
BDF ESMS Supplementary Tools Package

Volume II – PFI-specific ESMS Tools

(for PFIs' use only)

II.1 – E&S Due Diligence Form

[Please insert the
Business Logo
of the Financial Institution
conducting the ESDD]

E&S Due Diligence (ESDD) Form

Prepared for the
business activities of
[Please insert the
Name of the Business
Enterprise under
assessment by the PFI]

Instructions to PFI representatives assigned to fill out this Form:

(1) The ESDD Form consists of five Parts:

- Part A – Information on Financing
- Part B – Company ESDD Information
- Part C – Proposed Investment Activity ESDD Information
- Part D – E&S Action Plan (ESAP)
- Part E – ESDD Outcome

Part A and **Part B** should be completed first. If **Part A** identifies the Facility Type as "Working Capital" and indicates that the beneficiary BE will **not** use the financial support received from the PFI **to undertake specific investments (such as site-specific investments, increasing the capacity of existing facilities and activities, purchasing equipment and machinery, etc., that may lead to increased Environmental and Social (E&S) risks or impacts), and/or diversify existing operations, and/ or purchase land for existing operations** supported with the information to be collated in **Part B**, the PFI may decide not to proceed with the completion of **Part C** and **Part D**. In this case, the PFI will request the applicant BE to fill out and sign an E&S Declaration Form (provided in Tool II.2 of this Volume), which will become part of the Facility Agreement. **Part E** will be completed as the last step for all transactions.

(2) Please complete **Part C** of this Form considering only the business activities of the Business Enterprise (BE) that are proposed for BDF financing (i.e. investment activities), if any. Other activities of the enterprise that are **not** associated with the proposed business activity of the BE shall **not** be considered in this Part.

(3) Assigned PFI representative may complete the form directly in consultation with the BE representatives as needed or ensure that the form is duly completed by a representative of the BE.

(4) BDF requires the PFI representative to ensure that requested information for each question/item is provided as applicable and in details (under 'additional information' sections) to the extent possible. This is essential for proper assessment of the potential risk of the business activity and its eligibility for BDF financing under projects financed by International Financial Institutions (IFIs).

(5) For the purposes of this ESMS, BDF has adopted E&S standards (ESSs) forming part of the WB Environmental and Social Framework (ESF). Therefore, the assessment is benchmarked against ESSs¹. For sector-specific information on E&S risks, please refer to:

- a. First for Sustainability Factsheets: <http://firstforsustainability.org/risk-management/understanding-environmental-and-social-risk/risk-by-industry-sector/>
- b. WBG EHS Guidelines: www.ifc.org/ehs/guidelines
- c. Environmental and Social Management System (ESMS) Implementation Handbooks – General and Industry-sector specific: <https://www.ifc.org/en/insights-reports/2015/publications-handbook-esms-general>

(6) Please contact the **BDF Risk Management Department** in case technical assistance is needed to understand or fill out any of the questions/items.

¹ No indigenous peoples who meet the criteria described under WB ESS7 reside in the territory of Ukraine.

Part A. Information on Financing

A.1.	Type of Financing	<input type="checkbox"/> New	<input type="checkbox"/> Extension	<input type="checkbox"/> Existing	<input type="checkbox"/> Other: _____
A.2.	Financial Package	<input type="checkbox"/> World Bank	<input type="checkbox"/> KfW		<input type="checkbox"/> Other: _____
A.3.	Facility Type	<input type="checkbox"/> Working capital	<input type="checkbox"/> Loan	<input type="checkbox"/> Grant	<input type="checkbox"/> Guarantee <input type="checkbox"/> Other: _____
A.4.	Facility (Financing) Amount	_____ USD			
A.5.	Planned use of proceeds:		<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	(i) to cover short-term operational expenses (such as purchase of seeds, fertilizers, agricultural inputs; payment of salaries, bills, etc.).		<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	(ii) to diversify our existing operations with new products.		<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	(iii) to purchase land for existing operations.		<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	(iv) for other business investment plans (such as new construction, renovation of infrastructure, purchasing equipment and machinery, increasing the capacity of existing facilities and activities, etc.). If yes, please describe.		<input type="checkbox"/> Yes	<input type="checkbox"/> No	

Part B. Company E&S Due Diligence Information

B.1	Enterprise name:				
B.2	Enterprise address:				
B.3	Type of enterprise:	<input type="checkbox"/> MSME ²	<input type="checkbox"/> Large enterprise		
B.4	Industry sector:	<input type="checkbox"/> Agribusiness	<input type="checkbox"/> Other: _____		
B.5	Business activity:				
B.6	Brief description of the activities	[Please describe the processes, on-site and off-site facilities, use of input materials, chemicals, etc. capacity of existing operations, land ownership, etc.]			
B.7	Number of employees	[Please provide breakdown of direct and contracted employees disaggregated by gender; please indicate if these are permanent, seasonal, part-time, etc.]			
B.8	Sector-specific E&S issues in business activities to be supported				
ESS1: Assessment and Management of E&S Risks and Impacts					
B.9	Does the BE have an E&S Policy/ Management System in place applicable to its business activities?	[Please describe such as certified management systems, written policies, procedures, etc.]			
B.10	Does the BE have a system/procedure in place to identify, assess and manage potential E&S risks and impacts of the business activities?	[Please describe such as written waste management plans, emergency preparedness plans, OHS plans and procedures, etc.]			
B.11	Has the BE designated qualified and trained employees with direct responsibility to manage E&S risk and impacts of its business activities?	[Please describe such as E&S specialist/manager, OHS specialist/manager, etc. Please provide the name of the designated employee and information on their professional background, relevant experience, training received, etc.]			
B.12	Does BE use contractors to carry out any of its business activities?	[If yes – please, list the contractors. Clarify how does the Company ensure that its contractors meet the BE's environmental, health safety and labor standards?]			
B.13	Has the BE violated any E&S requirements in the previous 5 years? Have any environmental or social incidents had a place?	[Please, provide information on cases related to environmental or social incidents, if any]			
B.14	List of E&S Permits, Licenses Applicable to the BE's business activities (e.g. water use license, emissions permits, chemicals storage licenses, etc.)	License, Permit, etc.	Status (obtained, not obtained)	License/ Permit Expiration Date	

² Micro, Small or Medium-sized enterprises: Employing less than 250 persons and have an annual income up to 50 million EUR.



ESS2: Labor and Working Conditions		
B.15	Is there a Human Resource (HR) Policy of the BE applicable to its business activities that is consistent with the requirements of the Ukrainian legislation?	[Please, highlight the major policies covered. If applicable, highlight the principles of non-discrimination in the process of hiring, compensation, and terms of employment including to the vulnerable or disadvantaged employees]
B.16	Are workers (direct and contracted) involved in BE's business activities provided with a safe and healthy working environment ?	[Specify if a) occupational health and safety (OHS) procedures are in place; b) workers provided with and mandated to use personal protective equipment (PPE); c) are there training programs on OHS in place for workers (direct and contracted); d) what are rates of injury, occupational diseases, and number of work-related fatalities tracked and reported (provide data for OHS incidents in the last three years)]
ESS3: Pollution Prevention and Resource Efficiency		
B.17	Do the BE's activities involve or lead to significant consumption of raw materials, energy, and/or water ?	[If 'yes', describe is there are any measures in place for improving efficiency in its consumption of energy, water, raw materials and other resources and inputs]
B.18	Do the BE's activities generate any air, liquid or substantial amount of solid waste emissions that could adversely impact soils, vegetation, rivers, streams or groundwater, or nearby communities?	[If 'yes', please provide details. Describe if there are: a) procedures in place for monitoring air and water emissions; b) procedures in place to guide the storage, handling, and disposal of solid wastes (including hazardous waste); c) emergency response procedures in place to manage spills or accidental discharges.]
B.19	Are there fuel storage tanks involved in BE's business activities?	[If 'yes', are they fitted with secondary containment? Describe relevant permits and emergency procedures]
ESS4: Community Health and Safety		
B.20	Are there local communities in close proximity to the BE's facilities or used/engaged within the scope of BE's activities?	[Describe the nature of relationship with engaged community]
B.21	Are there safety procedures in place to deal with hazardous material release, transport and disposal in order to avoid or to minimize exposure of local communities in BE's business activities?	[If 'yes', briefly describe]
B.22	Do the BE's business activities require engagement of armed security personnel to provide security services at their facilities?	[If 'yes', clarify if the contract provisions include guidelines on how security personnel shall interact with communities in close proximity to the facilities of used within the scope of BE's activity]
B.23	Do the BE's business activities involve areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	[If 'yes', specify what emergency protocols are in place for employees and nearby/engaged communities]
ESS6: Biodiversity Conservation and Sustainable Natural Resource Management		
B.24	Are the BE's business activities located within or adjacent to environmentally sensitive areas , including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources or local communities?	[If located in legally protected areas, please confirm that the requisite approvals to operate in such area are in place.]
ESS10: Stakeholder Engagement and Information Disclosure		
B.25	Are there procedures in place to engage with local communities and address community grievances where applicable (e.g. grievance redress mechanism, stakeholder engagement plan) in BE's business activities?	[If 'yes', please describe.]

