plan.
### Abbreviations and Acronyms

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<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tr>
<td>EIA</td>
<td>Environmental Impact Assessment</td>
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<td>ELV</td>
<td>End-of-life Vehicles</td>
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<td>EMP</td>
<td>Environmental Management Plan</td>
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<td>ESIA</td>
<td>Environmental and Social Impact Assessment</td>
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<td>ESMF</td>
<td>Environmental and Social Management Framework</td>
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<td>ESMP</td>
<td>Environmental and Social Management Plan</td>
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<td>EV</td>
<td>Electric Vehicles</td>
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<td>GEF</td>
<td>Global Environment Facility</td>
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<td>GRM</td>
<td>Grievance Redress Mechanism</td>
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<td>ISF</td>
<td>Internal Security Forces</td>
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<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
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<td>MoE</td>
<td>Ministry of Environment</td>
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<td>MoIIM</td>
<td>Ministry of Interior and Municipalities</td>
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<td>PIR</td>
<td>GEF Project Implementation Report</td>
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<td>PMU</td>
<td>Project Management Unit</td>
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<td>PPG</td>
<td>Project Preparation Grant (GEF)</td>
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<td>PwD</td>
<td>Persons with Disabilities</td>
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<td>SECU</td>
<td>Social and Environmental Compliance Review Unit (UNDP)</td>
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<td>SESA</td>
<td>Strategic Environmental and Social Assessment</td>
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<td>Social and Environmental Screening Procedure (UNDP)</td>
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<td>SRM</td>
<td>Stakeholder Response Mechanism (UNDP)</td>
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1 Introduction

This Environmental and Social Management Framework (ESMF) was developed for the UNDP-supported, GEF-financed project “**Lebanon Sustainable Low-Emission Transport Systems**”.

The project aims at curbing the unsustainable trends in passenger transport in Lebanon, accelerating the country’s transition towards sustainable mobility in Lebanon as a means to reduce GHG emissions, to increase the quality of transport services and the competitiveness and sustainable practices of companies, and to improve the quality of life and social and gender inclusion.

1.1 Project Description

The project will propose policy actions addressing the government, the civil society and the private sector. It includes a National e-mobility strategy, to facilitate the transition towards electric vehicles (EVs), certified green public transport and green fleet management concepts, so that bus operators and large car fleet managers can voluntarily adhere to sustainable practices, and a roadmap to increase the sustainability of end-of-life vehicle management practices, including their adaptation to address the new challenges raised by the introduction of electric vehicles in the country. The project will address the improvement of walking and cycling accessibility in Jbeil, with a focus on its interaction with the public transport systems, prior to the future implementation of the BRT system in the northern corridor.

**Project Implementing Partner:** UNDP Country Office in Lebanon

The project is structured under four components, each of which delivers a specific outcome.

**COMPONENT 1: Institutional and policy support for the promotion of sustainable low emissions transport systems**

This component addresses the institutional barriers, providing a strengthened policy environment to support the promotion of sustainable low-emission transport systems and modal shift. The promotion of sustainable low-emission transport systems in Lebanon requires a supportive institutional and social environment. The project builds up such environment through a combination of top-down initiatives to inform the national government’s future policy (to be enshrined in a national e-mobility strategy) and bottom-up actions empowering key private and public stakeholders (such as bus operators, and institutions and companies managing large car fleets) to adopt sustainable mobility practices, including electrification options. This outcome is achieved through the delivery of the following project outputs:

**Output 1.1:** Guidelines for establishing voluntary agreements in the transport sector, focusing on passenger public transport services and corporate fleets.

**Output 1.2:** National e-mobility strategy endorsed by the government and key stakeholders. The national e-mobility strategy addresses three key areas: (i) the expansion of electric vehicles (EVs) within the vehicle fleet in Lebanon; (ii) the deployment of the charging network; (iii) the role of electrification in the modernization of the public transport system, and (iv) the role of EVs in the country’s transition towards renewables and distributed generation.

**Output 1.3:** Roadmap on end-of-life vehicle (ELV) management, including electric vehicles and their batteries endorsed by government and key stakeholders.

**COMPONENT 2: Short-term barrier removal through e-mobility and other low-carbon demonstrations**

This component addresses the existing technical, financial and environmental barriers through the demonstrations to provide evidence to scale-up low-emission mobility and to encourage modal shift in the northern corridor. The project demonstrations will cover the areas of public transport services (working with bus operators), car fleet management (working with the national police department (Internal Security Forces, ISF)) and facilitation door-to-door travel through improved intermodality between non-motorized modes and public transport (working with the municipality of Jbeil).

The public transport demonstration is based on the voluntary implementation of the Certified Green Public Transport concept by a few interested bus operators in some of their services in the northern corridor, and their access to the temporal (3-6 months, depending on the number of participating bus operators) use of one
electric bus. The selection of the bus operators participating in the demonstration will be established through an open and competitive procedure, based on their technical capacities and experience. Two electric buses will be procured by UNDP, lent to each participating bus operator in the framework of a contract establishing responsibilities and monitoring commitments, and transferred to the Ministry of Interior and Municipalities (MoIM) at the end of the project.

The car fleet demonstration is based on the voluntary implementation by the partner entity (ISF) of the Green Fleet Management concept, including issues such as effective and timely car maintenance procedures, prioritization of cleaner and low-carbon vehicles (including EVs) in procurement and fleet renewal plans, staff behavior (e.g. eco-driving), and the inclusion of sustainability indicators (e.g. GHG emissions) in the fleet monitoring dashboard. As a way to gain direct access and know-how on EV technology, the project will transfer up to 4 electric cars to ISF, which will be regularly monitored together with the whole GFM system, during the whole demonstration.

The demonstration on sustainable door-to-door travel will be based on the previous development of a technical study in Jbeil (benefiting with the on-going work in progress for the preparation of the Urban Master Plan) to establish a comprehensive roadmap for the improvement of walking and cycling accessibility to key bus stops. Subsequently a number (2 to 4) of bus stops will be selected to take part in the demonstration. Detailed construction projects will be prepared for these bus stops through a participatory co-creation process, and a monitoring plan will be implemented including number of passengers using the bus stops, the public’s awareness, acceptance and satisfaction, safety and security or universal accessibility, among others.

Output 2.1: Self-Certified green public transport concept developed and implemented in at least one regular bus line in the northern corridor.

Output 2.2: Green fleet management concept (including EVs) implemented in at least one governmental fleet.

Output 2.3: Walking and cycling accessibility to public transport improved in at least one municipality.

Output 2.4: The viability of the use of electric buses in certified green public transport services is demonstrated and assessed in the northern corridor.

Output 2.5: The viability of electric cars in corporate fleets under green fleet management is demonstrated and assessed.

