Environment & Social Troubleshooting

Workshop on

Writing an ESIA Report & Environment & Social Management Plan (ESMP)

11th December 2020
Hosted by
National Institute of Urban Affairs
Environment & Social Trouble Shooting Workshop on writing an ESIA Report & Environment & Social Management Plan (ESMP)

On 11th December 2020

Report prepared by
Dr. Shilpy Gupta, Environment & Social Specialist – CITIIS PMU

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Participants

Twelve Smart City SPVs part of the CITIIS program.

Attended by the Project In-charges, the Public Engagement Officers, Environmental and Social Nodal Officers, and Technical Assistance, including International Mentors and Domestic Experts.

Presenter

Dr. Marisha Sharma, Founder, Min Mec Consultancy Pvt. Ltd. and E& S Advisor - CITIIS
Dr. Shilpy Gupta, E& S Specialist-CITIIS, National Institute of Urban Affairs (NIUA)

Moderator

Dr. Shilpy Gupta, E& S Specialist-CITIIS, National Institute of Urban Affairs (NIUA)
Background

As on November 2020, the projects in the CITIIS program are progressing towards concluding the maturation phase and kick starting the implementation phase. An important deliverable of the maturation phase, which is also a compliance document as per the Tripartite agreement signed between MoHUA, the State Government and the SPV is “Environment & Social Impact Assessment (ESIA) & Environment & Social Management Plan (ESMP). ESIA & ESMP is also one of the key deliverables of the E & S Officers hired by the SPVs under the CITIIS project.

To ensure that all E & S deliverables are in alignment with the ES guidelines of the French Development Agency (AFD), and the Ministry of Environment, Forestry & Climate Change (MoEFCC), a ‘troubleshooting session,’ was organised by the CITIIS PMU on 11th December, 2020. The key objectives of the workshop were-

- To exchange experiences based on the endorsement of E&S Screening Report;
- To expedite the process of endorsement of ESIA & ESMP reports;
- To address the issues & challenges w.r.t E&S safeguards.
- To help SPV to design a project meeting the environment and social safeguards by jointly defining activities and measures which need to be implemented in order to improve the environmental and social quality of the project.

In the session we discussed the learnings from the preparation of the E&S Screening Report, Structure of the ESIA report & ESMP, as well as the ES Safeguards requirement.

Presentation

Dr. Shilpy Gupta made a presentation how to avoid common mistakes based on the learning from screening Report and how to write an Environment and Social Management Plan (ESMP) Broadly, the content on the presentation included the following.

- Purpose of the workshop?
- Importance of Environment & Social Safeguard?
- Common report writing mistakes?
- How to write an effective Report?
- Standard Report writing Rules?
- Importance of referencing in the report?
- What is Environment & Social Management Plan?
- Importance of Environment & Social Management Plan?
- Broad Structure of ESMP?
- E & S Mitigation Plan?
- E & S Monitoring Plan?
- E & S Monitoring indicators?
- Public Consultation & Stakeholder Management?
- Grievance Redressal mechanism (GRM)?
- Importance of Gender Action Plan (GAP)?
- Significance of Resettlement Action Plan (RAP)?

Dr. Marisha Sharma made a presentation on a step-by-step approach of preparing a ESIA, and lays guidelines for developing, executing and writing an effective ESIA Report. Broadly, the content on the presentation included the following.

- What is a Environment & Social Impact Assessment?
- How is a ESIA Report different from a ESMP?
- Content of the ESIA Report?
- National & International Environment & Social Act & Regulation?
- Baseline Environment & Social indicators
- Climate, Topology, Air, Water, Noise, Ecology
- Socio-Economic Data,
- Environment & Social Risk & Impacts
- Mitigation Measures
- Tangible & Intangible Project benefit

Please see Annexure 1 for the detailed presentation.
Key Takeaways

Environment & Social Safeguards are the key components to have a pro-active dimension to increase chances that development projects deliver better outcomes for people and the environment.

The objective of Enviornment & Social Safeguard is to avoid, mitigate and minimize adverse environmental and social impacts that may arise in the implementation of development project.

Implementing projects according to safeguard policies comes at cost. However these costs are more than justified when compared with any reputational risk or legal responsibility in the event of a project related grievance.

Well managed E & S safeguards will help identify and minimize any potential adverse impacts of our CITIIS projects, and it will also help reduce and manage reputational risks for all stakeholders.