Part C. Proposed Investment Activity³ ESDD Information

Requirement	Yes	No	N/A	Additional Information/Remarks
ESS1: Assessment and Management of E&S Risks and Impacts				
a. Does the proposed investment activity require any ES permits, licenses, assessments under the national legislation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b. Does the proposed investment activity involve new construction or significant expansion of facilities (e.g. ponds, solid waste management systems, shelters, roads (including access roads), community centers, schools, bridges and jetties)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
c. Does the proposed investment activity involve renovation or rehabilitation of any small-scale infrastructure (such as groundwater wells, latrines, showers/washing facilities, or shelters)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
d. Does the proposed investment activity require new borrow pits or quarries to be opened ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
e. Are there any associated facilities needed for the proposed investment activity (such as access roads or electricity transmission lines)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
f. Does the proposed investment activity lead to any risks and impacts on, individuals or groups who, because of their particular circumstances, may be disadvantaged or vulnerable ⁴ .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
g. Is there an emergency preparedness and response plan applicable to the proposed investment activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ESS2: Labor and Working Conditions				
a. Does the proposed investment activity involve recruitment of additional workforce including direct, contracted, primary supply, and/or community workers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b. Will the workers be exposed to new/additional workplace hazards that needs to be managed in accordance with local regulations and Environmental, Health and Safety Guidelines in the proposed investment activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
c. Does the proposed investment activity potentially involve or lead to use of harmful child labor or forced labor (including supply chain)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ESS3: Pollution Prevention and Resource Efficiency				
a. Does the proposed investment activity involve or lead to significant consumption of raw materials, energy, and/or water?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b. Does the proposed investment activity generate any air, liquid or substantial amount of solid waste emissions during construction and/or operational phases that could adversely impact soils, vegetation, rivers, streams or groundwater, or nearby communities? If yes, please provide details .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
c. Does the proposed investment activity involve the removal of asbestos or other hazardous materials ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
d. Is there any potential to have impact on soil or water bodies due to agro-chemicals (e.g., pesticides) used in farmlands due to the consequences of the proposed investment activity (e.g., development of irrigation system, agriculture related activities, seed and fertilizer assistance, procurement of pesticides)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
e. Does the proposed investment activity involve use of fuel storage tanks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

³ Investment activities may cover new facilities or activities and/or existing facilities or activities, or a combination of the same.

⁴ "Disadvantaged or vulnerable" refers to those individuals or groups who, by virtue of, for example, their age, gender, ethnicity, religion, physical, mental or other disability, social, civic or health status, sexual orientation, gender identity, economic disadvantages or ethnic peoples status, and/or dependence on unique natural resources, may be more likely to be adversely affected by the project impacts and/or more limited than others in their ability to take advantage of a project's benefits.

Part C. Proposed Investment Activity³ ESDD Information

Requirement	Yes	No	N/A	Additional Information/Remarks
ESS4: Community Health and Safety				
a. Are there local communities in close proximity to the proposed investment activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b. Are there procedures in place to address community health, safety and security issues (such as hazardous material release, transport and disposal, etc.) in the proposed investment activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
c. Does the proposed investment activity involve engagement of armed security personnel?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
d. Is an influx of workers , from outside the community, expected? Would workers be expected to use health services of the community? Would they create pressures on existing community services (water, electricity, health, recreation, others?)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
e. Would the proposed investment activity potentially involve or lead to adverse impacts on human rights, gender equality and/or the situation of women and girls or exacerbation of risks of gender-based violence?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
f. Would any public facilities, such as schools, health clinic, churches be negatively affected by the proposed investment activity (e.g. due to construction, operation, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
g. Does the proposed investment activity involve areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ESS5: Land acquisition, land use restrictions and involuntary resettlement				
a. Is there any land acquisition took place/ planned for the proposed investment activity? Has the site of the activity been acquired through eminent domain in the past 5 years, in anticipation of the proposed investment activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b. Does the proposed investment activity require involuntary acquisition of new land (for example, when the government use eminent domain powers to acquire the land)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, further assessment is required through detailed ESDD
c. Has there been or will there be any physical and/ or economic displacement (including people without legal claims to land) as a result of land acquisition for the proposed investment activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, further assessment is required through detailed ESDD
d. Are there any associated facilities needed for the proposed investment activity (such as access roads or electricity transmission lines) that will require the involuntary acquisition of new land?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ESS6: Biodiversity Conservation and Sustainable Natural Resource Management				
a. Is the proposed investment activity located within or adjacent to environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources or local communities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, further assessment is required through detailed ESDD

Part C. Proposed Investment Activity³ ESDD Information

Requirement	Yes	No	N/A	Additional Information/Remarks
b. Does the proposed investment activity involve activities that have potential to cause any significant loss or degradation of critical habitats ⁵ whether directly or indirectly, or which would lead to adverse impacts on natural habitats ⁶ ? Are there measures implemented to minimize impacts through mitigation measures ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, further assessment is required through detailed ESDD
c. Will the proposed investment activity involve the conversion or degradation of non-critical natural habitats ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, further assessment is required through detailed ESDD
d. Will this proposed investment activity require clearance of trees , including inland natural vegetation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, further assessment is required through detailed ESDD
e. Will there be any significant impact on any ecosystems of importance (especially those supporting rare, threatened or endangered species of flora and fauna)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, further assessment is required through detailed ESDD
ESS8: Cultural Heritage				
a. Is the proposed investment activity located in an area where cultural heritage objects, sites and structures (e.g. artefacts, archeological sites, graves, historically or culturally significant sites) has been/ can be found?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, further assessment is required through detailed ESDD
b. Is the proposed investment activity located near buildings, sacred trees or objects having spiritual values to local communities (e.g. memorials, graves or stones) or require excavation near there?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If yes, further assessment is required through detailed ESDD
ESS10: Stakeholder Engagement and Information Disclosure				
a. Does the proposed investment activity involve or potentially lead to grievances or objections from potentially affected stakeholders?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

⁵ WB Environmental and Social Standard 6, paragraph 23: "Critical habitat is defined as areas with high biodiversity importance or value, including (a) Habitat of significant importance to Critically Endangered or Endangered species, as listed in the IUCN Red List of threatened species or equivalent national approaches; (b) Habitat of significant importance to endemic or restricted-range species; (c) Habitat supporting globally or nationally significant concentrations of migratory or congregatory species; (d) Highly threatened or unique ecosystems; and (e) Ecological functions or characteristics that are needed to maintain the viability of the biodiversity values described above in (a) to (d)."

⁶ Environmental and Social Standard 6, paragraph 21: "Natural habitats are areas composed of viable assemblages of plant and/or animal species of largely native origin, and/or where human activity has not essentially modified an area's primary ecological functions and species composition."



