

A.3.4. Template of the ESMP mandatorily annexed to the Financing Agreement (FA)

General considerations

1. [Diamond Trust Bank] is planning to implement the [DTB USD 70 MILLION INTEGRATED FACILITY] Project (the *Project*). The Bank has agreed to provide financing, implementation support and monitoring for the Project.
2. [Diamond Trust Bank] will implement measures and actions of this Environmental and Social Management Plan¹ (*ESMP*) so that the Project meets all the requirements of the Bank Environmental and Social Operational Safeguards (*OS*) and the National policy and legal requirements.
3. Where the ESMP refers to specific plans, whether they have already been prepared or are to be developed, the ESMP requires compliance with all mandatory provisions of such plans.
4. The table below summarizes the material measures and actions that are required, the basis of the requirement, the timing of the measure or action, and the criteria to be used for determining whether the required measure or action has been successfully achieved. [Diamond Trust Bank] is responsible for compliance with all requirements of the ESMP even when implementation of specific measures and actions is conducted by an entity different from the Project Implementation Unit (PIU).
5. Implementation of the material measures and actions set out in this ESMP will be monitored and reported to the Bank by [Diamond Trust Bank] as required by the ESMP and the conditions of the legal agreement, and the Bank will monitor and assess progress and completion of the measures and actions throughout implementation of the Project.
6. As agreed by the Bank and [Diamond Trust Bank], this ESMP may be revised from time to time during Project implementation, to reflect adaptive risk management of project changes and unforeseen circumstances or in response to assessment of project performance conducted under the ESMP itself. In such circumstances, [Diamond Trust Bank] will propose and agree changes with the Bank, and then update the ESMP to reflect such changes.
- 7.

¹ The ESMP refers to all the E&S risks/impacts and measures, as approved in all the disclosed E&S documents and agreed between the Bank and Borrower. For projects involving multiple subprojects, that are identified, prepared and implemented during the course of the project, the Borrower will need to demonstrate to the Bank, before the project appraisal, through the preparation of E&S documentation of a sample of subprojects, that it has the capacity to carry out appropriate environmental and social assessment of subprojects, and prepare and implement such subprojects in accordance with the national laws and the OSs. (*Section III.2.3 of Bank's ESP and section D of OSI*)

Material Actions² to Manage the Project's E&S Risks and Impacts		Basis for Requirement	Key Performance Indicator	Indicative Timing/Deadline
Periodic E&S implementation report to the Bank		Bank's ESP and OS1	Reports submitted in time, in good standard	Two weeks after the due period
1	Recruitment of E and S specialists as part of the Project implementation unit	Disclosed ESIA, OS1	Seasoned E&S specialists in the PIU	By Project effectiveness date
2	Establishment of the Project Grievance Redress Mechanism (GRM) and disclosure to Public	OS1, OS10 and National requirements	Existence of Grievance Redress Mechanism (GRM) /complaints handling &management policy / procedure	By Project effectiveness date
3	Payment of compensation and reinstatement of affected people	SO10	Compensation and resettlement of affected persons Guidance to borrowers on the conditions that need to be met regarding involuntary resettlement issues.	Before the start of activities that involve involuntary resettlements
4	Incorporation of site-specific E&S measures in the request for proposals	SO1 & national requirements	Integrating specific E&S measures in proposals	At project initiation stage
5	Submission of high-risk activity's Contractor ESMP (C-ESMP) to Bank clearance	Bank's ESP and OS1	ESMP-C reviewed by the E&S team and action plans agreed upon	Before the start of activities that involve high -risk activity's
6	Establishment of the Contractor's Grievance Mechanism (GM) and information of workers	OS1, OS2, SO10 and Bank's Disclosure and Access to Information Policy	As applicable, existence of an established grievance mechanism provided and accessible for all subproject workers to raise workplace concerns.	Before starting work or the recruitment of subproject workers.

² Please add any relevant key actions and/or indicate "Not applicable" in the third column ("Basis for requirement") for actions that are not applicable to the project.

7	Obtaining nationally required licenses prior commencement of subjected activities (excavations, tree-cutting, working at height, working in confined spaces, etc.)	OS1, OS2 and national labor laws	Number of required compliance permits /licences obtained	Before the start of activities
8	Preparation, approval, and disclosure of specific E&S documents during Project implementation, including prior review of Category 1 terms of reference by the Bank	Bank's ESP, OS1 and national requirements	Number of disclosures of E&S documents prepared and approved and disclosed during project implementation on Category 1 activities	After the identification of potential investments, as part of the E&S due diligence process, and prior to approval.
9	Engagement with concerned stakeholders of each relevant specific E&S activity	OS1, OS10, Bank's Disclosure and Access to Information Policy	Minutes of public consultation and stakeholder engagement of said activities	Before starting each relevant activity with adverse E&S concerns and continuously throughout implementation
10	Establishment of Emergency Preparedness and Response mechanism	OS1 & OS4, national legislation on contingencies et	NA	NA
11	Appropriate and timely handling of complaints/grievances	Bank's ESP and OS1	Number of complaints handled appropriately and timely Existence of an operational Grievance Redress Mechanism (GRM) with grievance logs in place.	Immediately after issues, complaints, or grievances are reported.
12	Notification to riparian or alert to downstream exposed peoples	Bank's ESP and OS1, applicable International Treaty/Convention ratified	NA	NA
13	Capacity building of key project implementers	OS1	Number of capacity building and capacity building activity report	In accordance with the reporting periods outlined in the capacity building implementation plan.

14	Implementation of ESMS/ESAP ³	OS1 and OS9, national requirements	Effective ESMS/ESAP	At start of relevant activity with adverse E&S concerns
14.1	<i>Approval of any required E&S management procedure</i>	Ditto	Effective E&S management procedure in the PIU	By Project effectiveness date
14.2	<i>Establishment of the E&S unit</i>	Ditto	Institutional capacity, demonstrated by a clear E&S unit/function in the company's organogram that includes: (i) skilled and appropriate staffing proportional to the E&S challenges; and (ii) adequate sustainable financing (a permanent budget line) for the operation of the E&S unit/function, acceptable by the Bank	By Project effectiveness date
14.3	<i>Capacity Building of the E&S Unit</i>	Ditto	Effective E&S capacity building done in the PIU Percentage or number of E&S staff who have completed relevant training programs within a year. Number of E&S training sessions conducted for the E&S unit	As per the schedule in E&S unit training programme or action plan.
14.4	<i>Processing the Value Chain E&S due diligence</i>	Ditto	Number of E&S due diligence reports prepared resulting from	At the end of the investments' screening and approval process.

³ Applies to non-sovereign operations and public sector projects implemented by permanent autonomous Agencies/Institutions.

			the investments' screening process.	
15	Suspending works in the event of EOHS risk or incident, immediately notify the Bank, and resume works only upon no-objection of the Bank.	Bank's ESP	Number of times work has been suspended; Number of notifications received on time by the Bank	Immediately and no later than 72 hours after the occurrence
16	Prepare the root-cause analysis (RCA) of any fatal EOHS incident and implement the Corrective Action Plan (CAP).	Bank's ESP and OS1	Number of RCA of any fatal EOHS incident, prepared and CAP implemented	In the event of a fatal accident Within 2 weeks of the occurrence of the incident
17	Disclosure of Project's E&S reports to the public	OS1, OS10, Bank's Disclosure and Access to Information Policy	Proof of distribution to the public, of the E&S reports.	Once E&S reports are approved and available