COMPONENT 3: Knowledge management, capacity development and awareness raising

This component addresses the cultural barriers and provide the necessary support to up-scale the demonstrations results and to build up the framework for the sustainability of the project results, so that sustainable low-emission transport programs receive wide support and, consequently, substantial changes in mobility practices and modal shift materialize. It includes following outputs:

Output 3.1: Networking mechanism established among agencies and stakeholders involved in sustainable low emissions transport systems to accelerate the implementation of the e-mobility strategy and the adoption of CGPT and CGM by corporations and public bodies.

Output 3.2: Coordination with the “Global Programme to Support Countries with the Shift to Electric Mobility” (participation at thematic working groups and at the Support and Investment Platform).

Output 3.3: Sustainable mobility communication and public awareness campaigns implemented, based on project results and focusing on mobility behaviour (including road safety), and low-emission transport (including EVs, public transport, walking and cycling).

Output 3.4: Capacity of municipal planners and public transport managers built for the promotion of low-emission transport (including non-motorized transport and carpooling), traffic control and management (e.g. parking management, vehicle-use control).

COMPONENT 4: Monitoring & Evaluation

Under this component, all the project’s monitoring and evaluation activities are undertaken. Results from monitoring and evaluation activities will be regularly shared with the E-mobility Global Programme to support knowledge management activities at the global and regional levels. It has one output as follows:
Output 4.1: The project monitoring and evaluation plan and knowledge-management strategy are designed and implemented.

The duration of the project is 60 months.

1.2 Purpose and Scope of this ESMF

This ESMF is a management tool to assist in managing potential adverse social and environmental impacts associated with activities of this GEF-financed project, in line with the requirements of UNDP’s SES. The implementing partner of the project and the relevant members of the Project Management Unit (PMU) will follow this ESMF during project implementation and ensure the environmental and social risks and impacts are fully assessed and management measures are put in place prior to the implementation of the relevant project activities.

This ESMF identifies the steps for detailed screening and assessment of the project’s potential social and environmental risks, and for preparing and approving the required management plans for avoiding, and where avoidance is not possible, reducing, mitigating, and managing these adverse impacts. Its scope covers all project activities in Components 1 and 2. The main co-financing activity for this project (Category 2 financing) is the Bus Rapid Transit Project, which is funded by the World Bank and is undergoing the Bank’s Environmental and Social Safeguard procedures that are compatible with UNDP SES.

1.3 Potential Social and Environmental Impacts

During the PPG phase, the UNDP SESP was used to identify potential social and environmental risks associated with this Project. The project was scrutinized as to its type, location, scale, sensitivity and the magnitude of its potential social and environmental impacts. All project activities were screened, including planning support, policy advice, and capacity-building, and site-specific, physical interventions. The screening highlighted the project intentions as they related to mainstreaming human rights, gender equality and women’s empowerment and environmental sustainability.

In terms of positive impacts, the project will enhance mobility rights through improvement of urban mobility conditions (quality, reliability, affordability…) for citizens, especially for vulnerable groups. It will contribute to environmental rights by reducing vehicle emissions and thus the level of air pollution and accident risks as car travel is considered riskier than sustainable modes. The project will also improve gender equality through increased access to transportation, knowledge and skills related to e-mobility and climate change mitigation as well as access to job and other economic opportunities, including for women. The project will reduce GHG emissions, as well as other vehicle emissions that deteriorate urban air quality. Electric vehicles increase the resilience of the transport sector by (1) providing an alternative to fuel dependence and (2) by associating EVs to distributed generation of renewable energy (solar panels in the bus depot in Jbeil).

As for potential negative environmental and social impacts, the SESP identified a total of nine risks, seven of which have been assessed as having Moderate significance while two were rated Substantial; hence overall SESP risk categorization rating for the project is “Substantial”. The project document includes the SESP template that details the specific environmental and social risks identified. The risks mostly apply to project Components 1 and 2.

Substantial Risk: defined by UNDP’s SESP as “Projects that include activities with potential adverse social and environmental risks and impacts that are more varied or complex than those of Moderate Risk projects but remain limited in scale and are of lesser magnitude than those of High Risk projects (e.g. reversible, predictable, smaller footprint, less risk of cumulative impacts).”

The following are the project risks and their significance as identified in the completed SESP found in Annex 9.1:

- Risk 1: Marginalized populations (especially people living in poverty, persons with disabilities and older people) and women are not involved in decision making on the E-mobility strategy and ELV roadmap for issues that may affect them, such as disposal location of the ELVs (Moderate). – Selection of the disposal
site might be made on land inhabited or used by a group of people who were not consulted and lead to their economic or physical displacement. Associated Activities: 1.2.4, 1.2.5, 1.3.1 and 1.3.2.

- **Risk 2:** Marginalized populations, women and small business owners prevented from participating in decision making on issues that affect them (Moderate). This may include disruption to businesses during rehabilitation works whereby they are not consulted or informed about upcoming activities, which may have negative repercussions especially considering the current economic climate in the country. – Associated Activity: 2.3.2.

- **Risk 3:** Flooding of the rehabilitated bus stops and charging stations (Moderate). Even though Jbeil is not considered a high flood risk area, due to ailing infrastructure in the country, high precipitation events sometimes lead to flooded streets and highways. – Associated Activities: 2.3.1, 2.4.2 and 2.3.2.

- **Risk 4:** Air and dust emissions, noise, vibration, injuries, and physical hazards from rehabilitation activities of bus stops and other accessibility infrastructure (Moderate). Activities associated with rehabilitation of the selected bus stops and accessibility infrastructure will likely lead to noise and air emissions that cause a nuisance to nearby residents. However, these will be short lived and will cease as soon as the activities end. Injuries and physical hazards are also possible if safety measures are not implemented. – Associated Activities: 2.3.2.

- **Risk 5:** Spread of communicable diseases such as COVID-19 among the population (Moderate). There is a risk of the spread of communicable diseases such as Covid-19, especially during the current pandemic, among the population during awareness campaigns or training sessions and among construction workers during rehabilitation of bus stops and accessibility infrastructure – Associated Activities: Overall.

- **Risk 6:** Inadequate (or lack of treatment) of particular components (e.g. tires, batteries or lubricants) in the e-mobility roadmap and during operation of the e-buses and cars (Substantial). During disposal of these components, disposal or recycling workers may be exposed to hazardous material leading to detrimental environmental and health impacts. This is of most relevance at the national level in relation to the e-mobility roadmap as e-vehicles and hybrid cars become more prevalent. – Associated Activities: 1.3.1, 1.3.2, 1.3.3, 2.1.2 and 2.2.2.

- **Risk 7:** Inappropriate behavior by ISF personnel using the vehicles provided by the project (Moderate). Operators of the hybrid or e-vehicles may engage in inappropriate behaviour that is negatively perceived by the local community. Associated Activity: 2.2.2.