Preparation of a typical ESIA report consist of the following structure and:

<table>
<thead>
<tr>
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<tr>
<td>TOC</td>
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<tr>
<td>LIST OF ABBREVIATIONS</td>
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</table>

| CHAPTER 1 | INTRODUCTION |
| CHAPTER 2 | PROJECT DESCRIPTION |
| CHAPTER 3 | BASELINE DATA |
| CHAPTER 4 | ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS |
| CHAPTER 5 | MITIGATION MEASURES |
| CHAPTER 6 | ANALYSIS OF ALTERNATIVES |
| CHAPTER 7 | STAKEHOLDERS ENGAGEMENT PLAN/ADDITIONAL STUDIES |
| CHAPTER 8 | PROJECT BENEFITS |
| CHAPTER 9 | DISCLOSURE OF ESA TEAM |
| APPENDIX  | |

The preparation of ESIA (Environment & Social Impact Assessment) and ESMP (Environment & Social Management Plan) involves understanding the Enviornment & Social risks of the project and mitigation plan.

The multifaceted nature of large scale complex urban projects involves multifunctional environment & social risk and impact on stakeholders by the project activities.

The components of a ESMP include:

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<td>ADMINISTRATIVE FRAMEWORK &amp; CAPACITY DEVELOPMENT AND TRAINING</td>
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<td>CHAPTER 5</td>
<td>IMPLEMENTATION SCHEDULE AND COST ESTIMATES</td>
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<td>CHAPTER 6</td>
<td>COMMUNITY/STAKEHOLDER ENGAGEMENT AND GRIEVANCE REDRESSAL</td>
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<tr>
<td>CHAPTER 7</td>
<td>OCCUPATIONAL HEALTH AND SAFETY PLAN</td>
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<td>CHAPTER 8</td>
<td>CONSTRUCTION LABOUR MANAGEMENT PLAN</td>
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<td>CHAPTER 9</td>
<td>EMERGENCY PREPAREDNESS AND RESPONSE PLAN</td>
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<td>CHAPTER 11</td>
<td>RESETTLEMENT ACTION PLAN/GENDER ACTION PLAN</td>
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<td>CHAPTER 12</td>
<td>CLIMATE VULNERABLE ASSESSMENT PLAN</td>
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**KEY DISCUSSION POINTS**

- What is meant by co-funder? how it is different from CSR fund?
- How much detail does SPV need to go for Environment & Social Acts? Do we need to write Environment & Social Act as per components/sub-components level?
- Project which are having digital tool for their project and their technology is not related to construction. Do they needs to include the technology and process not related to construction?
- What is meant by technology & process description?
- Whether we need to present impacts in tabular format or in running text?
- Project having different project sites. Do they need to prepare a separate report for each site OR they need to prepare a comprehensive ESIA report?
- Whether SPV needs to incorporate the social impacts in ESIA report if they are having separate SIA report?

**Session Outcome**

The presentation was followed by a Q & A round moderated by Dr. Shilpy Gupta, E & S Specialist at the CITIIS PMU. During the Q & A, the E & S Nodal officers sought clarifications pertaining to SPV Specific Environment & Social Risk, Impacts and mitigation plan.

This workshop helped the SPV to expedite the preparation of ESIA & ESMP report as maturation phase deliverable.
Annexure: Slides from the Presentation

Agenda

- PURPOSE OF THE WORKSHOP
- CONTENT OF ESIA & ESMP REPORT
- CHAPTERS OF ESIA REPORT
- LEARNING FROM SCREENING REPORT
- GENERAL REPORT WRITING TIPS
- CHAPTERS OF ESMP REPORT
PURPOSE OF THE WORKSHOP

- To exchange experience based on the endorsement of ES Screening Report
- To expedite the process of endorsement of ESIA & ESMP reports
- To address the issues & challenges of SPVs w.r.t E & S Safeguards
- To help SPV to design a project meeting the environment and social safeguards by jointly defining activities and measures which need to be implemented in order to improve the environmental and social quality of the project
- To allow stakeholders to be informed and participate in project design.

STAGES & TIME LINE FOR MATURATION PHASE DELIVERABLE

ES Screening Report: COMPLETED
ESIA: ONGOING
ESMP: ONGOING
# BROAD STRUCTURE OF ESIA

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## Learnings from Screening Report

**ESIA Report Writing General tips**

- Please follow standard report writing rules while making the report.
- Please ensure that the grammar, spellings and sentence construction are in order.
- While copy pasting from PDF to word or during format conversion, words tend to group together. Please take care to peruse the word document after any such activity.
- In case some aspect is not applicable due to your project configuration, then kindly mention so with reason. Avoid leaving sections blank.
- When pasting a map, figure or photo, please maintain aspect ratio (X & Y ratio or length and width ratio). Don’t distort the aspect ratio in order to fit it into a given space.
Learnings from Screening Report
ESIA Report Writing General tips

When pasting maps, please ensure that the text on the map is legible, the legend matches the text, the map is in color, the map is appropriate for the scale of the map, and that the map is oriented correctly. Also ensure that what is written on the map matches with what is written in the text. If the map is not to scale, write “Not to scale” and ensure that the scale is maintained. Also ensure that what is written in the text matches with the map.