ESDD Site Visit Information	
<input type="checkbox"/> Site visit not conducted [Please provide any clarification, justification]	
<input type="checkbox"/> Site visit conducted	
Date of the site visit:	
Name and Title of the Participants:	
Summary of Key Observations (in addition to the ones noted in the ESDD Checklist):	
Are there additional actions to be integrated to ESAP based on ESDD Site Visit observations (in addition to the ones identified in the ESDD Checklist):	
<input type="checkbox"/> No	
<input type="checkbox"/> Yes [If yes, please specify]	
Photolog for the ESDD Site Visit	
[Please insert photographs showing the current status of the site, facilities, processes, storage and other auxiliary units, etc.]	
[Photo 1]	Description: Date:
[Photo 2]	Description: Date:
[Photo 3]	Description: Date:
[Please add rows as required]	

Part D. E&S Action Plan (ESAP⁷)

No.	Reference: (a) National legislation (b) IFI E&S requirements (c) Other applicable E&S requirements	Subject of Non-Compliance / Gap	Description of Non-Compliance/ Gap	Description of Corrective Action to be taken by Enterprise	Timeframe for Completion of Action	Status of Action	Remarks
	e.g. Non-compliance with national legislation	e.g. Environmental Permitting	e.g. EIA Decision or xxx permit not in place/ expired	e.g. Complete the permitting process through application to xxx authority	e.g. Prior to signing	e.g. Open	
	e.g. Non-compliance with ESS3 requirements	e.g. Soil pollution	e.g. Leakage from on-site pesticide storage drums	e.g. Repair/replace the leaking equipment, manage contaminated soil in line with national legislation	e.g. Prior to first disbursement by PFI	e.g. Closed	e.g. Involvement of contractors required
	e.g. Non-compliance with ESS4 requirements	e.g. Emergency risk	e.g. Emergency Preparedness and Action Plan in line with ESS4 requirements not in place	e.g. Develop an Emergency Preparedness and Action Plan in line with ESS4 requirements	e.g. Q2 202x e.g. Prior to second disbursement by PFI	e.g. Ongoing	e.g. Third-party specialist may be hired

Part E. ESDD Outcome

E.1	E&S Risk Category of the Proposed Business Activity?	<input type="checkbox"/> High	<input type="checkbox"/> Substantial	<input type="checkbox"/> Moderate	<input type="checkbox"/> Low	[Please add any remarks]
E.2	Summary of Material E&S Risks	[Please list the material issues/ risks for incorporation into Finance Decision Making. This shall be based on the issues/ risks identified in the ESDD Checklist, during ESDD Site Visit and within the ESAP]				
E.3	ESDD Documentation	<input type="checkbox"/> This form constitutes the ESDD documentation for the business activity. The E&S Action Plan (ESAP) shall form part of financing documentation. <input type="checkbox"/> Further E&S risk assessment/ detailed ESDD is required in line with the procedures described within the ESMS.				

⁷ The ESAPs are measures necessary to close gaps between the beneficiary BE's existing or proposed practices and the requirements of the WB Environmental and Social Standards (ESS), relevant WBG EHS guideline provisions or other internationally recognized sources, as appropriate.

II.2 – Business Enterprise E&S Declaration Form (for use in Low Risk business activities)

Environmental and Social⁸ Declaration

[to be signed by the BE and attached to the Facility Agreement by the PFI in low risk business activities]

We hereby confirm that;

- All our operations are in line with applicable national environmental and social legislation.
- We have the necessary valid environmental permits and licenses required by national legislation for our business activities.
- Our existing operations subject to the Facility (Financial) Agreement to be signed with your Financial Institution are not listed on the BDF Environmental and Social Exclusion List⁹ [PFI to provide the BE with a copy of BDF E&S Exclusion List prior to signing].
- Our Business Enterprise has **not been** fined or otherwise sanctioned in the course of activity for violating environmental, community and/or occupational health and safety, and/or labor laws/regulations.
- Our Business Enterprise is committed **to providing** a safe and healthy environment for its employees and to implementing all occupational health and safety requirements as stipulated by national legislation and proportionate to OHS and war-related risks of proposed activity.
- Our Business will **not tolerate** any form of child, forced or slavery work, and prohibit any form of harassment, abuse and violence at work.
- Our Business Enterprise will report to its PFI of any incident or accident related to the financed activity within 24 hours.

We commit to conducting all our operations, with the financial support we will receive, in compliance with applicable national environmental and social legislation and without engaging in any activities listed on the BDF Environmental and Social Exclusion List.

Signature of the Authorized Representative:

Name, Title of the Authorized Representative:

Date:

⁸ Environmental and social refers to all aspects of “sustainability”, including but not limited to, human rights, environment, climate change, biodiversity, social, labor aspects and rights, public and occupational health and safety, access to land, resources, and ecosystem services, cultural heritage, gender, discrimination, marginalisation or vulnerability, and participation in decision making.

⁹ The Business Development Fund (BDF) of Ukraine Exclusion List defines the types of business activities of beneficiary enterprises that are ineligible for BDF financing through the Participating Financial Institutions (PFIs).

II.3 – Terms of References (ToR) Template for ESDD Consultancy

[Note: As described under Step 2b, PFIs will engage independent third-party specialists to carry out ESDDs (referred to as ESDD Consultants) and develop an E&S Action Plan (ESAP) based on the ESDD findings. This template will be used as a guide for developing ToRs for ESDD Consultants to be engaged by PFIs for the assessment of Moderate/Substantial (as needed) and High-risk (mandatory) Business Activities].

1. Introduction

The Financial Institution (FI) [insert the name of the PFI] seeks to engage an independent third-party specialist (ESDD Consultant) to conduct an Environmental and Social Due Diligence (ESDD) study for the [insert the risk rating of the business activity] business activities of the Business Enterprise (BE) “[insert the name of the Business Enterprise]”.

2. Purpose of the Assignment

The purpose of the ESDD will be to assist the [insert the name of the PFI] in deciding whether to provide support for the proposed business activities of the BE and, if so, the way in which environmental and social risks and impacts will be addressed.

3. Scope of Work

The ESDD Consultant will undertake the following tasks:

Task 1: Document Review

- Submit a detailed work plan and the list of documents/ information to be requested from the BE to complete the ESDD
- Carry out a thorough review of the documents received throughout the assignment
- Participate in the calls or meetings to be organized by the FI or BE

[Note: Documents to be reviewed may be in local language and/or in English]

Task 2: Conduct an ESDD Site Visit¹⁰

- Deliver a detailed site visit plan to the PFI before the site visit (including information on site visit participants, planned site visit locations and stakeholder engagement activities)
- Conduct a site visit to obtain supplemental information needed to complete the ESDD (within 15 business days upon appointment).
- Deliver a Key Findings Memo for the Site Visit (within 5 business days after site visit)

Task 3: Environmental and Social Due Diligence

- Prepare an ESDD Report using the template provided in Annex (i) of this ToR (including completion of a comprehensive Compliance Review Summary Table included in the ESDD Report) based on the findings of the data review and site visit tasks
- Submit the draft ESDD Report to the PFI
- Submit the final ESDD Report to the PFI

Task 4: E&S Action Plan (ESAP)

- Develop a draft ESAP to address issues identified during the ESDD using the template provided in Annex (ii) of this ToR
- Submit the draft ESAP
- Submit the final ESAP to the PFI

4. Deliverables

¹⁰ Under condition of Martial Law, site visits in Ukraine may be conducted virtually in consultation and agreement with the World Bank.

- Detailed work plan and the list of documents/ information to be requested from the BE (within 3 business days upon appointment).
- Key Findings Memo for the Site Visit (within 5 business days after site visit)
- Draft ESDD Report and ESAP (within 30 business days upon appointment)
- Final ESDD Report and ESAP (within 10 business days upon receipt of PFI's feedback and comments)

All deliverables shall be submitted in both electronic and hard copy formats in English [and insert additional language requirement]

5. Qualifications

The ESDD Consultant should have:

- Proven experience in conducting environmental and social due diligence in accordance with international standards.
- Expertise in environmental science, social science, and relevant regulatory frameworks.
- Excellent analytical, communication, and reporting skills.