- **Risk 8:** Damage to cultural heritage sites during rehabilitation of bus stops and other accessibility infrastructure (Substantial). Jbeil is rich with sites of historical importance and any rehabilitation activities may inadvertently damage known or undiscovered sites or artefacts nearby. – Associated Activities: 2.3.1 and 2.3.2.

- **Risk 9:** Working conditions at the bus companies and services selected by the project do not meet national or labour laws and international labour commitments (Moderate). Workers at the bus companies or other private entities engaged in the project may be denied freedom of association and collective bargaining and exposed to discriminatory working conditions and/or lack of equal opportunities. – Associated Activities: 2.1.2.
2 Legislation and Institutional Framework for Environmental and Social Matters

2.1 National Legislation, Policies and Regulations

There is no direct reference to the environment in Lebanon’s Constitution of 1923. However, Article 15 valorizes the private property and bans any form of land acquisition except for the public interest (subsequently broadly interpreted as the provision of public services including roads, electricity, and water). Article 7 of the constitution states that “All Lebanese shall be equal before the law. They shall equally enjoy civil and political rights and shall equally be bound by public obligations and duties without any distinction.”

The following legislation are relevant to implementation of the project and its activities.

2.1.1 Environmental Governance

In 1993, through Law 216, the Ministry of Environment (MoE) was established in Lebanon and its mandate was determined. This law was first amended by Law 667/1997, then by Law 690/2005, and whose application decree was enacted four years later (Decree 2275/2009). The Decree defines the function and responsibilities of each unit, including staff size and qualifications. The MoE’s mandate, as per the Law 690/2005, concerns all policy, oversight and guidance matters relating to environmental protection in Lebanon.

Law 444/2002 is the framework environmental law in Lebanon that aims to protect against all forms of degradation and pollution and to promote sustainable use of natural resources. Articles 21-23 of this law specify that environmental assessment will be required for proposals/projects that have potential negative impacts on the environment.

In 2012, two fundamental decrees on environmental safeguard tools were adopted and are currently implemented by MoE. The first was Decree 8213/2012 on Strategic Environmental Assessment (SEA). According to Article 2, SEA is a planning and management tool for preventing or, at minimum, reducing sources of pollution and degradation of natural resources by assessing environmental impacts of a policy, program, study, investment or organization proposals that tackle a Lebanese region or an activity sector, identifying necessary mitigation measures and enhancing positive outcomes on the environment and natural resources, prior to its adoption (Article 2).

Decree 8633/2012 on Fundamentals of Environmental Impact Assessment: EIA is an assessment of the likely environmental consequences of a proposed project, and determination of necessary measures for mitigating negative environmental consequences and increasing positive impact on the environment and natural resources before approving or disapproving the project (Article 2).

2.1.2 Air Quality and Noise

In 2018, the Lebanese Parliament enacted Law 78 dated 19 April 2018 on the Protection of Air Quality. The law comprises 33 Articles related to identification, monitoring and assessment of air pollutants; prevention, control and surveillance; information management, research and capacity building; financial provisions; administrative procedures, liabilities and sanctions. MoE Decisions 8/1 of 2001 and 52/1 of 1996 set national standards and emission limits for air and noise.

Law 341 of 2001 provides the legal framework for reducing air pollution from the transport sector and encouraging the use of cleaner sources of fuel. Specifically, the law bans the import of minivans operating on diesel engines, as well as old and new diesel engines for private passenger cars and minivans.

2.1.3 Biodiversity Conservation

Biodiversity in Lebanon is protected by Law 444/2002, for which one of the guiding principles is conservation of biodiversity by avoiding activities that may pose damage to any of its components. Articles 29-34 address protection of the coast and marine biodiversity from pollution. The Forest Code (Law 85/1991), amended by Law 558/1996, stipulates that all cedar, fir, cypress, oak, juniper and other forests in Lebanon are protected. Based on this law, 13 protected forests were declared by the Ministry of Agriculture in Lebanon. Law 130 of 2019 defined the categorization of new protected areas as (1) nature reserves, (2) natural sites, (3) natural park and (4) hima (rangelands) and determined the allowed activities and conditions under these categories.
2.1.4 Traffic and Transport

Law 243 of 2012, or the Traffic Law, organizes the traffic flow, use of public roads, driving licenses and exams, vehicles specifications, and public safety. It was amended in 2014 by Law 278, which establishes the National Center for Road Safety and defines its mandates.

2.1.5 Hazardous Waste


2.1.6 Labor

The Lebanese Labor Code of 1946 covers the industrial accident prevention and compensation. It regulates the minimum wage, the minimum age of employment based on their ages and the workplaces, resting periods and vacations for workers. It also sets the working hours, and the penal code regulation of strikes and lock out in essential employments. In 2016, Decree 3791 set the minimum wage in Lebanon. Decree 11802/2008 on Occupational prevention, safety, and health in all enterprises provides the general regulations for the prevention of occupational hazards and accidents, and the promotion of health and safety in all industrial establishments subject to the Labor Law. These cover prevention and safety, occupational health, the safe use of chemicals at work, as well as occupational noise standards.

The Labour Law prohibits gender-based discrimination relating to the nature of the job, wages, recruitment, promotions, pay rises, professional training and attire (Article 26). However, it does not explicitly specify the measures to be taken to prevent discrimination in the workforce nor does it contain specific provisions on the processing of discrimination claims. The Law also provides a list of job descriptions that women are prohibited from engaging in (Article 27). Women are entitled to a paid 7-week maternity leave (Article 28).

The Law prohibits child labour for children under the age of 13 and any child under the age of 18 should undergo a health examination to ensure fitness for the required job and the work duration cannot be longer than 6 hours a day. Children under the age of 15 are also prohibited from working in physically strenuous jobs or jobs that may be harmful to their health.

2.1.7 Persons with Disability

Law 220/2000 guarantees persons with disabilities (PwD) in Lebanon equal rights. Section 5 of the Law states that “PwD have the right to mobility, parking and driving licenses”. Its application Decree 7194/2011 provisions that should be made that social and public life be inclusive of PwD. Article 44 requires that public transportation is properly equipped for PwDs through placing the international symbol of accessibility on all sides of the transportation vehicle and equipping the vehicle with a special alarm that shall be mandatorily activated by the bus driver whenever he stops and takes off to alert the visually impaired. It also requires that at least one seat adjacent to the entrance of each public transport vehicle be allocated for PwDs which shall be marked with the international symbol of accessibility.

2.1.8 Construction

Several regulations govern the construction sector to ensure safety as follows:

- Decree 7964/2012 on Public safety in buildings, facilities, elevators and prevention of fire and earthquake risks.
- Law 646/2004 on Construction – Amends the Legislative Decree 148/1983 and applied through Decree 15874/2005

2.2 International Agreements and Treaties

Lebanon is a signatory to several multilateral agreements and conventions that are relevant to the project. These include but are not limited to:
2.3 UNDP’s Social and Environmental Standards

This ESMF has been prepared in line with UNDP’s updated Social and Environmental Standards (SES) that came into effect 1 January 2021. These standards underpin UNDP’s commitment to mainstream social and environmental sustainability in its programmes and projects to support sustainable development and are an integral component of UNDP’s quality assurance and risk management approach to programming. Through the SES, UNDP meets the requirements of the GEF’s Environmental and Social Safeguards Policy.

