



# Flexibility and proportionality of the Environmental and Social Framework (ESF) for the enhancement of the readiness and implementation of Dams Project



## *What are examples of environmental and social values?*

### **Environment Values**

- Air and water quality
- Biodiversity
- Landscape aesthetics
- Spiritual value derived from nature
- Natural resources
- Ecosystem services

### **Social Values**

- Human health
- Property and belongings
- Community integrity
- Livelihoods
- Fairness and equity
- Rights
- Protections for vulnerable individuals and groups



**ESS1**

**Assessment and  
Management of  
Environmental and Social  
Risks and Impacts**



**ESS2**

**Labor and  
Working  
Conditions**



**ESS3**

**Resource Efficiency  
and Pollution  
Prevention and  
Management**



**ESS4**

**Community  
Health and  
Safety**



**ESS5**

**Land Acquisition,  
Restrictions on Land Use  
and Involuntary  
Resettlement**



**ESS6**

**Biodiversity Conservation  
and Sustainable  
Management of Living  
Natural Resources**



**ESS7**

**Indigenous Peoples/Sub-  
Saharan African  
Historically Underserved  
Traditional Local  
Communities**



**ESS8**

**Cultural  
Heritage**



**ESS9**

**Financial  
Intermediaries**

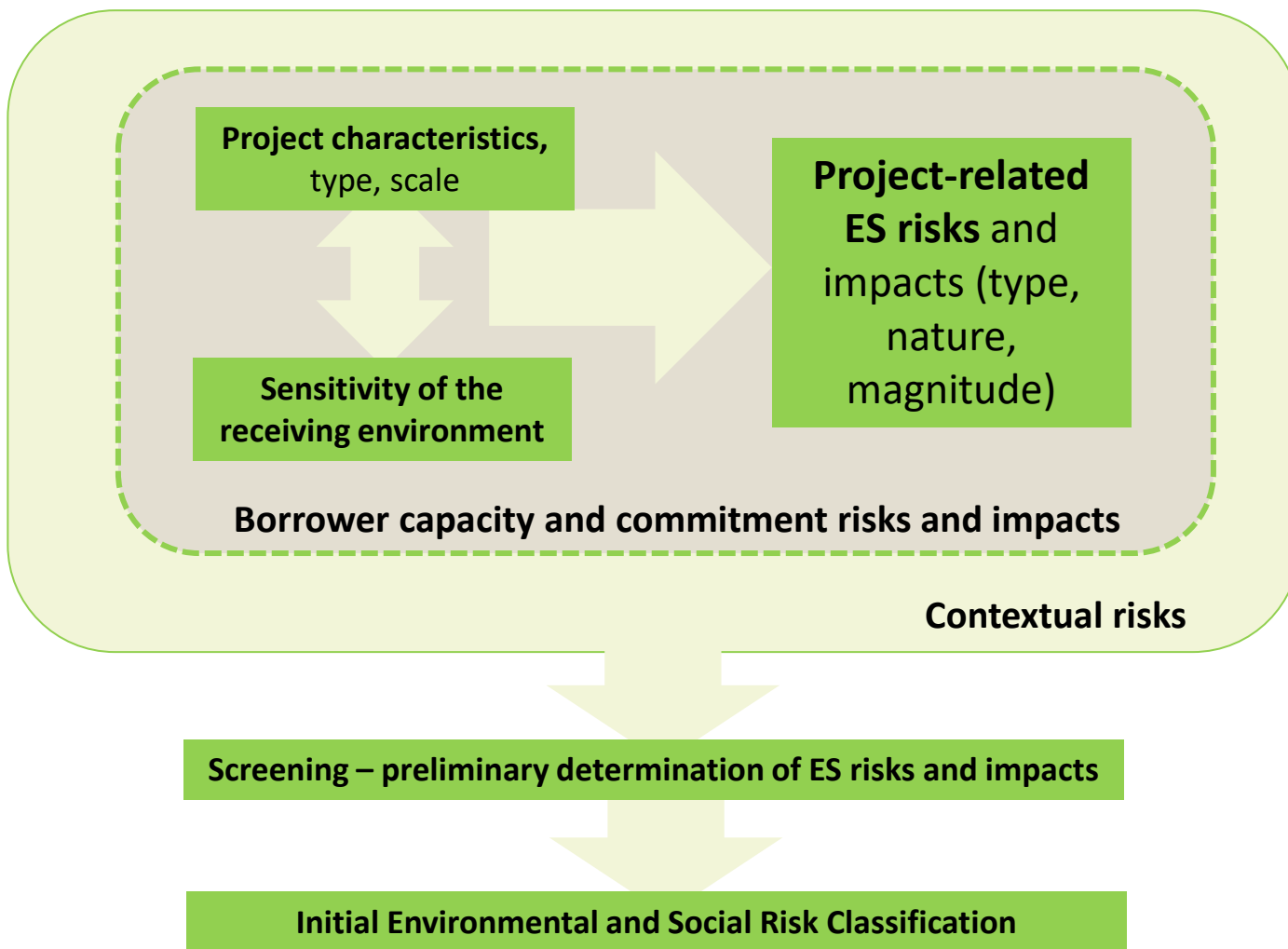


**ESS10**

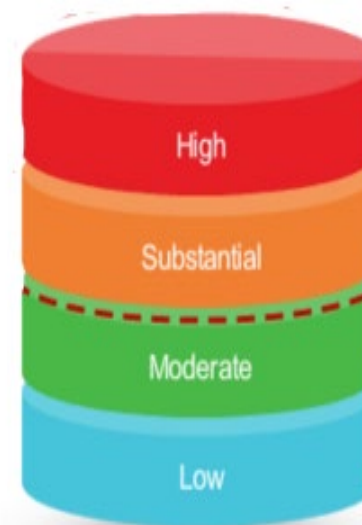
**Stakeholder  
Engagement and  
Information Disclosure**

## ***Key questions to consider when assessing project risks and impacts:***

- What are the E&S values we concerned about?
- From whose perspective are we evaluating E&S values?
- What is the harm that could result from the Project and how likely is it to happen?
- How severe is the harm, loss or damage?
- How is the harm distributed among different project affected communities?
- How do we build a shared consensus on the values to be protected and what harm should be avoided?
- What can / should the project do about E&S risks and impacts?
- What are the resources and capacity needed to identify and manage E&S risks and impacts?



## Overall Project ES Risk Classification



**High** = complex scale and design, sensitive and significant risks, significant capacity concerns, factors outside project control impacting on performance

**Substantial** = less complex scale and design, less sensitive locations, some significant risks, some significant capacity concerns;

**Moderate** = not complex, no sensitive areas, no significant risks with high potential for harm, no capacity concerns, site specific, predictable

**Low** = minimal, negligible risk to people or environment

Initial project screening and risk classification is determined by WB ES specialists