6. Budget

The total budget for the assignment is [insert budget, including or excluding tax]. This includes all professional fees, travel expenses, and other costs associated with completing the assignment including applicable taxes.

7. Submission of Proposals

Interested consultants are invited to submit their proposals by [insert deadline] to [insert contact information]. Proposals shall include a work plan, technical proposal and financial proposal.

Annexes

[Annex \(i\) – ESDD Report Template](#)

[Annex \(ii\) – E&S Action Plan \(ESAP\) Template](#)

Annex (i) – ESDD Report Template

Executive Summary

1. Introduction

- (i) Purpose and Scope of the ESDD
- (ii) Background on Business Enterprise and its Existing Operations
- (iii) E&S Risk Classification and Rationale
- (iv) Applicable E&S Requirements

2. ESDD Methodology

- (i) Documents Review
- (ii) ESDD Site Visit
- (iii) Stakeholder Engagement as part of ESDD

3. E&S Compliance Review Summary

4. Summary of Material E&S Risks [for consideration by Senior Management Representatives as part as part of PFI's Finance (Investment) Decision Making]

Appendices

Appendix A – ESDD Questionnaire for Substantial and High-risk Business Activities (Template)

Appendix B – E&S Compliance Review Table (Template)

Appendix A – ESDD Questionnaire for Substantial and High-risk Business Activities (Template)

ESS1 – Assessment and Management of E&S Risks and Impacts		Please describe
1.1.	Is the proposed business activity likely to have significant adverse environmental impacts that are sensitive and unprecedented that trigger the 'Ineligible Activities' or other exclusion criteria?	[If yes, consider the business activity ineligible for finance by IFI funded projects]
1.2.	Does the proposed sub-borrower/business activity have any existing E&S management system?	
1.3.	Does the proposed sub-borrower/business activity have any existing E&S assessment and/or management documentation?	
1.4.	Does the proposed business activity have E&S capacity that currently exists within the sub-borrowers?	
1.5.	Are there any perceived risks due to the existing E&S capacity of the sub-borrower to apply the relevant requirements of the BDF/ PFI's ESMS in line with IFI standards?	
1.6.	Does the proposed business activity have any permitting risk?	
1.7.	Will the business activity require new borrow pits or quarries to be opened?	
1.8.	Would the proposed business activity or its components/ associated facilities potentially involve or lead to cumulative impacts in combination with impacts from other relevant past, present and reasonably foreseeable developments as well as unplanned but predictable activities enabled by the proposed business activity that may occur later or at a different location?	
1.9.	Would the proposed business activity or its components/ associated facilities potentially involve or lead to risks or adverse impacts on human rights (civil, political, economic, social or cultural) of the affected population?	
1.10.	Would the proposed business activity or its components/ associated facilities potentially involve or lead to risks or adverse impacts on gender equality and/or the situation of women and girls ?	
1.11.	Does the project lead to any risks and impacts on, individuals or groups who, because of their particular circumstances, may be disadvantaged or vulnerable . ¹¹	
ESS2 – Labor and Working Conditions		Please describe
<i>Would the proposed business activity or its components/ associated facilities potentially involve or lead to:</i> <i>[Note: applies to direct and contracted employees of the proposed business activities]:</i>		
2.1.	Recruitment of workforce including direct, contracted, primary supply, and/or community workers?	
2.2.	Working conditions that do not meet national labor laws and regulations (including legal provisions on equal treatment, equal opportunity and non-discrimination, worker's organizations, labor unions, collective bargaining), and international commitments? e.g. Risk of working excessive hours beyond legal limits, inadequate rest periods, lack of appropriate compensation for overtime?	
2.3.	Accommodation conditions that do not meet national labor laws and regulations and international standards (i.e. Worker' accommodation	

¹¹ "Disadvantaged or vulnerable" refers to those who may be more likely to be adversely affected by the project impacts and/or more limited than others in their ability to take advantage of a project's benefits. Such an individual/group is also more likely to be excluded from/unable to participate fully in the mainstream consultation process and as such may require specific measures and/or assistance to do so. This will take into account considerations relating to age, including the elderly and minors, and including in circumstances where they may be separated from their family, the community or other individuals upon whom they depend (WB, 2018. ESF).

	conditions are in line with the requirements of IFC/EBRD's Guidance Note on Worker's Accommodation (2009))?	
2.4.	Is there a grievance mechanism for workers?	
2.5.	Use of child labor? e.g. Risk of child labor in the agribusiness operations such as harvesting, weeding activities, etc.	
2.6.	Use of forced labor? e.g. Risk of forced labor in the agribusiness operations, and mechanisms to prevent it?	
2.7.	Use of seasonal or migrant workers? e.g. Risk of forced labor, inadequate pay, and poor working conditions; are there measures in place to manage seasonal labor peaks?	
2.8.	OHS risks due to physical, chemical, biological or other workplace hazards that need to be managed in accordance with national legislation and good international industry practices (e.g. WB Group Environmental, Health and Safety Guidelines)? throughout the proposed business activity life-cycle? e.g. Risks related to working conditions for handling pesticides, chemical fertilizers, and/or other hazardous materials; potential injuries due to use of operation of machinery like tractors and harvesters; risk due to long working hours in extreme temperatures increasing the risk of heat-related illnesses such as dehydration, heat stroke, etc.; risks due heavy lifting leading to musculoskeletal injuries; risks due to high noise levels from machinery and dust from handling grains leading to hearing loss and respiratory problems; use of PPEs?	
2.9.	Working conditions that do not support the principles of freedom of association and collective bargaining in a manner consistent with national law?	
2.10.	Working conditions that do not meet other requirements of national labor laws and regulations and international commitments?	
2.11.	Social risks including gender-based violence and sexual exploitation and abuse/sexual harassment (SEA/SH) throughout the proposed business activity life-cycle?	
2.12.	Risk that women may be underpaid when compared to men when working on the project construction?	
2.13.	Potential risks of child labor, forced labor and serious safety issues that may arise in relation to primary suppliers and primary supply workers?	
2.14.	Please add other sector-specific risk/ issues as necessary:	
ESS3 – Resource Efficiency and Pollution Prevention and Management		Please describe
<i>Would the proposed business activity or its components/ associated facilities potentially involve or lead to:</i>		
3.1.	Significant or non-efficient consumption of energy, water and/or raw materials? e.g. Significant use of water for irrigation, and are there measures in place to ensure water efficiency?	
3.2.	Pollution ¹² /release of pollutants to air, water, land/soil, environment due to routine, non-routine and accidental circumstances, and with the potential for local, regional and transboundary impacts?	

¹² The term “pollution” is used to refer to both hazardous and non-hazardous chemical pollutants in the solid, liquid, or gaseous phases, and includes other components such as thermal discharge to water, emissions of short- and long-lived climate pollutants, nuisance odors, noise, vibration, radiation, electromagnetic energy, and the creation of potential visual impacts including light (WB, 2018. ESF).