Please ensure that your figures, tables, and text descriptions match. It is common for a writer to correct a figure or table at some stage and forget to correct the corresponding text wherein the figure/table has been analysed. It is also common that any changes to the table data miss getting updated.

Avoid use of local units of measurements such as cents, bigha, acres etc. Please use standard international units of measurements of length (meters, km, cm), area (sq.m.), volume (cubic meter or kilo litre).

In tables, please ensure header rows are repeated across pages.

Learnings from Screening Report
ESIA Report Writing General tips

Please refer the tables, figures, annexures in the text at the appropriate places.

Tables, figures, annexures taken from the internet or other secondary sources should be duly acknowledged.

E&S Nodal officers for 12 SPVs

<table>
<thead>
<tr>
<th>Sr No</th>
<th>City</th>
<th>Name of E&amp;S Officer</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Puducherry</td>
<td>Mr Radhakrishnan</td>
</tr>
<tr>
<td>2</td>
<td>Chennai</td>
<td>Ms Keerthi S</td>
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<td>3</td>
<td>Agartala</td>
<td>Ms Mautushi Chaudhary</td>
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<td>4</td>
<td>Amritsar</td>
<td>Mr Rajeev Giri</td>
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<td>Ms Anitha Mohandas</td>
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<td>Vizag</td>
<td>Ms Pavani</td>
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<td>7</td>
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<td>Ms Neha Dobhal</td>
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<td>8</td>
<td>Hubballi Dharwad</td>
<td>Ms Vani Hadagali</td>
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<td>Amaravati</td>
<td>Mr P. S. Chakravarthi</td>
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<td>Mr Kishan Kumar Patel</td>
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<td>11</td>
<td>Bhubaneswar</td>
<td>Mr Vivek Maddirala</td>
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<tr>
<td>12</td>
<td>Ujjain</td>
<td>Ms Shalini Negi</td>
</tr>
</tbody>
</table>
Cover Page Format

(a) Standard Logos : NIUA, EU, AFD, MoHUA, Smart City, Republique Francaise, CITIIS logo
(b) Title of the Report :
(c) Mention status - Draft/ Final
(d) Issue No.: .... , Date of Issue: ....
(e) Title of the Project :
(f) Description of Sub-projects (if any), in brackets:
(g) City :
(h) State :
(i) SPV name :
(j) Address :
(k) Phone :
(l) Email :
(m) Logo, if any :
(n) Add information of joint venture partners
   (0.1) JV partner 1 :   (p.1) JV partner 1 :
   (0.2) Address :   (p.2) Address :
   (0.3) Phone :   (p.3) Phone :
   (0.4) Email :   (p.4) Email :
   (0.5) Logo :   (p.5) Logo :

You need not follow the exact order or fonts but the information required as stated above should be present on the front page.
Some SPVs may like to put additional information, which is OK

Try to keep logos related to CITIIS together

In case it is an autogenerated table of contents, please check that unnecessary text has not come into the table. An example is given below:

| Chapter-4: Description of the Environment and Social (Baseline Data) |
|---------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|
| 4.1 Baseline Environmental Assessment: | 4.1.1 Meteorology | 4.1.2 Water | 4.1.2.1 Ground Water | 4.1.2.2 Surface Water | 4.1.3 Soil | 4.1.4 Air | 4.1.5 Noise | 4.1.6 Flora and Fauna | 4.1.7 Forests |

When making table of contents manually, avoid this kind of numbering where a whole chapter has been given a page range. Ideally, the page number of the sections should appear in front of the sections. Sample of what to avoid is given below:
• Sections should be accompanied with serial numbers for ease in reference

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LIST OF SELECTED FOR CITS PROJECT ........................................... 6
DESCRIPTION OF PROJECT SITE .................................................. 7
Geography .................................................................................... 7

GOOGLE MAP OF PROJECT SITE .................................................... 8
PROJECT ACTIVITY DESCRIPTION ................................................ 8
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PRELIMINARY STAKEHOLDER CONSULTATION ................................ 15

List of Abbreviations

LIST OF ABBREVIATIONS

Instruction to users –

1. Please ensure that ALL abbreviations used in the report are listed here.

2. A large number of abbreviations are Indian agency names, stakeholders, technical terms specific to the project etc and a reader, of another country may not be familiar with them.