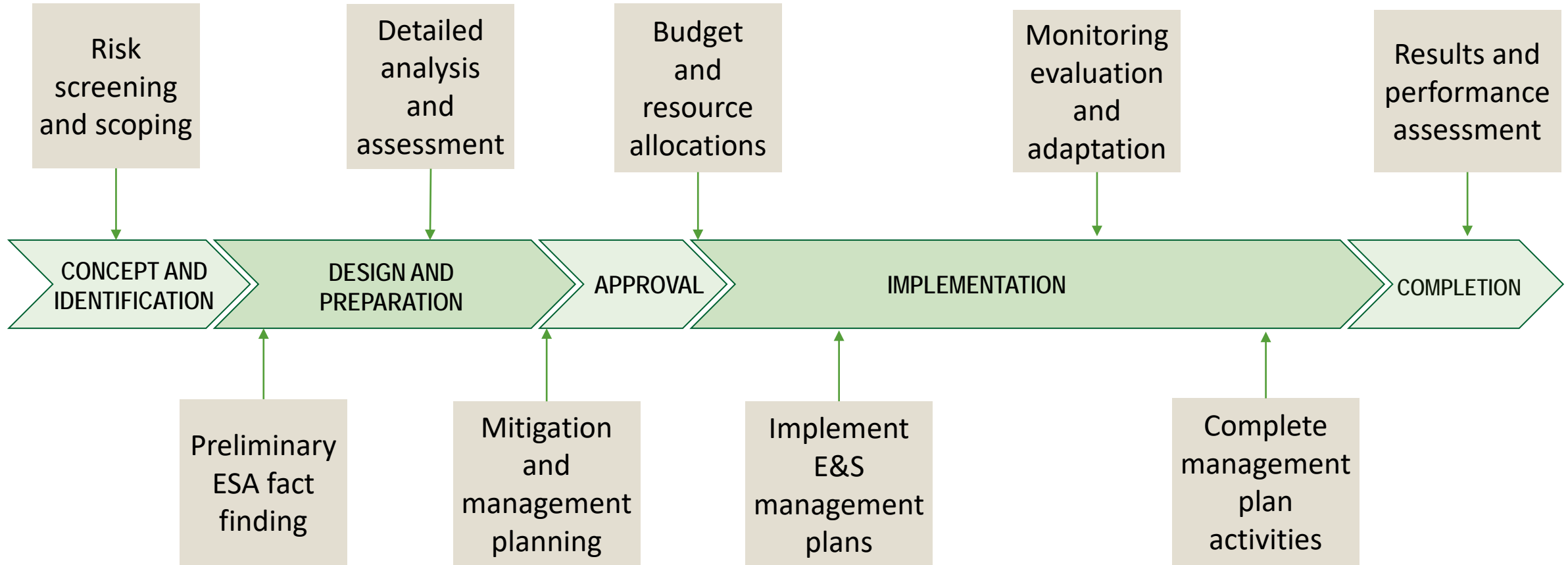




Lao PDR  
Nam Theun 2 Dam  
Nakai Plateau



Ghana  
Micro hydro plant  
Hohoe District, Volta Region



**Stakeholder engagement is a continuous process throughout**

Project Processing Stage	ESA Activity
<b>Identification</b>	<ul style="list-style-type: none"> <li>- Screen project proposal for E&amp;S risks</li> <li>- Scope project requirements for EIA or other required assessments (RAP/IPP/LMP etc.)</li> <li>- Preliminary stakeholder analysis to identify stakeholder interest</li> </ul>
<b>Design and Preparation</b>	<ul style="list-style-type: none"> <li>- Conduct ESIA, Social Assessment or other baseline studies for in-depth analysis</li> <li>- Prepare ESIA reports along with other key instruments</li> <li>- Disclose document and conduct stakeholder feedback sessions</li> <li>- Modify project design as relevant</li> </ul>
<b>Appraisal</b>	<ul style="list-style-type: none"> <li>- Assess project readiness</li> <li>- Evaluate management and mitigation measures</li> <li>- Evaluate institutional arrangements and resources</li> <li>- Finalize ESCP / Clear all arrangements for quality and compliance</li> </ul>
<b>Implementation</b>	<ul style="list-style-type: none"> <li>- Implement agreed actions</li> <li>- Monitor key results, outcomes and compliance</li> <li>- Consult stakeholders on periodic basis as defined in the SEP</li> <li>- Issue monitoring reports</li> <li>- Adapt program mitigation and management measures</li> </ul>
<b>Completion</b>	<ul style="list-style-type: none"> <li>- Ensure all agreed actions are completed</li> <li>- Assess project performance and results</li> <li>- Evaluate project and recommend actions for future projects</li> </ul>