3.3.	Emissions of short and long-lived climate pollutants including all greenhouse gases and black carbon or other impacts of the proposed business activity on climate change?	
3.4.	Storage, release and/or use of hazardous materials (such as explosive, fuel, chlorine, diesel, petroleum products, chemical fertilizer, soil amendments and other chemicals, etc.)?	
3.5.	Use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention</i>	
3.6.	Generation of waste (hazardous or non-hazardous such as municipal waste, construction/demolition waste, waste containing asbestos, dredging materials, etc.)?	
3.7.	Removal of asbestos or other hazardous materials?	
3.8.	Procurement or application of pesticides or pesticide products or formulations that may have adverse impact on the environment or human health or that involve significant pest management issues ¹³ ? e.g. Is there a plan for managing the use and disposal of fertilizers and pesticides to prevent pollution?	
3.9.	Please add other sector-specific risk/ issues as necessary:	
ESS4 – Community Health and Safety		Please describe
<i>Would the proposed business activity or its components/ associated facilities potentially involve or lead to:</i>		
4.1.	Construction and/or infrastructure development (e.g. roads, buildings, dams)? <i>[Note: Please refer to BDF Exclusion List for activities that are not financed by BDF]</i>	
4.2.	Damage, disturbance or access restriction to community properties, public buildings, roads, parks, schools, burial or other religious places, etc.?	
4.3.	Increased risk of traffic related accidents, road safety issues, etc.? <i>[Note: if risks to or impacts on human health and environment due to pollution would apply, please refer to the section on ESS3 within this Checklist]</i>	
4.4.	Potential for major accidents/emergency events ¹⁴ ?	
4.5.	Harm or losses due to failure of structural elements of the proposed business activity (e.g. collapse of buildings or infrastructure)?	
4.6.	Increased risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	
4.7.	Transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? e.g. Potential impacts on local communities and the resources they use (e.g. water) due to application of pesticides, pesticide drift, etc.?	

¹³ Such issues would include: (a) migratory locust control; (b) mosquito or other disease vector control; (c) bird control; (d) rodent control, etc. (WB, 2018. ESF).

¹⁴ An "emergency event" is an unanticipated incident, arising from both natural and man-made hazards, typically in the form of fire, explosions, leaks or spills, which may occur for a variety of different reasons, including failure to implement operating procedures that are designed to prevent their occurrence, extreme weather or lack of early warning (WB, 2018. ESF).



4.8.	Direct proposed impacts of the business activity on ecosystem services that may result in health and safety risks to and impacts on affected communities? <i>[For example, land use changes or the loss of natural buffer areas, such as wetlands, mangroves, and upland forests, which mitigate the effects of natural hazards such as flooding, landslides and fire, may result in increased vulnerability and community safety-related risks and impacts. The diminution or degradation of natural resources, such as adverse impacts on the quality, quantity, and availability of freshwater, may result in health-related risks and impacts (WB, 2018. ESF)]</i>	
4.9.	Significant/excessive influx of temporary or permanent labor during construction or operation?	
4.10.	Engagement of security personnel to protect facilities and property or to support proposed business activities?	
4.11.	Areas subject to hazards such as earthquakes, wildfires, floods, droughts, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	
4.12.	Outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>[For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes?]</i>	
4.13.	Increases in vulnerability to climate change impacts or disaster risks now or in the future? <i>[For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding]</i>	
4.14.	Increased GBV/SEA/SH risks to the community as a result of labor influx or other project activities	
4.15.	Please add other sector-specific risk/ issues as necessary:	
ESS5 – Land Acquisition, Restrictions on Land Use and Involuntary Resettlement		Please describe
<i>Would the proposed business activity or its components/ associated facilities potentially involve or lead to:</i>		
5.1.	Acquisition of privately-owned parcels? If yes, please provide the available information on the number of parcels, shareholders, type of users (legal, informal, renter, etc.)	
5.2.	Restrictions on private or public land use ¹⁵ (such as agricultural lands, pasture lands, grazing areas, any other areas where local communities use for various purposes in common?	
5.3.	Litigation or legacy issues (such as pending for title transfer, compensation payments, ownership disputes, etc.) due to past or ongoing land acquisition related to business activity?	
5.4.	Unresolved/open complaints related to land acquisition or involuntary resettlement due to proposed past or ongoing land acquisition related to business activity?	
5.5.	Physical displacement (relocation of houses or business structures, loss of residential land or loss of shelter) – may be temporary or permanent, full or partial affecting tenants?	

¹⁵ “Restrictions on land use” refers to limitations or prohibitions on the use of agricultural, residential, commercial or other land that are directly introduced and put into effect as part of the project. These may include restrictions on access to legally designated parks and protected areas, restrictions on access to other common property resources, and restrictions on land use within utility easements or safety zones (WB, 2018. ESF).

5.6.	Economic displacement (loss of land, assets or loss/restriction to access to lands and assets, leading to loss of income sources or other means of livelihood) – may be temporary or permanent affecting tenants?	
5.7.	Physical displacement (relocation of houses or business structures, loss of residential land or loss of shelter) – may be temporary or permanent, full or partial affecting people with or without legally recognizable rights or claims to land and assets?	
5.8.	Economic displacement (loss of land, assets or loss/restriction to access to lands and assets, leading to loss of income sources or other means of livelihood ¹⁶) – may be temporary or permanent affecting people with or without legally recognizable rights or claims to land and assets, even in the absence of physical relocation?	
5.9.	Risk of forced evictions? ¹⁷	
5.10.	Land-acquisition or involuntary resettlement related risks or impacts on any disadvantaged or vulnerable groups or individuals?	
5.11.	Please add other sector-specific risk/ issues as necessary:	
ESS6 – Biodiversity Conservation and Sustainable Management of Living Natural Resources		Please describe
<i>Would the proposed business activity or its components/ associated facilities potentially involve or lead to:</i>		
6.1.	Significant loss or degradation of critical habitats ¹⁸ whether directly or indirectly, or adverse impacts on natural habitats ¹⁹ or on ecosystem services ²⁰ ? <i>[For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes stagnation of water flow, as a result of vegetation clearance, topsoil stripping, logging/clearance of trees, hindrance to the local biodiversity like disturbing the migratory path of fish, birds, mammals, pondage, dredging in marine or river environment, etc.]</i>	

¹⁶ *“Livelihood”* refers to the full range of means that individuals, families and communities utilize to make a living, such as wage-based income, agriculture, fishing, foraging, other natural resource-based livelihoods, petty trade and bartering (WB, 2018. ESF).

¹⁷ *“Forced eviction”* is defined as the permanent or temporary removal against the will of individuals, families, and/or communities from the homes and/or land which they occupy without the provision of, and access to, appropriate forms of legal and other protection, including all applicable procedures and principles in the related WB ESS (WB, 2018. ESF).

¹⁸ *“Habitat”* is defined as a terrestrial, freshwater, or marine geographical unit or airway that supports assemblages of living organisms and their interactions with the non-living environment. *“Critical habitat”* is defined as areas with high biodiversity importance or value, including: (a) habitat of significant importance to Critically Endangered or Endangered species, as listed in the IUCN Red List of threatened species or equivalent national approaches; (b) habitat of significant importance to endemic or restricted-range species; (c) habitat supporting globally or nationally significant concentrations of migratory or congregatory species; (d) highly threatened or unique ecosystems; (e) ecological functions or characteristics that are needed to maintain the viability of the biodiversity values described above in (a) to (d) (WB, 2018. ESF).

¹⁹ Natural habitats are areas composed of viable assemblages of plant and/or animal species of largely native origin, and/or where human activity has not essentially modified an area’s primary ecological functions and species composition

²⁰ *“Ecosystem services”* are the benefits that people derive from ecosystems. Ecosystem services are organized into four types: (i) provisioning services, which are the products people obtain from ecosystems and which may include food, freshwater, timbers, fibers, and medicinal plants; (ii) regulating services, which are the benefits people obtain from the regulation of ecosystem processes and which may include surface water purification, carbon storage and sequestration, climate regulation, protection from natural hazards; (iii) cultural services, which are the nonmaterial benefits people obtain from ecosystems and which may include natural areas that are sacred sites and areas of importance for recreations and aesthetic enjoyment; and (iv) supporting services, which are the natural processes that maintain the other services and which may include soil formation, nutrient cycling and primary production (WB, 2018. ESF).