3. Therefore, the abbreviations, though conventionally not taken seriously by most report writers are quite crucial to help the person understand the text easily.

4. If there is an abbreviation that is used only 1-5 times in the entire report, it is usually better to use the full form instead of creating an abbreviation.

5. Some SPVs like Ujjain might require a glossary as well explaining local terms which do not have an equivalent in English.
Executive Summary

EXECUTIVE SUMMARY

- Concisely discusses significant findings and recommended actions.
- Focus on explaining how adverse effects have been mitigated
- Synopsis of the whole report

CHAPTER 1: INTRODUCTION

1.1 Purpose of the report
1.2 Identification of the project proponent
1.3 Identification of the project
  1.3.1 Location of the project
  1.3.2 Brief description of nature
1.3.3 Project Size
1.4 Importance of project to the country and/or region
1.5 Legal & Institutional framework
  1.5.1 National
  1.5.2 International
1.6 Comparison of India’s existing environmental and social framework and the ESSs
1.7 Environmental and social requirements of any co-financiers

* already covered in E&S Screening report
# common standardised content
CHAPTER 2: PROJECT DESCRIPTION

Condensed description of those aspects of the project (based on project Feasibility study), likely to cause environmental effects. Details should be provided to give clear picture of the following:

2.1 Type of project *
2.2 Need of Project *
2.3 Project site layout *

**Boundaries and detailed layout of the project. Should 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.**

2.4 Project Size or magnitude of operation (incl. Associated activities required by or for the project)*

**More detailed than section 1.3.3 earlier, if details are available. Concisely describe the proposed project and its geographic, environmental, social, and temporal context, including any offsite investments 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 suppliers.**

2.6 Proposed schedule for approval and implementation
2.7 Technology and process description
2.8 Assessment of new & untested technology for the risk of technological failure
2.9 Through consideration of the details of the project, indicates the need for any plan to meet the requirements of ESS1 through 10 *


CHAPTER 3: BASELINE DATA

*Sets out in detail the baseline data that is relevant to decisions about project location, design, operation, or mitigation measures. This should include a discussion of the source, accuracy & reliability of the data, as well as information about dates surrounding project identification, planning, and implementation.

*Include base maps of all environmental components

*If any changes are anticipated before the project commences, then that too has to be mentioned
*Mention key data gaps and uncertainties associated with predictions, if any
*Baseline (initial state) will be illustrated with photographs of the main issues and photographs showing the involvement of experts in charge of the impact study in the field.

### 3.1 ENVIRONMENT

1. Climate
2. Topography
3. Water resources - (i) Surface water and drainage, (ii) ground water, (iii) supply water
4. Water quality - (i) Surface water and drainage, (ii) ground water, (iii) supply water
5. Air Quality
6. Soil Quality
7. Noise Levels
8. Ecology
9. Land use
10. Solid waste systems
11. Sewage systems
12. Energy consumption
13. Traffic volume
14. Risk of Natural Hazard (Siesmicity / flood/ tsunami/ cyclone)
15. Any other, for example: baseline EMF in hospitals of Kochi

### 3.2 SOCIAL

1. Socio-economics
   
   The data collected will be gender-differentiated to identify the place and role of men and women. In particular, the number of households affected by the project and headed by women will be indicated.

2. Human Environment
   
   (Thematic maps for human environment: buildings, sensitive establishments (health centers, education centers, etc.), other buildings or important places (religious establishments, cemeteries, markets, etc.), businesses, industrial zones, agricultural zones, etc.)
   
   (a) Amenities
   (b) Places of historical/ religious/ tourist importance
   (c) Industries
**Baseline data**

**Options: Tabular style of representing data**

<table>
<thead>
<tr>
<th>Parameter</th>
<th>Locations</th>
<th>Monitor period</th>
<th>Monitoring frequency</th>
<th>Monitoring duration</th>
<th>Methodology &amp; reference standard</th>
<th>Monitored by/ source of data</th>
<th>Summary of Observation</th>
<th>Reference annexure for details</th>
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<tbody>
<tr>
<td>Air quality - PM10, PM2.5, SO2, NOx (add as required)</td>
<td>1. Project site</td>
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**Baseline data**

**Options: Text style of representing data**

3.3 Baseline environmental scenario

3.3.1 Environment

3.3.1.1 Climate
3.3.1.2 Topography
(include thematic map for relief)
3.3.1.3 Water resources
3.3.1.3.1 Surface water and drainage
(include thematic map for coursework, water bodies, flood zones, springs, water use points, signs of erosion, etc.)
3.3.1.3.2 Ground water
3.3.1.3.3 Supply water
3.3.1.4 Water Quality
3.3.1.4.1 Surface water
3.3.1.4.2 Ground water
3.3.1.4.3 Supply water
3.3.1.5 Air Quality
3.3.1.6 Land use (thematic map for land use)
3.3.1.7 Soil Quality