The objectives of the SES are to:

- Strengthen the social and environmental outcomes of Programmes and Projects
- Avoid adverse impacts to people and the environment
- Minimize, mitigate, and manage adverse impacts where avoidance is not possible
- Strengthen UNDP and partner capacities for managing social and environmental risks
- Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people

In accordance with the UNDP SES policy, the Social and Environmental Screening Procedure (SESP) has been applied to the project during the project development phase. In accordance with the UNDP SES policy, a SES principle or standard is ‘triggered’ when a potential risk is identified and assessed as having either a ‘moderate’ or ‘high’ risk rating based on its probability of occurrence and extent of impact. Risks that are assessed as ‘low’ do not trigger the related principle or standard.

The screenings conducted during project development indicate that ten of the eleven social and environmental principles and standards have been triggered for the project due to ‘moderate’, ‘substantial’ and ‘high’ risks:

- Human Rights, Gender Equality and Women’s Empowerment and Accountability (due to the risk of marginalized populations and women excluded from decision-making regarding the e-mobility strategy, ELV roadmap and the rehabilitation of bus stops)
- Standard 2: Climate Change and Disaster Risks (due to potential flooding of project components)
- Standard 3: Community Health, Safety and Security (due to the of exposure to air, dust, noise, vibration and potential injuries from rehabilitation activities of bus stops as well as spread of respiratory diseases such as Covid-19)
• Standard 5: Displacement and Resettlement (due to the potential disruption to businesses during rehabilitation works and economic or physical displacement from waste disposal facilities needed when rolling out the e-mobility strategy)
• Standard 6: Cultural Heritage (due to potential damage to cultural heritage sites during rehabilitation activities of the bus stops)
• Standard 7: Labour and Working Conditions (due to exposure of waste disposal/recycling workers to hazardous material during operation of e-buses and cars and working conditions not in line with national labour laws and international labour commitments)
• Standard 8: Pollution Prevention and Resource Efficiency (due to air and dust emissions resulting from rehabilitation works for the bus stops and inadequate treatment of hazardous material from operation of e-buses/vehicles during the demonstration or from the national e-mobility strategy)

A summary of the risk significance under each SES principle and standard, and the project-level safeguard standards triggered by each project (indicated with ticks) are shown in Table 1.

### Table 1: Summary of safeguards triggered by the project

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<tr>
<th>Principle / Standard</th>
<th>Risk Rating</th>
<th>SES Requirement*</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Overarching Principle: Leave No One Behind</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Human Rights</td>
<td>✓</td>
<td>Moderate</td>
</tr>
<tr>
<td>Gender Equality and Women’s Empowerment</td>
<td>✓</td>
<td>Moderate</td>
</tr>
<tr>
<td><strong>Sustainability and Resilience</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accountability</td>
<td>✓</td>
<td>Moderate</td>
</tr>
<tr>
<td><strong>Project-level Standards</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</td>
<td>✓</td>
<td>Substantial</td>
</tr>
<tr>
<td>Standard 2: Climate Change Mitigation and Adaptation</td>
<td>✓</td>
<td>Moderate</td>
</tr>
<tr>
<td>Standard 3: Community Health, Safety and Conditions</td>
<td>✓</td>
<td>Substantial</td>
</tr>
<tr>
<td>Standard 4: Cultural Heritage</td>
<td>✓</td>
<td>Substantial</td>
</tr>
<tr>
<td>Standard 5: Displacement and Resettlement</td>
<td>✓</td>
<td>Moderate</td>
</tr>
<tr>
<td>Standard 6: Indigenous Peoples</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Standard 7: Labour and Working Conditions</td>
<td>✓</td>
<td>Substantial</td>
</tr>
<tr>
<td>Standard 8: Pollution Prevention and Resource Efficiency</td>
<td>✓</td>
<td>Substantial</td>
</tr>
</tbody>
</table>

### Number of risks in each risk rating category

<table>
<thead>
<tr>
<th>Risk Rating</th>
<th>Number of Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>0</td>
</tr>
<tr>
<td>Substantial</td>
<td>5</td>
</tr>
<tr>
<td>Moderate</td>
<td>4</td>
</tr>
<tr>
<td>Low</td>
<td>0</td>
</tr>
</tbody>
</table>

Total number of project risks: 9

Overall Project Risk Categorization: **Substantial**

Number of safeguard standards triggered: 10
Note: SESA: Strategic Environmental and Social Assessment; ESIA: Environmental and Social Impact Assessment; ESMP: Environmental and Social Management Plan; GAP: Gender Action Plan; SEP: Stakeholder Engagement Plan

2.4 Gaps in Policy Framework

Further analysis of the legal and policy frameworks that apply to the project will be completed during the implementation of this ESMF (i.e. during the completion of ESMP). At this stage, no gaps have been identified.
3 Procedures for Screening, Assessing and Managing Social and Environmental Impacts

Based on the project risk categorization assigned to the project and its specific risks, the following procedures for screening, assessing and managing those risks must be undertaken during the project implementation. This work will commence during the initiation phase—three months after first PSC meeting—such that no project activity can start before the associated assessment has been undertaken and management plans are in place. They are described in the sections below.

3.1 SESA on Output 1.2 and Output 1.3

In accordance with UNDP’s SES policy, Substantial Risk projects require comprehensive forms of assessment. A separate scaled SESA will be developed and carried out by independent experts on Output 1.2 and Output 1.3. The SESA will serve to integrate social and environmental considerations into the proposed strategy and roadmap and evaluate their interlinkages with economic considerations, as well as potential environmental implications, in a participatory manner with stakeholders as follows:

1. Identify social and environmental priorities to be included in planning and policy processes
2. Assess gaps in the institutional, policy, and legal frameworks to address these priorities
3. Identify potential adverse social and environmental impacts associated with policy options
4. Engage decision makers and stakeholders to ensure a common understanding and broad support for implementation
5. Formulate policy and institutional measures needed to close policy and legal gaps, address institutional weaknesses, and avoid adverse social and environmental impacts.

Should the strategy and roadmap propose any sites for storage and/or disposal of ELV, a list of exclusion criteria will be used to eliminate high risk sites. These will include sites with high cultural heritage value, inhabited sites and sites with high biodiversity values (such as protected areas).