6.2.	Risks or impact on legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or international and regionally recognized areas ²¹ of biodiversity value?	
6.3.	Conversion or degradation of non-critical natural habitats?	
6.4.	Changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? <i>[Note: if restrictions and/or limitations of access to lands would apply, please refer to the section on ESS5 within this Checklist]</i>	
6.5.	Risks or significant impacts on rare, threatened or endangered species (e.g. due to impact on ecosystems of importance supporting those species)? <i>[Note: if environmental impacts such as noise, light pollution would apply, please refer to the section on ESS3 within this Checklist]</i>	
6.6.	Exacerbation of illegal wildlife trade?	
6.7.	Introduction of invasive alien species?	
6.8.	Adverse impacts on soils including substantial removal of topsoil?	
6.9.	Harvesting of natural forests, plantation development, or reforestation?	
6.10.	Significant agricultural production?	
6.11.	Animal husbandry or harvesting of fish populations or other aquatic species?	
6.12.	Significant extraction, diversion or containment of surface or ground water? <i>[For example, river basin developments, groundwater extraction]</i> <i>[Note: Please refer to BDF Exclusion List for activities that are not financed by BDF]</i>	
6.13.	Handling or utilization of genetically modified organisms/living modified organisms? ²²	
6.14.	Utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ²³	
6.15.	Adverse transboundary or global environmental concerns?	
6.16.	Please add other sector-specific risk/ issues as necessary:	
ESS7 – Indigenous Peoples (not applicable in Ukraine)		Please describe
<i>Would the proposed business activity or its components/ associated facilities:</i>		
7.1.	Involve areas where indigenous peoples are present or lead to adverse impacts on Indigenous Peoples?	Not applicable in Ukraine
ESS8 – Cultural Heritage		Please describe
<i>Would the proposed business activity or its components/ associated facilities potentially:</i>		
8.1.	Involve excavations, demolition, movement of earth, flooding or other changes in the physical environment?	
8.2.	Involve activities located within a legally protected cultural or natural heritage site or a legally defined buffer zone?	
8.3.	Involve activities located within or in the vicinity of a recognized cultural or natural heritage site (may be non-registered as per the national legislation)?	

²¹ Internationally recognized areas of high biodiversity value include World Heritage Natural Sites, Biosphere Reserves, Ramsar Wetlands of International Importance, Key Biodiversity Areas, Important Bird Areas, and Alliance for Zero Extinction Sites, among others.

²² See the Convention on Biological Diversity and its Cartagena Protocol on Biosafety.

²³ See the Convention on Biological Diversity and its Nagoya Protocol on access and benefit sharing from use of genetic resources.



8.4.	Are there sensitive receptors in the area of influence of the proposed business activity such as culturally and/or socially important paths, areas/religious occupancies, burial grounds, tourist or pilgrim congregation areas, etc.?	
8.5.	Involve or lead to utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	
8.6.	Please add other sector-specific risk/ issues as necessary:	
ESS10 – Stakeholder Engagement and Information Disclosure		Please describe
10.1.	Is there a process for stakeholder engagement and consultations?	
10.2.	Is there a functioning grievance mechanism?	
10.3.	Are there any ongoing issues or stakeholder concerns or complaints raised/received (resolved/unresolved) related to the proposed business activity to date?	
10.4.	Are there any environmental and social instruments being disclosed?	
War-related Risks		
<i>[Please add as relevant]</i>		



Appendix B – E&S Compliance Review Table (Template) (for Substantial and High-risk Business Activities)

Ref.	E&S Standard	Description and Assessment of E&S Compliance/ Non-Compliance (According to E&S Documentation and/or Current Site Practices)	E&S Compliance Level (Fully Compliant / Partially Compliant / Non-compliant)	Actions Required for E&S Compliance (to be incorporated to ESAP)
1.	Assessment and Management of Environmental and Social Risks and Impacts			
1.1.	Environmental and Social Assessment			
1.2.	E&S Action Plan (ESAP)			
1.3.	Organizational Capacity and Competency			
1.4.	Project Monitoring and Reporting			
1.5.	Stakeholder Engagement and Information Disclosure			
2.	Labor and Working Conditions			
2.1.	Working conditions and management of worker relationships	<ul style="list-style-type: none"> • <i>Terms and conditions of employment:</i> • <i>Non-discrimination and equal opportunity:</i> • <i>Worker's organizations:</i> 		
2.2.	Protecting the work force	<ul style="list-style-type: none"> • <i>Child labor and minimum age:</i> • <i>Forced labor:</i> 		
2.3.	Grievance Mechanism			
2.4.	Occupational Health and Safety (OHS)			
2.5.	Contracted workers			
2.6.	Community workers			
2.7.	Primary supply workers			



Ref.	E&S Standard	Description and Assessment of E&S Compliance/ Non-Compliance (According to E&S Documentation and/or Current Site Practices)	E&S Compliance Level (Fully Compliant / Partially Compliant / Non-compliant)	Actions Required for E&S Compliance (to be incorporated to ESAP)
3.	Resource Efficiency and Pollution Prevention and Management			
3.1.	Resource Efficiency	<ul style="list-style-type: none"> • Energy use: • Water use: • Raw material use: 		
3.2.	Pollution prevention and management	<ul style="list-style-type: none"> • Management of air pollution: • Management of hazardous and nonhazardous wastes: • Management of chemicals and hazardous materials: • Management of pesticides: 		
3.3.	Greenhouse Gases			
4.	Community Health and Safety			
4.1	Community health and safety	<ul style="list-style-type: none"> • Infrastructure and equipment design and safety: • Safety of services: • Traffic and road safety: • Ecosystem services: • Community exposure to health issues: • Management and safety of hazardous materials: • Emergency preparedness and response: 		
4.2	Security Personnel			
5.	Land Acquisition, Restrictions on Land Use and Involuntary Resettlement			
5.2	Displacement	<ul style="list-style-type: none"> • Physical displacement: • Economic displacement: 		
5.3	Collaboration with other responsible agencies or subnational jurisdictions			
5.4	Technical and financial assistance			

Ref.	E&S Standard	Description and Assessment of E&S Compliance/ Non-Compliance (According to E&S Documentation and/or Current Site Practices)	E&S Compliance Level (Fully Compliant / Partially Compliant / Non-compliant)	Actions Required for E&S Compliance (to be incorporated to ESAP)
6.	Biodiversity Conservation and Sustainable Management of Living Natural Resources			
6.1	General	<ul style="list-style-type: none"> • Assessment of risks and impacts: • Conservation of biodiversity and habitats: • Legally protected and internationally recognized areas of high biodiversity value: • Invasive alien species: • Sustainable Management of Living Natural Resources: 		
6.2	Primary Suppliers			
8.	Cultural Heritage			
8.1	General			
8.2	Stakeholder consultation and identification of cultural heritage (both tangible and intangible)	<ul style="list-style-type: none"> • Confidentiality: • Stakeholders' access: 		
8.3	Legally protected cultural heritage areas			
8.4	Provisions for specific types of cultural Heritage	<ul style="list-style-type: none"> • Archaeological sites and material: • Built heritage: • Natural features with cultural significance: • Movable cultural heritage: 		
8.5	Commercial use of cultural heritage			
10.	Stakeholder Engagement and Information Disclosure			
10.1	Engagement during project preparation	<ul style="list-style-type: none"> • Stakeholder identification and analysis: • Stakeholder Engagement Plan: • Information disclosure: • Meaningful consultation: 		
10.2	Engagement during project implementation and external reporting/disclosure			
10.3	Grievance mechanism			
10.4	Organizational capacity and commitment			