3.3.1.8 Noise Levels
3.3.1.9 Ecology
(include thematic map for protected areas (national parks, Ramsar zones, Unesco sites, etc.), remarkable but unprotected ecological environments, remarkable animal and plant species, ecological corridors;
3.3.1.10 Traffic volume
3.3.1.11 Solid waste systems
3.3.1.12 Sewage systems
3.3.1.13 Energy consumption
3.3.1.14 Risk of Natural Hazard
(Siesmicity / flood / tsunami / cyclone)
Baseline data

Options: Text style of representing data

3.2 Social
3.2.1 Socio-economics
The data collected will be gender-differentiated to identify the place and role of men and women. In particular, the number of households affected by the project and headed by women will be indicated.

3.2.2 Human Environment
{thematic maps for human environment: buildings, sensitive establishments (health centers, education centers, etc.), other buildings or important places (religious establishments, cemeteries, markets, etc.), businesses, industrial zones, agricultural zones, etc.}
3.2.2.1 Amenities
3.2.2.2 Places of historical/religious/tourist importance
3.2.2.3 Industries

CHAPTER 4: ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS

- Takes into account all relevant environmental and social risks and impacts of the project including all components and sub-components.
- Includes those specifically identified in ESSs 2–8, and any other environmental and social risks and impacts arising as a consequence of the specific nature and context of the project, including the risks and impacts identified in ESS1, paragraph 28.
- Risk is an event that may or may not happen. Impact is what will happen if the Risk occurs (or 'eventuates')
- Can write in prose (similar to chapter 3) or table, for example:

<table>
<thead>
<tr>
<th>Component</th>
<th>Sub-component</th>
<th>Aspect</th>
<th>Risk</th>
<th>Impacts*</th>
<th>Significance of impacts**</th>
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<tbody>
<tr>
<td>1 &lt;XXXX&gt;</td>
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<tr>
<td>2 &lt;YYYY&gt;</td>
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</tbody>
</table>

* quantify to the extent possible, identify reversible & reversible impacts
** define criteria
CHAPTER 5: MITIGATION MEASURES

- Identifies mitigation measures and significant residual negative impacts that cannot be mitigated and, to the extent possible, assess the acceptability of those residual negative impacts.
- Identifies differentiated measures so that adverse impacts do not fall disproportionately on the disadvantaged or vulnerable.
- Assesses the feasibility of mitigating the environmental and social impacts; the capital and recurrent costs of proposed mitigation measures, and their suitability under local conditions; the institutional, training, and monitoring requirements for the proposed mitigation measures.
- Specifies issues that do not require further attention, providing the basis for this determination.
- Can write in prose (similar to chapter 4) or table, for example:

<table>
<thead>
<tr>
<th>Component</th>
<th>Sub-component</th>
<th>Aspect</th>
<th>Mitigation*</th>
<th>Measures for disadvantaged or vulnerable</th>
<th>Costs</th>
<th>Institutional &amp; training requirement</th>
<th>Monitoring requirement</th>
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</thead>
<tbody>
<tr>
<td>1 &lt;XXXX&gt;</td>
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<td>Project Site/ location</td>
<td>Environment</td>
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<td>Capital</td>
<td>Recurring</td>
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<td></td>
<td>Final decommissioning or rehabilitation</td>
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</tbody>
</table>

* intent is that risk/impact should be avoided, eliminated or reduced, in this order

CHAPTER 6: ANALYSIS OF ALTERNATIVES

In case it has been carried out in the project. It could have been at project conception stage itself or subsequently due to suggestions from PMU, domestic/international experts, while detailed designing, dropping of components due to non-feasibility, etc

<table>
<thead>
<tr>
<th>Alternative No./ name</th>
<th>Description</th>
<th>Aspect</th>
<th>Without project scenario</th>
<th>Summary of adverse impacts*</th>
<th>Mitigation measures proposed**</th>
<th>Decision on alternative</th>
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</thead>
<tbody>
<tr>
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<td>Environment</td>
<td>Social</td>
<td>Environment</td>
<td>Social</td>
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<tr>
<td>2 &lt;YYYY&gt;</td>
<td>Project Site</td>
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<td></td>
<td>Design</td>
<td>Operation</td>
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</tr>
</tbody>
</table>

* quantify to the extent possible
** add economic value, where feasible, for 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

Conclude by explaining the basis for selecting the particular project design proposed and specify the applicable Environmental, Health & Safety Guidelines (ESHG), or if the ESHGs are determined to be inapplicable, justifies recommended emission levels and approaches to pollution prevention and abatement that are consistent with Good International Industry Practice (GIIP).
CHAPTER 7 : OTHER STUDIES

This chapter can be re-titled according to the contents. If you have several social studies, you can make them sections of this chapter and title the chapter as “Social Studies”. If you find the data is too much for one chapter and want to make separate chapters for them, that is also acceptable.