The SESA will be comprised of a concise report that summarizes (a) main findings and results of SESA, including (a) SESA stakeholder engagement process; (b) key social and environmental priorities and issues associated with chosen PPP; (c) institutional arrangements for coordinating integration of social and environmental issues into chosen PPP; (d) legal, regulatory, policy, institutional and capacity recommendations to address any identified gaps for managing the social and environmental priorities and implementing applicable social and environmental policies; (e) results of assessment of social and environmental risks/impacts associated with the implementation of the proposed regulations and NEEAP; (f) identification of measures (e.g. policies, institutional strengthening, governance reform) to address and manage anticipated adverse social and environmental risks and impacts, including a summary Action Matrix (see Table in Annex 9.2 of this ESMF for an indicative outline); and (g) where applicable, final or advanced draft of ESMF as framework for managing social and environmental risks during implementation of the proposed strategy and roadmap.

3.2 Site Exclusion Criteria and ESIA for Output 2.3

During selection of the sites that will undergo rehabilitation works (Activity 2.3.1), exclusion criteria based on SES will be applied and include a minimum distance from sites with high cultural heritage value and designation made to sites vulnerable to flooding (based on existing historical data). Once these sites have been defined, a list of exclusion criteria will be used to eliminate high risk sites. These will include sites with high cultural heritage value, inhabited sites and sites with high biodiversity values (such as protected areas).

The SESA will be comprised of a concise report that summarizes (a) main findings and results of SESA, including (a) SESA stakeholder engagement process; (b) key social and environmental priorities and issues associated with chosen PPP; (c) institutional arrangements for coordinating integration of social and environmental issues into chosen PPP; (d) legal, regulatory, policy, institutional and capacity recommendations to address any identified gaps for managing the social and environmental priorities and implementing applicable social and environmental policies; (e) results of assessment of social and environmental risks/impacts associated with the implementation of the proposed regulations and NEEAP; (f) identification of measures (e.g. policies, institutional strengthening, governance reform) to address and manage anticipated adverse social and environmental risks and impacts, including a summary Action Matrix (see Table in Annex 9.2 of this ESMF for an indicative outline); and (g) where applicable, final or advanced draft of ESMF as framework for managing social and environmental risks during implementation of the proposed strategy and roadmap.
The output of the ESIA will be an ESIA report (indicative outline can be found in Annex 9.3 of this ESMF, and an environmental and social management plan (ESMP) for each activity: The ESMP will define desired social and environmental management outcomes and specify social and environmental indicators, targets, or acceptance (threshold) criteria to track ESMP implementation and effectiveness. It will also provide estimates of the human and financial resources required for implementation and monitoring and identify organizational structure and processes for implementation. An indicative outline of the ESMP can be found in Annex 9.4 of this ESMF.

3.3 SESP for Activity 2.1.2 and Activity 2.2.2

Once the Green Public Transport (Activity 2.1.2) and Green Fleet Management (Activity 2.2.2) concepts have been defined, a SESP will be undertaken so that the full range of the environmental and social risks are assessed and management measures developed. The concepts should not be adopted prior to this process and until the assessment has been conducted and the identified management measures are in place.

3.4 SESP for Private Sector

With support from the Project’s partners and the MoIM, Municipality of Jbeil and ISF, all private sector actors that will be engaged in the project will be subject to a private sector risk assessment (supplemented by a SESP) to ensure their compliance with SES prior to engagement in any project activity. Once the risks have been identified, assessments undertaken and management measures developed, private enterprises that will provide services within the project, such as the bus operators and contractor for the rehabilitation works, shall sign a safeguards commitment letter to implement all management measures developed. No private sector participant shall be engaged prior to completion of this process. All drivers that will be operating the hybrid and e-vehicles (Activity 2.1.2 and Activity 2.2.2) will commit to and abide by a Code of Conduct prepared for the project and reflecting SES requirements in light of the undertaken SESP. Training will be offered to participating individuals to ensure they are aware of their duties and responsibilities.

3.5 Further Screening

During implementation, the project will be re-screened with the UNDP SESP:

1. as prescribed by the SESA and ESIA/ESMP;
2. when determined necessary by the Project Manager (after consideration of the advice from PMU staff with responsibility for safeguards), the Project Board, or UNDP; and/or
3. when project circumstances change in a substantive or relevant way.

3.6 Other Plans and Procedures

The project’s Gender Action Plan and Stakeholder Engagement Plan may be updated as determined appropriate by the SESA/ESMP consultant or the Project Manager (after consideration of the advice from PMU staff with responsibility for safeguards).

WHO guidelines \(^1\) to limit the spread of Covid-19 will be applied during bus operation (Activity 2.4.3) and rehabilitation (Activity 2.3.2):

- Hand hygiene
- Respiratory hygiene
- Physical distancing
- Reduce and manage work-related travel
- Regular environmental cleaning and disinfection
- Risk communication training and education
- Management of people with Covid-19 or their contacts

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4 Institutional Arrangements and Capacity Building

4.1 Roles and Responsibilities for Implementing this ESMF

The roles and responsibilities of project staff and associated agencies in implementation of this ESMF are elaborated upon below.

Note: This ESMF does not cover the roles and responsibilities associated with implementation of the subsequent ESMP; those will be defined in the ESMP, as required per this ESMF.

Implementing Partner (UNDP Lebanon CO):

- Ensure that the required SESA, targeted assessment and ESMP are developed, disclosed for public consultation and approved, and management measures are adopted and integrated during project implementation;
- Report, fairly and accurately, on project progress against agreed work plans in accordance with the reporting schedule and required formats;
- Maintain documentation and evidence that describes the proper and prudent use of project resources in conformity to the signed Project Document, and in accordance with applicable regulations and procedures (e.g. SES);
- Ensure all requirements of UNDP’s SES and national regulatory/policy frameworks and relevant international standards have been addressed;
- Hold responsibility and accountability to UNDP for overall management of the project, including compliance with UNDP SES.

Project Board/Steering Committee (comprised of UNDP, MoIM, Municipality of Jbeil and ISF):

- Monitor implementation of this ESMF and compliance with national and international regulations, and UNDP SES;
- Decision making for the adoption of necessary measures including full integration of management measures within project Outputs and annual work plans;
- Establish and support Grievance Redress Mechanisms (GRM) to address any grievances;
- Provide strategic guidance to implementation of the Project including oversight for safeguards and the implementation of this ESMF.

UNDP:

- Provide oversight on all matters related to safeguards;
- Inform all the stakeholders and right-holders involved in, or potentially impacted, positively or negatively, by the GEF-financed projects, about the UNDP’s corporate Accountability Mechanism (described below);
- Ensure that the Compliance Review and the Stakeholder Response Mechanisms are operational during the lifetime of the projects;
- Ensure adherence to the SES for project activities implemented using funds channeled through UNDP’s accounts, and undertake appropriate measures to address any shortcomings;
- Verify and document that all UNDP SES requirements have been addressed;
- Provide technical guidance on implementation of this ESMF and administrative assistance in recruiting and contracting expert safeguards services (as required), and monitor adherence of each project to the ESMF and UNDP policies and procedures.