# ESA and relevant management plans

Environmental  
& Social  
Commitment  
Plan

ESS1

ESMF

ESMS

ESS9

ESIA

ESS1

ESMP

Stakeholder Engagement Plan /Framework/GM

ESS10

Labor Management Procedures/OHS Procedures/GM

ESS2

ESS3

ESS4

ESS5

ESS6

ESS7

ESS8

GHG Estimate

Security Force Risk Assessment

Resettlement  
Plan/Framework

Biodiversity  
Management  
Plan

Indigenous  
Peoples  
Plan/Framework

Cultural  
Heritage  
Management  
Plan

Pollution/Waste  
Management Plan

SEA/SH Action Plan

Process  
Framework

Primary  
Supplier/Harvest  
Management  
Standards

Integrated  
Community  
Development  
Plan

Chance Find  
Procedures

Pesticides  
Management Plan

Community Health Plan

Road Safety Plan

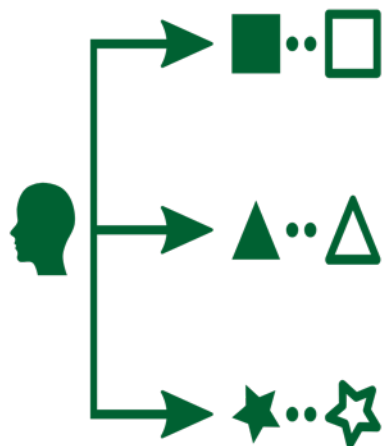
Dam Safety Plan

Structure Certification

Risk Hazard Assessment  
Emergency Preparedness Plan

- **Risk, Proportionality, and Flexibility are inter-twined**
- **Proportionality:** the relationship between risk and level of effort to manage risk; ensures that sufficient resources are available to manage the risks and meet stated management objectives; if we can meet the objectives with less effort or fewer resources then the approach would not be “proportional”
- **Flexibility in Level of Effort:** depth of assessments; timing of assessments; type and depth of analytical studies; nature of specialized expertise required; type of oversight and clearance; locus of decision-making responsibility; extent and frequency of stakeholder engagement; monitoring and disclosure;
- **The degree of flexibility is, in general, inversely related to risks.** The higher the risks the less flexibility we have with respect to the level of effort.