> Public Consultation
> Stakeholder engagement
> Risk assessment
> Social Impact Assessment
> R&R Action Plans
> Gender Action Plan
> Any other

Support with an Appendix of Record of meetings, consultations, and surveys with stakeholders, including those with affected people and other interested parties. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected people and other interested parties.

Take care not to repeat what has already be included in Chapters 4 & 5

Note: Detailed environment related studies got done, for example by Hubballi / Agartala about flow, ecology, etc will be a part of Chapter 3 & its annexures.

CHAPTER 8 : PROJECT BENEFITS

- Improvements in the Physical Infrastructure
- Improvements in the social Infrastructure
- Employment potential-skilled; semi-skilled and unskilled
- Other Tangible benefits
CHAPTER 9 : DISCLOSURE OF ESA TEAM

<table>
<thead>
<tr>
<th>Sl.</th>
<th>Name</th>
<th>Role/ designation</th>
<th>Educational Qualification</th>
<th>Experience (years &amp; description)</th>
<th>Activity carried out in the report</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

In case of consultant has been hired, brief background and experience of the company followed by the individuals involved to be added as well.

Any other laboratories, consultants can be listed, if they have prepared any reports relevant to E&S

APPENDICES

• Tables presenting the relevant data referred to or summarized in the main text.
• Record of meetings, consultations, and surveys with stakeholders, including those with affected people and other interested parties. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected people and other interested parties.
• socio-economic data disaggregated by sex and any other document
• List of associated reports or plans.
• References- set out the written materials, both published and unpublished, that have been used
ESMP (Environment & Social Management Plan)

The ESMP operationally translates the conclusions of the ESIA, specifying the practical arrangements for implementing and monitoring measures to mitigate or compensate for the impacts.

The objectives of the ESMP are to enable the various stakeholders (contracting authority, companies, technical assistance, etc.) to know the extent of their responsibilities and to list all the activities to be implemented to improve the environmental quality and social operations.

It is a tool for monitoring the implementation of environmental and social commitments made by the contracting authority following the process of environmental and social assessment of the operation.

Briefly remind the negative effects of the project defined in the ESIA, by separating the phase of construction, the phase of operation and if necessary the phase of dismantling or end of life, and specifying.

- The target affected by the impact
- The relative importance of the impact
- Its probability of occurrence, and
- Its duration (temporary / permanent, short, medium or long term).

Promotes self-regulation & integration of environmental issues in planning and operations.

BROAD STRUCTURE OF ESMP

<table>
<thead>
<tr>
<th>INDEX</th>
<th>TITLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>COVER PAGE</td>
<td></td>
</tr>
<tr>
<td>TOC</td>
<td></td>
</tr>
<tr>
<td>LIST OF ABBREVIATIONS</td>
<td></td>
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<tr>
<td>GLOSSARY</td>
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</tr>
<tr>
<td>CHAPTER 1</td>
<td>INTRODUCTION</td>
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<tr>
<td>CHAPTER 2</td>
<td>ENVIRONMENT MANAGEMENT PLAN</td>
</tr>
<tr>
<td>CHAPTER 3</td>
<td>PROPOSED ENVIRONMENT AND SOCIAL MANAGEMENT MONITORING PLAN</td>
</tr>
<tr>
<td>CHAPTER 4</td>
<td>ADMINISTRATIVE FRAMEWORK &amp; CAPACITY DEVELOPMENT AND TRAINING</td>
</tr>
<tr>
<td>CHAPTER 5</td>
<td>IMPLEMENTATION SCHEDULE AND COST ESTIMATES</td>
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<tr>
<td>CHAPTER 6</td>
<td>COMMUNITY/STAKEHOLDER ENGAGEMENT AND GRIEVANCE REDRESSAL</td>
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<tr>
<td>CHAPTER 7</td>
<td>OCCUPATIONAL HEALTH AND SAFETY PLAN</td>
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<td>CHAPTER 8</td>
<td>CONSTRUCTION LABOUR MANAGEMENT PLAN</td>
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<tr>
<td>CHAPTER 9</td>
<td>EMERGENCY PREPAREDNESS AND RESPONSE PLAN</td>
</tr>
<tr>
<td>CHAPTER 10</td>
<td>TRIBAL MANAGEMENT PLAN</td>
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<tr>
<td>CHAPTER 11</td>
<td>RESETTLEMENT ACTION PLAN/GENDER ACTION PLAN</td>
</tr>
<tr>
<td>CHAPTER 12</td>
<td>CLIMATE VULNERABLE ASSESSMENT PLAN</td>
</tr>
<tr>
<td>APPENDIX</td>
<td></td>
</tr>
</tbody>
</table>
CHAPTER 1: INTRODUCTION