Project Management Unit:

- Supervise and manage implementation of measures defined in this ESMF;
- Assign specific responsibilities for implementation of this ESMF, including monitoring, and community consultations on the draft ESMP to a staff member(s) of the PMU;
- Maintain relevant records associated with management of environmental and social risks, including updated SESP’s, assessments and log of grievances together with documentation of management measures implemented;
- Report to the Implementing Partner (UNDP CO) and the Project Board on the implementation of the ESMF;
• Ensure that all service providers are informed of their responsibilities for the day-to-day compliance with the ESMF.

Private Sector

• Cooperate with PMU and provide information as needed during conducting the SESP for private sector risk assessment.
• Commit to and implement all management measures developed as a result of the SESP.
• Regularly monitor and report on environmental and social issues as required.

As noted above, the project’s subsequent ESMP will describe the roles and responsibilities in the implementation of the plan. Those new roles and responsibilities will be assessed and integrated, as appropriate, as part of the participatory decision making and implementation proceedings of the project.

4.2 Capacity Building

Specialists with expertise in social and environmental safeguards will be engaged to support the completion of the ESMP. These experts will support UNDP staff on safeguards responsibilities and approaches.

During project implementation, UNDP will provide advice to project team members as needed to support the implementation of this ESMP, preparing the SESA and the ESMP and pursuant measures.

The Project Board will have the final responsibility for the integration of the SESA recommendations and ESMP in the execution of the project. The integration will need to consider particular institutional needs within the implementation framework, including a review of the required budget allocations for each measure, as well as the authority and capability of institutions at different administrative levels (e.g. local, regional, and national), and their capacity to manage and monitor its implementation. Where necessary, capacity building and technical assistance activities will be included to enable proper implementation of the ESMP.

5 Stakeholder Engagement and Information Disclosure

Discussions with project stakeholders commenced during the project development phase. A list of the stakeholders engaged in these consultations has been Annexed to the Project Document. The project has also prepared a Stakeholder Engagement Plan (ProDoc Annex 9) and Gender Action Plan (ProDoc Annex 11). These Plans will be followed to ensure that stakeholders have been engaged in project preparation and implementation, and particularly, in the further assessment of social and environmental impacts and the development of appropriate management measures. The project’s Stakeholder Engagement Plan will be updated during project implementation based on the assessments and management plans conducted in line with this ESMF, as needed.

Potentially, affected stakeholders will be engaged during implementation of this ESMF.

As part of the stakeholder engagement process, UNDP’s SES require that project stakeholders have access to relevant information. Specifically, the SES (SES, Social and Environmental Management System Requirements, para. 20) stipulates that, among other disclosures specified by UNDP’s policies and procedures, UNDP will ensure that the following information be made available:

• Stakeholder engagement plans and summary reports of stakeholder consultations
• Social and environmental screening report with project documentation
• Draft SESA Report and ESMPs
• Final SESA and ESMPs
• Any required Report social and environmental monitoring reports.

As outlined in the SES and UNDP’s SESP, the type and timing of assessments and management plans vary depending on the level of social and environmental risk associated with a project as well as timing of the social and environmental assessment.
This ESMF (and project SESP) will be translated and disclosed via the UNDP Lebanon website in accordance with UNDP SES policy. The subsequent ESMP will also be publicly disclosed via the UNDP Lebanon website once drafted, finalized, and adopted only after the required time period for disclosure has elapsed.

These requirements for stakeholder engagement and disclosure will be adhered to during the implementation of this ESMF, and the subsequent implementation of the resulting ESMP.

6 Accountability and Grievance Redress Mechanisms

6.1 UNDP’s Accountability Mechanisms

UNDP’s SES recognize that even with strong planning and stakeholder engagement, unanticipated issues can still arise. Therefore, the SES are underpinned by an Accountability Mechanism with two key components:

6. A Social and Environmental Compliance Review Unit (SECU) to respond to claims that UNDP is not in compliance with applicable environmental and social policies; and

7. A Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and addressing project-related complaints and disputes.

UNDP’s Accountability Mechanism is available to all of UNDP’s project stakeholders.

The SECU investigates concerns about non-compliance with UNDP’s Social and Environmental Standards and Screening Procedure raised by project-affected stakeholders and recommends measures to address findings of non-compliance.

The Stakeholder Response Mechanism helps project-affected stakeholders, UNDP’s partners (governments, states, CSOs, NGOs, businesses) and others jointly address grievances or disputes related to the social and/or environmental impacts of UNDP-supported projects.

Further information, including how to submit a request to SECU or SRM, is found on the UNDP website at: [http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm/](http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm/)

6.2 Project-level Grievance Redress Mechanisms

As described in the Project Document, the project will establish a project-level GRM at the start of implementation. The full details of this GRM will be agreed upon during the Inception Phase, a process that will be overseen by the Project Manager with the Project Assistant.

Interested stakeholders may raise a grievance at any time to the Project Management Unit (PMU), the Implementing Partner (UNDP CO), or the GEF.


7 Budget for ESMF Implementation

Funding for implementation of the ESMF is included in the project budgets. The estimated costs are indicated in Table 2 below. Costs associated with the time of Project Management Unit Staff coordinating the implementation of this ESMF are not shown, nor are costs for implementing the SESA as it is included as part of the assessed activities. Further detail is found in the budget of the Project Document.

<table>
<thead>
<tr>
<th>Item</th>
<th>Budget Cost (USD)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Safeguards Officer</td>
<td>Included in budget</td>
</tr>
</tbody>
</table>
Lebanon Sustainable Low-Emission Transport Systems
Annex 10: Environmental and Social Management Framework

<table>
<thead>
<tr>
<th>Item</th>
<th>Budget Cost (USD)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contracted company for ESIA/ESMP</td>
<td>$40,000</td>
</tr>
<tr>
<td>Travel expenses for consultations</td>
<td>$5,000</td>
</tr>
<tr>
<td>SESP capacity building/training expenses</td>
<td>$2,000</td>
</tr>
<tr>
<td>Audio-visual &amp; print production expenses</td>
<td>$1,000</td>
</tr>
<tr>
<td>Total:</td>
<td>$48,000</td>
</tr>
</tbody>
</table>

8 Monitoring and Evaluation Arrangements

Reporting on progress and issues in the implementation of this ESMF will be documented in the project’s quarterly reports and annual Project Implementation Reports (PIRs).