- The World Bank can be flexible and proportional with respect to:
  - Depth and breadth of E&S assessments required
  - Timing of assessments
  - Type and depth of supporting analytical studies
  - Level of specialized expertise required
  - Type of Bank oversight and clearance used
  - Extent and frequency of stakeholder engagement
  - Depth and breadth of monitoring and reporting
  - Use of Borrower systems

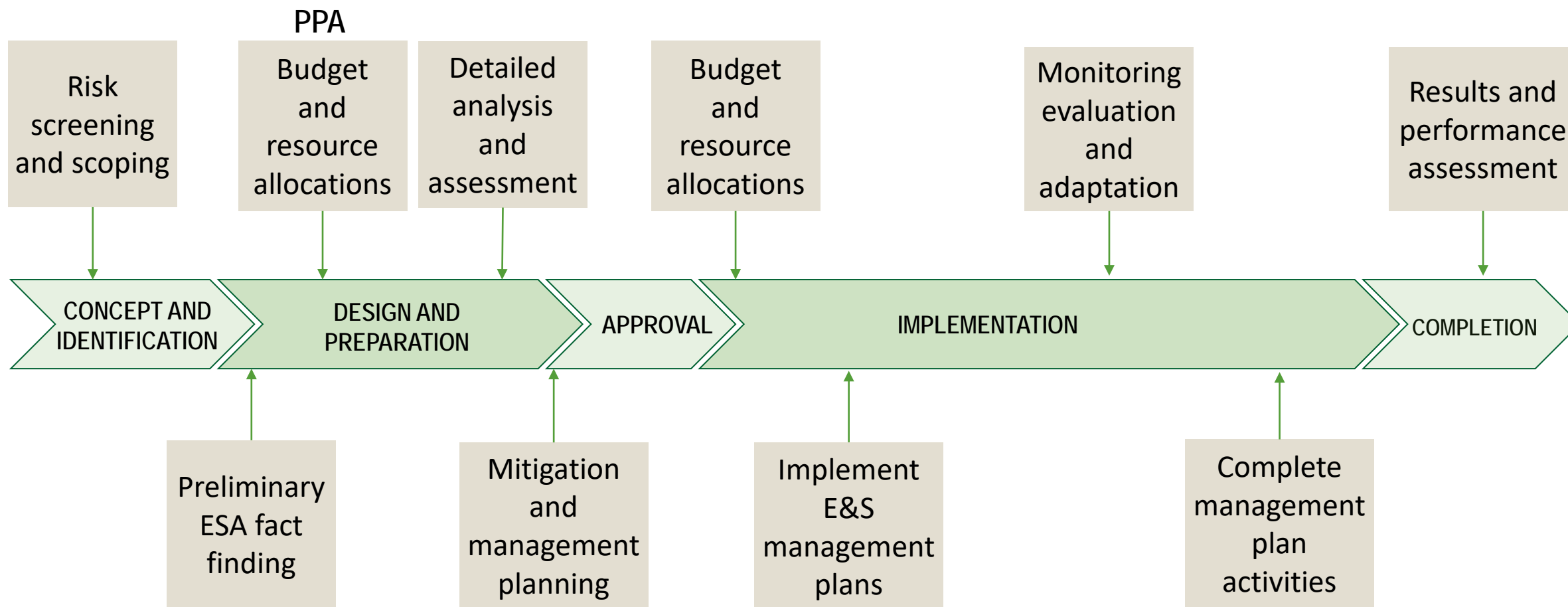
## Borrower and Implementing Entities

- Conduct E&S assessments in line with ten ESS
- Conduct Stakeholder engagement / consultations
- Implement project management and monitoring plans
- Monitor and supervise implementation
- Disclose documentation
- Conduct institutional capacity building actions
- Prepare periodic monitoring reports
- Establish grievance and dispute resolution mechanisms

## World Bank

- Advise Borrower on Bank ESF policy and standards requirements
- Conduct due diligence on project risks including QA/QC reviews
- Assure Borrower address risks and impacts consistent with ESS
- Regularly supervise project implementation and provide implementation support to Borrowers
- Ensure Borrower compliance with E&S commitments during implementation
- Assist with resolving issues and problems that arise from time to time





**Stakeholder engagement is a continuous process throughout**

- [Environmental and Social Framework \(Full text\)](#)
- [Environmental Health and Safety Guidelines \(EHSB\)](#)
- [ESF Technical Guidance Notes](#)
- Additional publications and guidance:
- [Social Analysis Sourcebook](#)
- [Resettlement Sourcebook](#)

For any contact and guidance:

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