Detailed description:
- Brief introduction of project design*
- Major Findings of EIA/screening*
- Environmental Impacts Overview*
- Regulatory/Statutory Requirements*

* From Screening/ESIA report.

CHAPTER 2: ENVIRONMENT & SOCIAL MANAGEMENT PLAN (ESMP)

Environmental & Social Management Proposed
- Pre-construction
- Construction
- Operation
- Implementation Arrangements
### Template for Summarizing ESMP activity

<table>
<thead>
<tr>
<th>Environment/ Social Attribute</th>
<th>Project component</th>
<th>Potential Environment &amp; Social Impacts</th>
<th>Mitigation Measures</th>
<th>Responsibility</th>
<th>Cost estimates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre Construction</td>
<td></td>
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<tr>
<td>Construction Phase</td>
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<tr>
<td>Operation &amp; Maintenance Phase</td>
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</tbody>
</table>

### CHAPTER 3: ADMINISTRATIVE FRAMEWORK & CAPACITY DEVELOPMENT AND TRAINING

**Responsibility for implementing the measures**, with all useful details on the persons or organizations in charge. This description answers the question: "Who"?

- Project Manager
- Site Supervisor
- EHS Manager
- Safety Officers
- Admin Officer
- Contractor’s HSE Engineer

**ORGANIZATIONAL STRUCTURE**

**ADMINISTRATIVE FRAMEWORK**

**ROLE & RESPONSIBILITIES**

**CAPACITY DEVELOPMENT AND TRAINING**

- To support timely and effective implementation of environmental and social 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 specific 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).

- To strengthen environmental and social management capability in the agencies responsible for implementation, the 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.
Template for Summarizing Training Requirement for ESMP

<table>
<thead>
<tr>
<th>Training Activity</th>
<th>Participants</th>
<th>Course</th>
<th>Content</th>
<th>Schedule</th>
<th>Cost estimates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environment Policies &amp; Program EMP Implementation</td>
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<tr>
<td>Re - Design Conflict resolution</td>
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<tr>
<td>Environment Processes, methods &amp; Equipment</td>
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<tr>
<td>Capacity Building Position &amp; Responsibilities</td>
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<tr>
<td>Strengthening Program</td>
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<tr>
<td>Mitigation</td>
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<tr>
<td>Monitoring</td>
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</tbody>
</table>

Chapter 4: Proposed Environment and Social Management Monitoring Plan (As applicable)

- The purpose of this chapter is to outline the key monitoring requirements identified through the EIA process to monitor the environmental and social performance of the project.
- Ensure Regulatory requirements are met
- check that impacts do not exceed project standards and other environmental standards
- Verify predictions made in the EIA by obtaining real time measurements;
- Verify that mitigation measures are effective and implemented in the manner described in the report
- Provide early warning of potential environmental impacts
- Inform future operations and contribute to continuous improvement in the management of environmental and social issues related to the project

Identifies environmental performance indicators to measure progress towards achieving targets and objectives.

Monitoring results will be presented in regular monitoring reports as well as monitoring & evaluation indicators.
### Template for Environment and Social Monitoring Plan
**Construction Phase (As applicable)**

<table>
<thead>
<tr>
<th>Attribute</th>
<th>Mitigation Measures</th>
<th>Parameters</th>
<th>Location</th>
<th>Responsibility</th>
<th>Frequency of monitoring</th>
<th>Cost estimates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Land Use</td>
<td></td>
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<tr>
<td>Loss of top soil, Compaction and Erosion</td>
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<tr>
<td>Surface Hydrology and Drainage Pattern</td>
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<tr>
<td>Surface and Ground Water Quality</td>
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<tr>
<td>Soil and Liquid Waste Generation, Storage and disposal</td>
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<tr>
<td>Ecology</td>
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<td>Traffic and Transport</td>
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<td>Ambient Air Quality</td>
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<td>Noise and Vibration</td>
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<td>Surface and Ground water Quality</td>
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</table>