Implementation of the ESMP will be the responsibility for the Project Team and other partners as agreed upon and described in those future plans. The ESMF monitoring and evaluation plan is outlined below in Table 3.
### Table 3: ESMF M&E plan and estimated budget

<table>
<thead>
<tr>
<th>Monitoring Activity &amp; Relevant Projects</th>
<th>Description</th>
<th>Frequency / Timeframe</th>
<th>Expected Action</th>
<th>Roles and Responsibilities</th>
<th>Cost (if any)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Track progress of ESMF implementation</td>
<td>Implementation of this ESMF and with results reported to Project Board</td>
<td>Annually</td>
<td>Required ESMF steps are completed in a timely manner.</td>
<td>Project Manager with support from and Project Assistant</td>
<td>Included in the project budget and budget for Project Assistant</td>
</tr>
<tr>
<td>Preparation of SESA and its Action Plan and ESIA/ESMP</td>
<td>Carried out in a participatory manner, analysis of potential environmental and social risks including risks associated with e-mobility strategy, end-of-life vehicle roadmap and rehabilitation activities for bus stops and accessibility infrastructure, drafted in a participatory manner</td>
<td>Quarter 1 and 2 of project implementation</td>
<td>Risks and potential impacts are validated with support of external consultant and participation of project team and stakeholders; management actions identified and incorporated into project implementation strategy</td>
<td>External service provider (environmental and social)</td>
<td>$40,000</td>
</tr>
<tr>
<td>Implementation of mitigation measures and monitoring of potential impacts identified in the ESMP</td>
<td>Permanent and participatory implementation and monitoring of impacts and mitigation measures, in accordance with ESMP</td>
<td>Continuous, once ESMP is in place</td>
<td>Implementation of ESMP; participatory monitoring (i.e. identifying indicators, monitoring potential impacts and risks)</td>
<td>Project Manager, UNDP CO, Project Assistant</td>
<td>Included in the project budget and budget for Project Assistant</td>
</tr>
<tr>
<td>Learning</td>
<td>Knowledge, good practices and lessons learned regarding social and environmental risk management will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.</td>
<td>At least annually</td>
<td>Relevant lessons are captured by the Project Team and used to inform management decisions.</td>
<td>Project Manager, KM/Communications</td>
<td>None</td>
</tr>
<tr>
<td>Annual project quality assurance</td>
<td>The quality of the project will be assessed against UNDP’s quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project</td>
<td>Annually</td>
<td>Areas of strength and weakness will be reviewed and used to inform decisions to improve project performance</td>
<td>UNDP CO, Project Manager, with support from Project Assistant</td>
<td>None</td>
</tr>
<tr>
<td>Review and make course corrections</td>
<td>Internal review of data and evidence from all monitoring actions to inform decision making</td>
<td>At least annually</td>
<td>Performance data, risks, lessons and quality will be discussed by the Project Board and used to make course corrections</td>
<td>Project Board (considering stakeholders’ opinions)</td>
<td>None</td>
</tr>
<tr>
<td>Project report</td>
<td>As part of progress report to be presented to the Project Board and key stakeholders, analysis, updating and recommendations for risk management will be included</td>
<td>Annually, and at the end of the project (final report)</td>
<td>Updates on progress of ESMF/ESMP will be reported in the project’s annual GEF PIRs.</td>
<td>Project Manager</td>
<td>None</td>
</tr>
<tr>
<td>Monitoring Activity &amp; Relevant Projects</td>
<td>Description</td>
<td>Frequency / Timeframe</td>
<td>Expected Action</td>
<td>Roles and Responsibilities</td>
<td>Cost (if any)</td>
</tr>
<tr>
<td>-----------------------------------------</td>
<td>------------------------------------------------------------------------------</td>
<td>-----------------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>Project review</td>
<td>Project Board to hold regular project reviews during which an updated analysis of risks and recommended risk mitigation measures will be discussed</td>
<td>At least annually</td>
<td>Any risks and/or impacts that are not adequately addressed by national mechanisms or Project Team will be discussed by Project Board. Recommendations will be made, discussed and agreed upon.</td>
<td>Project Board, Project Manager</td>
<td>None</td>
</tr>
</tbody>
</table>
9 Annexes

9.1 SESP Template
9.2 Indicative Outline of Action Matrix for SESA

**UNDP Social and Environmental Standards:**

*Action Matrix for SESA – Indicative Outline*

Please refer to the **UNDP SES Guidance Note on Assessment and Management** for additional information.

## Indicative sample of an action matrix for summarizing SESA recommendations, including measures to address anticipated social and environmental risks and impacts

### Strategic Priority 1

**Example: Enhance community participation and benefits in sector X**

<table>
<thead>
<tr>
<th>Priority reform area</th>
<th>Short term actions (1-2 years)</th>
<th>Short term monitorable outcomes</th>
<th>Medium-term actions (3-5 years)</th>
<th>Medium-term monitorable outcomes</th>
<th>Long-term actions (&gt;5 years)</th>
<th>Final outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Women’s participation and employment in sector X</td>
<td>Establish mechanisms to enhance women’s participation in local government and in negotiations involving companies in sector X</td>
<td>Increase participation in negotiations Increase in female employment Female participation in training programmes</td>
<td>Awareness programs for women’s rights Refine and strengthen mechanisms for women’s participation</td>
<td>Significant increase in female employment and training programmes</td>
<td>Reformed procedures for promoting women’s participation in local and regional development</td>
<td>Gender differences significantly reduced in sector X and local and regional development processes</td>
</tr>
<tr>
<td>Community disputes with companies in sector X</td>
<td>Establish a dispute resolution mechanism on social and environmental issues that is accessible to community</td>
<td>Disputes between companies in sector X and local communities resolved more speedily with less conflict</td>
<td>Strengthen ability of Community representatives in use of mediation to resolve disputes Strengthen ability of local governments and community representatives to investigate and motivate legal procedures against companies in sector X with poor social and environmental performance</td>
<td>Increase percentage of satisfactory settlements Time taken to settle disputes declines</td>
<td>Extend and adapt dispute resolution system to other industries associated with sector X</td>
<td>Disputes reduced and managed effectively</td>
</tr>
</tbody>
</table>
9.3 Indicative Outline of Environmental and Social Impact Assessment (ESIA) Report

UNDP Social and Environmental Standards:
ESIA Report – Indicative Outline

Please refer to the UNDP SES Guidance Note on Assessment and Management for additional information.

An ESIA report should include the following major elements (not necessarily in the following order):

(1) Executive summary: Concisely discusses significant findings and recommended actions.

(2) Legal and institutional framework: Summarizes the analysis of the legal and institutional framework for the project, within which the social and environmental assessment is carried out, including (a) the country’s applicable policy framework, national laws and regulations, and institutional capabilities (including implementation) relating to social and environmental issues; obligations of the country directly applicable to the project under relevant international treaties and agreements; (b) applicable requirements under UNDP’s SES; and (c) other relevant social and environmental standards and/or requirements, including those of any other donors and development partners. Compares the existing social and environmental framework and applicable requirements of UNDP’s SES (and those of other donors/development partners) and identifies any potential gaps that will need to be addressed.