Annex (ii) – E&S Action Plan (ESAP) Template

Ref.	Commitment/Action	Responsibility	Timetable for Completion	Completion Criteria/Evaluation Criteria for Successful Implementation	Status
1.	Assessment and Management of Environmental and Social Risks and Impacts				
1.1.	<i>Such as actions related to preparation and implementation of E&S documentation and instruments; establishment and maintenance of organization structure with capacity and competency; emergency preparedness and response planning, regular reporting to PFI; reporting incidents and accidents to PFI; management of contractors; technical assistance including consultancy support, capacity building, training, etc.</i>				
2.	Labor and Working Conditions				
2.1.	<i>Such as actions related to preparation and implementation of labor management policies and procedures; occupational health and safety management system, internal grievance mechanism for employees, etc.</i>				
3.	Resource Efficiency and Pollution Prevention and Management				
3.1.	<i>Such as actions related to preparation and implementation of Air Quality MP, Noise and Vibration MP, Soil MP, Waste MP, Wastewater MP, etc.</i>				
3.2.	<i>Such as actions related to incorporation of resource efficiency measures into subproject implementation, etc.</i>				
4.	Community Health and Safety				
4.1.	<i>Such as actions related to preparation and implementation of Community Health and Safety MP, Emergency Preparedness and Response Plan, Traffic and Road Safety MP, etc.</i>				
4.2.	<i>Such as actions related to security management</i>				
5.	Land Acquisition, Restrictions on Land Use and Involuntary Resettlement				
5.1.	<i>Such as actions related to assessment and management of land acquisition and resettlement risks, stakeholder consultations, etc.</i>				



Ref.	Commitment/Action	Responsibility	Timetable for Completion	Completion Criteria/Evaluation Criteria for Successful Implementation	Status
6.	Biodiversity Conservation and Sustainable Management of Living Natural Resources				
6.1.	<i>Such as actions related to assessment and management of biodiversity risks and impacts, stakeholder consultations, etc.</i>				
7.	Indigenous Peoples				
7.1.	Not applicable	Not applicable			
8.	Cultural Heritage				
8.1.	<i>Such as actions related to assessment and management of cultural heritage risks, preparation of Cultural Heritage MP including a Chance Finds Procedure, stakeholder consultations, etc.</i>				
10.	Stakeholder Engagement and Information Disclosure				
10.1.	<i>Such as actions related to preparation and implementation of Stakeholder Engagement Plan (SEP) for the subproject</i>				
10.2.	<i>Such as actions related to establishment and maintenance of Subproject-level Grievance Mechanism</i>				

II.4 – ToR Template for Environmental and Social Assessment (ESA) Consultancy

[Note: Environmental and Social Assessments (ESAs) are required for business activities that have been rated as Substantial or High-Risk (in some cases – for Moderate Risk projects). PFIs may require Business Enterprises (BEs) to retain qualified third-party technical consultants to conduct such assessments and develop relevant E&S instruments in line with the relevant requirements of the lending IFIs (i.e. ESSs in WB financed Projects).

This template will be used as a guide for developing ToRs for ESAs to be delivered by technical consultants. It can be tailored by the PFIs, or their ESDD Consultants where applicable, to respond to the specific requirements of the business enterprises and activities to be supported].

1. Background

[Insert the name of the PFI] requires the [insert the name of the Business Enterprise] to engage technical consultants (Environmental and Social Assessment – ESA Consultant) to conduct ESAs for the [insert the risk rating of the business activity] business activities considered for finance under [insert the name of the project/program supported by BDF].

[Provide background information on the business enterprise and activities to be supported for technical consultant's understanding. Further information on the geographical and sectoral context, recent environmental and social developments, etc. may also be provided, as needed].

2. Objectives of the Assignment and Applicable E&S Requirements

The objective of the assignment is to develop the following ESAs:

- [List the E&S instruments required to be developed by the Business Enterprises based on E&S screening and risk classification completed by the PFI E&S teams; such as ESIA, ESMP, SEP, RP, etc.]
- XX
- XX

The environmental and social assessment will take into account in an appropriate manner all issues relevant to the activities, including the following Applicable Requirements:

- (a) the country's applicable policy framework, national laws and regulations, and institutional capabilities (including implementation) relating to environment and social issues; variations in country conditions; country environmental or social studies; national environmental or social action plans; and obligations of the country directly applicable to the project under relevant international treaties and agreements;
- (b) applicable requirements under the ESSs; and
- (c) the EHSGs, and other relevant Good International Industry Practice (GIIP).

[List relevant industry sector EHSGs and/or other specific GIIPs, as needed].

4. Scope of Work

The Consultant will carry out an environmental and social assessment of the activities to assess the environmental and social risks and impacts of the activities throughout the financing life cycle. The environmental and social assessment will be conducted in accordance with ESS1.

The assessment will be proportionate to the potential risks and impacts of the activities, and will assess, in an integrated way, all relevant direct, indirect and cumulative environmental and social risks and impacts throughout the financing life cycle, including those specifically identified in ESSs 2–10.

The environmental and social assessment will be based on current information, including an accurate description and delineation of the activities and any associated aspects, and environmental and social baseline data at an appropriate level of detail sufficient to inform characterization and identification of risks and impacts and mitigation measures. The assessment will evaluate the activities' potential environmental and social risks and impacts; examine alternatives; identify ways of improving selection, siting, planning, design and implementation in order to apply the mitigation hierarchy for adverse environmental and social impacts and seek opportunities to enhance the positive impacts of the activities. The environmental and social assessment will include stakeholder engagement as an integral part of the assessment, in accordance with ESS10.

The environmental and social assessment will be an adequate, accurate, and objective evaluation and presentation of the risks and impacts, prepared by qualified and experienced persons.

The environmental and social assessment will apply a mitigation hierarchy as discussed and specified in the WB ESF.

The environmental and social assessment, informed by the scoping of the issues, will take into account all relevant environmental and social risks and impacts of the activities, as specified by ESS1.

The environmental and social assessment will also identify and assess, to the extent appropriate, the potential environmental and social risks and impacts of Associated Facilities in accordance with ESS1.

[Detail the specific tasks to be delivered by the Consultant. This may include scoping, desk review, field surveys, impact assessment methodologies, stakeholder engagement and information disclosure requirements, etc.].

The environmental and social assessment will be prepared in line with the indicative outlines presented in ToR Annexes [present outlines under ToR annexes].

5. Consultant Qualifications and Team Composition

The Consultant's proposal shall list the capabilities, qualifications, and experiences of the team proposed to undertake the work. This shall include:

- Experience in the [indicate country/geography]
- Experience in environmental and social assessments for similar business activities
- Experience in [insert sector]
- The Consultant's methodology and approach to the assignment (10 pages maximum)
- A financial proposal, and
- Timeframe presenting the assessment milestones in graphical format

The proposal shall also include the proposed team with CVs (2 pages maximum per individual) and respective levels of efforts of all relevant experts presented in tabular form in man-days (both in the field and elsewhere).

Members of the team must be specialized and have proven experience in conducting environmental and social assessment in accordance with the World Bank Environmental Social Framework (ESF) and the applicable E&S requirements.

Required qualification for the Project Director is as follows [add for other roles as well, as needed]:

- University degree from the XXX departments (environmental engineering, chemical engineering, civil engineering, etc.).
- Minimum XX years of professional experience with minimum XX years of working experience in assessing, managing and monitoring the E&S risks of the projects financed by IFIs
- Excellent English proficiency is required
- Knowledge and understanding of E&S issues and risks in projects financed by IFIs
- [Insert country experience, sectoral experience requirements]
- [Insert additional skills required, if any]

[Insert specific expert requirements such as occupational health and safety, resettlement, biodiversity, cultural heritage, etc. depending on the risks and impacts of the activity, as needed]

6. Deliverables and Schedule

Deliverables and submission timeline are listed below:

Deliverable (such as detailed ESA work plan, ESIA, ESMP, SEP, RP, management plans, etc.)	Submission Schedule
[Draft deliverable 1]	Within XX days after signing the Consultancy Agreement
[Final deliverable 1]	Within XX days after signing the Consultancy Agreement
[Draft deliverable 2]	Within XX days after signing the Consultancy Agreement
[Final deliverable 2]	Within XX days after signing the Consultancy Agreement
[Add as required]	Within XX days after signing the Consultancy Agreement

All deliverables shall be submitted in both electronic and hard copy formats in English [and insert additional language requirement].

Reports will be approved by the [insert name of the party]; the period for approval of reports will be [X] days, if after this time the supervisor does not issue any observations, the report will be considered approved.