### Template for Environment and Social Monitoring Plan
**Operation Phase (As Applicable)**

<table>
<thead>
<tr>
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<th>Mitigation Measures</th>
<th>Parameters</th>
<th>Location</th>
<th>Responsibility</th>
<th>Frequency of monitoring</th>
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</tbody>
</table>
Chapter 5: IMPLEMENTATION SCHEDULE AND COST ESTIMATES

- Estimate the cost of mitigation
- Compensation and monitoring measures,
- Cost of capacity building actions deemed necessary following the analysis required.
- The investment and operating costs are estimated and the sources of financing are specified

IMPLEMENTATION SCHEDULE AND COST ESTIMATES

- For all three aspects (mitigation, monitoring, and capacity development), the ESMP provides
- An implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans
- 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, including the individual mitigation and monitoring measures and actions and the institutional responsibilities relating to each, and the costs of so doing will be integrated into the project's overall planning, design, budget, and implementation.

CHAPTER 6: COMMUNITY/STAKEHOLDER ENGAGEMENT AND GRIEVANCE REDRESSAL

Stakeholder Management Plan

- Objectives of stakeholder consultations
- Stakeholder Identification & Analysis
  - Identification and analysis of all stakeholders
  - Distinguishing: direct stakeholders; different socio-economic groups including vulnerable groups and women from these different groups;
  - People affected (men and women) negatively by the project;
  - The people (men and women) who support and those who oppose the project;
  - Entities responsible for implementing planned activities, including civil society;
  - Entities that contribute to financial and technical resources.
- Communicative Methods
  - Public Meeting
  - Focus Group Discussion (FGDs)
  - Participatory Workshops
  - Participatory Rural Appraisal (PRA) Techniques

- Stakeholder Engagement Program
- Grievance Redressal Mechanism
  - Steps for Developing a Grievance Mechanism
  - Proposed Grievance Redressal Mechanism
  - Grievance Redressal Committee
  - Resources Required for Grievance Mechanism Implementation
  - Nominated Grievance Officer
  - Engagement of Third Party for the grievance mechanism process
- Monitoring and Reporting (tools of measuring the effectiveness of the grievance mechanism)
Chapter 7: Occupational Health and Safety Plan (OPTIONAL)

- Purpose and Scope
- Definitions (following / applicable words can be defined)
  - Competent Person
  - Confined Space
  - Emergency
  - Hazard
  - Hazardous Substance
  - Health and Safety Plan
  - Incident
  - Risk
  - Safe
- Roles and Responsibilities
  - Site Supervisor of Developer/Contractor
  - EHS Manager of Developer/Contractor
  - Safety Officer(s)
  - Employees/Workers
- Creating and maintaining a safe and healthy work environment
- Risk assessment
- Training
- Documentation and Record Keeping
- Communication and Information Dissemination
- Review
- Safe Work Practices
- Personal Protective Equipment (PPE) etc....
- General Working Conditions
  - Housekeeping
  - Ventilation
- First Aid

Chapter 8: Construction Labour Management Plan (OPTIONAL)

- Objectives
- General Requirements
  - Complaints and incident reporting
  - Labour education
  - Labour Compensation and Accommodation
- Hiring and Recruitment Procedure
- Provisions for Drinking Water
- Cooking Arrangements
- Wastewater Generation
- Solid Waste Management
- Medical Facilities
- Recreation Facilities
- Inspection of Accommodation Facilities
- Grievance Redress Mechanism
Chapter 9: Emergency Preparedness and Response Plan (OPTIONAL)

Framework for Emergency Preparedness and Response Plan

- Identification of Emergencies
  - Emergency Situations
- Declaration of Emergencies
  - Level 1 (Minor Emergency)
  - Level 2 (Serious Emergency)
  - Level 3 (Major Emergency)
- Emergency Equipment
  - First Aid Boxes
  - Fire Fighting Equipment
  - Provision of Personal Protective Equipment
  - Assembly Areas
- Coordination with External Agencies
- Emergency Response Team
- Response Procedures
- Reporting and Documentation

Chapter 10: OPTIONAL (Case to case bases)

- DISASTER MANAGEMENT PLAN (DMP)
- TRIBAL MANAGEMENT PLAN (TMP)
- RESETTLEMENT ACTION PLAN (RAP)
- GENDER ACTION PLAN (GAP)

* It will vary from SPV to SPV as per their ESIA report.
APPENDICES

- Tables presenting the relevant data referred to or summarized in the main text.
- Stakeholders engagement plan (SEP) (Detail, data, photographs etc)
- Public Consultation details (to be put in Appendices)
- Any separate Social Impact Assessment
- Gender action plan
- Any other