(3) Project description: Concisely describes the proposed project and its geographic, social, environmental, and temporal context, including any offsite activities that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well as the project’s primary supply chain. Includes a map of sufficient detail, showing the project site and the area that may be affected by the project’s direct, indirect, and cumulative impacts. (i.e. area of influence).

(4) Baseline data: Summarizes the baseline data that is relevant to decisions about project location, design, operation, or mitigation measures; identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions; assesses the scope of the area to be studied and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences; and takes into account current and proposed development activities within the project area but not directly connected to the project.

(5) Social and environmental risks and impacts: Predicts and takes into account all relevant social and environmental risks and impacts of the project, including those related to UNDP’s SES (Overarching Policy and Principles and Project-level Standards). These will include, but are not limited to, the following:

(a) Environmental risks and impacts, including: any material threat to the protection, conservation, maintenance and rehabilitation of natural habitats, biodiversity, and ecosystems; those related to climate change and other transboundary or global impacts; those related to community health and safety; those related to pollution and discharges of waste; those related to the use of living natural resources, such as fisheries and forests; and those related to other applicable standards.²

(b) Social risks and impacts, including: any project-related threats to human rights of affected communities and individuals; threats to human security through the escalation of personal, communal or inter-state conflict, crime or violence; risks of gender discrimination; risks that adverse project impacts fall disproportionately on disadvantaged or marginalized groups; any prejudice or discrimination toward individuals or groups in providing access to development resources and project benefits, particularly in the case of disadvantaged or marginalized groups; negative economic and social impacts relating to physical displacement (i.e. relocation or loss of shelter) or economic displacement (i.e. loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of project-related land or resource acquisition or restrictions on land use or access to resources; impacts on the health, safety and well-being of workers and project-affected communities; and risks to cultural heritage.

² For example, the Environmental, Health, and Safety Guidelines (EHSGs), which are technical reference documents with general and industry-specific statements of Good International Industry Practice. The EHSGs contain information on industry-specific risks and impacts and the performance levels and measures that are generally considered to be achievable in new facilities by existing technology at reasonable cost. Available at www.ifc.org/ehsguidelines.
(6) **Analysis of alternatives:** systematically compares feasible alternatives to the proposed project site, technology, design, and operation – including the "without project" situation – in terms of their potential social and environmental impacts; assesses the alternatives’ feasibility of mitigating the adverse social and environmental impacts; the capital and recurrent costs of alternative mitigation measures, and their suitability under local conditions; the institutional, training, and monitoring requirements for the alternative mitigation measures; for each of the alternatives, quantifies the social and environmental impacts to the extent possible, and attaches economic values where feasible. Sets out the basis for selecting the particular project design.

(7) **Mitigation Measures:** Inclusion or summary of (with attachment of full) Environmental and Social Management Plan (ESMP) (see indicative outline of ESMP below.) The ESMP identifies mitigation measures required to address identified social and environmental risks and impacts, as well as measures related to monitoring, capacity development, stakeholder engagement, and implementation action plan.

(8) **Stakeholders.** Summarizes and links to project Stakeholder Engagement Plan or ESMP that includes plan for consultations. Includes summary of consultations undertaken for development of ESIA (see appendices).

(9) **Conclusions and Recommendations:** Succinctly describes conclusion drawn from the assessment and provides recommendations. Includes recommendation regarding the project’s anticipated benefits in relation to its social and environmental risks and impacts.

(9) **Appendices:** (i) List of the individuals or organisations that prepared or contributed to the social and environmental assessment; (ii) References – setting out the written materials both published and unpublished, that have been used; (iii) Record of meetings, consultations and surveys with stakeholders, including those with affected people and local NGOs. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected groups and local NGOs, summarizes key concerns and how these concerns addressed in project design and mitigation measures; (iv) Tables presenting the relevant data referred to or summarized in the main text; (v) Attachment of any other mitigation plans; (vi) List of associated reports or plans. the main text; (v) Attachment of any other mitigation plans; (vi) List of associated reports or plans.
9.4 Indicative Outline of Environmental and Social Management Plan

UNDP Social and Environmental Standards:
ESMP – Indicative Outline

Please refer to the UNDP SES Guidance Note on Assessment and Management for additional information.

An ESMP may be prepared as part of the Environmental and Social Impact Assessment or as a stand-alone document. The content of the ESMP should address the following sections:

(1) Mitigation: Identifies measures and actions in accordance with the mitigation hierarchy that avoid, or if avoidance not possible, reduce potentially significant adverse social and environmental impacts to acceptable levels. Specifically, the ESMP: (a) identifies and summarizes all anticipated significant adverse social and environmental impacts; (b) describes – with technical details – each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate; (c) estimates any potential social and environmental impacts of these measures and any residual impacts following mitigation; and (d) takes into account, and is consistent with, other required mitigation plans (e.g. for displacement, indigenous peoples).

(2) Monitoring: Identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed in the environmental and social assessment and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

(3) Capacity development and training: To support timely and effective implementation of social and environmental project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level. Specifically, the ESMP provides a description of institutional arrangements, identifying which party is responsible for carrying out the mitigation and monitoring measures (e.g. for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training). Where support for strengthening social and environmental management capability is identified, ESMP recommends the establishment or expansion of the parties responsible, the training of staff and any additional measures that may be necessary to support implementation of mitigation measures and any other recommendations of the environmental and social assessment.

(4) Stakeholder Engagement: Summarizes and links to project Stakeholder Engagement Plan or outlines plan to engage in meaningful, effective and informed consultations with affected stakeholders. Includes information on (a) means used to inform and involve affected people in the assessment process; and (b) summary of stakeholder engagement plan for meaningful, effective consultations during project implementation, including identification of milestones for consultations, information disclosure, and periodic reporting on progress on project implementation. Require documentation of consultations (summaries including presentations, key points raised and responses provided, participation lists). Include information on project grievance mechanism (below) and on UNDP Accountability Mechanisms (SRM, SECU).

(5) Grievance redress mechanism: Describes effective processes for receiving and addressing stakeholder concerns and grievances regarding the project’s social and environmental performance.

Describe mechanisms to provide stakeholders and potential affected communities avenues to provide feedback or grievances, and receive responses, with regard to the implementation of specific activities, policies, or regulations.

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This may be particularly relevant where contractors are being engaged to carry out the project, or parts thereof, and the ESMP sets out the requirements to be followed by contractors. In this case, the ESMP should be incorporated as part of the contract with the contractor, together with appropriate monitoring and enforcement provisions.
(6) Implementation action plan (schedule and cost estimates): For all four above aspects (mitigation, monitoring, capacity development, and stakeholder engagement), ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures are also integrated into the total project cost tables. Each of the measures and actions to be implemented will be clearly specified and the costs of so doing will be integrated into the project’s overall planning, design, budget, and implementation.