7. Budget and Payment Schedule (optional)

The total budget for the assignment is [insert budget, including or excluding tax]. This includes all professional fees, travel expenses, and other costs associated with completing the assignment including applicable taxes.

The payment schedule will be as follows:

- XX% after the Consultancy Agreement is signed and the work plan approved
- XX% after the delivery and approval of the Draft Deliverable 1
- XX% after the delivery and approval of the Final Deliverable 1
- XX% after the delivery and approval of the Draft Deliverable 2
-

8. Submission of Proposals

Interested consultants are invited to submit their proposals by [insert deadline] to [insert contact information].

Annexes

- Insert indicative outlines for the deliverables in accordance with BDF ESMS Annexes – Volume III, Annex III.4; refer to World Bank ESF, ESS1 – Annex 1 for detailed contents of an ESIA and ESMP²⁴, as needed
- Insert other annexes as required

²⁴ <https://pubdocs.worldbank.org/en/837721522762050108/Environmental-and-Social-Framework.pdf>

II.5 – E&S Instrument Outlines

Environmental and Social Impact Assessment (ESIA) Indicative Outline²⁵

1. Executive Summary
2. Legal and Institutional Framework
3. Project Description
4. Baseline Data
5. E&S Risks and Impacts
6. E&S Mitigation Measures
7. Analysis of Alternatives
8. Design Measures

Appendices

- List of the individuals or organizations that prepared or contributed to the environmental and social assessment.
- References – setting out the written materials both published and unpublished, that have been used.
- 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.
- Tables presenting the relevant data referred to or summarized in the main text.
- List of associated reports or plans.

²⁵ Please refer to World Bank ESF, ESS1 – Annex 1.D for detailed contents of an ESIA:

<https://pubdocs.worldbank.org/en/837721522762050108/Environmental-and-Social-Framework.pdf>

Environmental and Social Management Plan (ESMP) Indicative Outline²⁶

1. Mitigation
2. Monitoring
3. Capacity Development and Training
4. Implementation Schedule and Cost Estimation
5. Integration of ESMP with Project

²⁶ Please refer to World Bank ESF, ESS1 – Annex 1.E for detailed contents of an ESMP:
<https://pubdocs.worldbank.org/en/837721522762050108/Environmental-and-Social-Framework.pdf>

Stakeholder Engagement Plan (SEP) Indicative Outline²⁷

1. Introduction/Project Description
2. Objective/Description of SEP
3. Stakeholder Identification and Analysis per Project Component
 - 3.1 Methodology
 - 3.2. Affected parties
 - 3.3. Other interested parties
 - 3.4. Disadvantaged / vulnerable individuals or groups
4. Stakeholder Engagement Program
 - 4.1. Summary of stakeholder engagement done during project preparation
 - 4.2. Summary of project stakeholder needs and methods, tools and techniques for stakeholder engagement.
 - 4.3. Proposed strategy to incorporate the views of vulnerable groups
5. Resources and Responsibilities for implementing stakeholder engagement
 - 5.1. Implementation Arrangements
 - 5.2. Resources
6. Grievance Mechanism
7. Monitoring and Reporting
 - 7.1. Summary of how SEP will be monitored and reported upon (including indicators)
 - 7.2. Reporting back to stakeholder groups

Annexes

- Annex 1. Template to capture minutes/records of consultation meetings
- Annex 2. Example of a SEP Budget Table
- Annex 3. Sample Table: Monitoring and Reporting on the SEP
- Other Annexes [such as visual summaries such as stakeholder mapping or stakeholder diagrams, grievance submission form, project maps (if applicable)]

²⁷ Please refer to the following link for detailed contents of a SEP: <https://www.worldbank.org/en/projects-operations/environmental-and-social-framework/brief/environmental-and-social-framework-resources>.

II.6 – PFI’s Periodic Monitoring Report to BDF on ESMS Implementation Performance – Template

Executive Summary

Certification of Report by Authorized Representative

1. Introduction

2. Overview of PFI’s Financing Operations under BDF financed Projects and Programs

2.1. Summary of Current Operations

2.2. Portfolio Information (including overall portfolio exposure as a function of E&S risk category or by exposure to industry sector or transaction type as a function of E&S risk category)

3. Summary of ESMS Implementation Performance

3.1. Overall Compliance of PFI Operations with ESS9

3.2. E&S Risk Management

3.2.1. Overall Compliance of PFI Operations with ESSs

3.2.2. PFI’s E&S Appraisal of BDF Beneficiary Enterprises

3.3. Organization Capacity and Competency (at the PFI)

3.3.1. Organizational Capacity and Competency

3.3.2. Capacity Building and Training

3.4. E&S Monitoring, Reporting and Review

3.4.1. Monitoring and Reporting Activities (by PFIs)

3.4.2. Significant Incident & Accident Reporting and Investigation

3.4.3. Status of E&S Action Plan (ESAP) Implementation by Beneficiary Enterprises

3.5. External Communications

3.5.1. Stakeholder Engagement Activities

3.5.2. Public Consultation and Information Disclosure Activities

3.5.3. Management of Public (External) Grievances

3.5.4. Management of Internal (Employee) Grievances

4. Status of CAP Implementation by PFI

Annexes

**Certification of the
Periodic Monitoring Report on ESMS Implementation Performance
by the Authorized Representative of *[Name of the PFI]***

I, *[Name-Surname]*, in my role as *[Title]* and representing *[Name of the PFI]*, certify that the data contained in this report completely and accurately represents the implementation of our Environmental and Social (E&S²⁸) Management System (ESMS) in BDF projects and programs financed by the *[Name of the IFIs, i.e. World Bank, KfW, etc.]*. *This certification is accurate in all respects at the time of submission, and no document or material omitted any information the omission of which would have made such document or material misleading.*

[Name-Surname of the Authorized Representative, Title]

[Date]

²⁸ The acronym E&S refers to all aspects of “sustainability” as encompassed by the International Finance Corporation (IFC) Performance Standards, i.e. environment, social, health and safety, human rights and labor aspects.

1. Introduction

2. Overview of PFI’s Financing Operations under BDF financed Projects and Programs

2.1. Summary of Current Operations

[Please briefly describe the operations any changes in the regional or branch, etc. in this reporting period]

[Describe the status of any management initiatives or equivalent certifications, and provide copies of the relevant certifications and supporting documentation]

Table X – Management System Initiatives

Management System Initiative	Status of Certified System			Date of Issue	Valid Until	Scope	Comments/Remarks
	None	Under Development	In Place (Certified /Verified)				
Quality (e.g. ISO 9001)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Environmental (e.g. ISO 14001)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Information Security (e.g. ISO 27001)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Occupational, Health and Safety (e.g. ISO 45001)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Energy (e.g. ISO 50001)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Corporate Social Responsibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Others.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				

2.2. Portfolio Information

[Please provide information on the portfolio]

[Please provide an indicative % of portfolio that these sectors represent of the total SME and LE and corporate portfolio for the current reporting period; if you have a different distribution, please indicate sectors and percentages, or attach separate portfolio information]

Table X – Exposure by Industry Sectors (as of [Date])

No.	Industrial Sector	% of Overall Portfolio	% of World Bank Finance Portfolio
	Agriculture		
	Manufacturing		
	Energy and commodities		
	Construction and real estate		
	Tourism		
	Other		

[If you have sub-sectoral information, please indicate the sub-sector grouping and percentages below]:

Table X – Exposure by Industry Sub-sectors (as of [Date])

No.	Industry Sub-sector	% of Overall Sub-sector Portfolio	% of World Bank Finance Portfolio
	Agriculture		
	Crop Production		
	Animal Production		
	Agri food processing		
	Agri-trade and commodities finance		
	Agri exports		
	Other		
	Manufacturing		
	<i>[Please list, if any]</i>		
	Energy and commodities		
	<i>[Please list, if any]</i>		
	Construction and real estate		
	<i>[Please list, if any]</i>		
	<i>[Please add or delete, as relevant]</i>		

3. Summary of ESMS Implementation Performance

3.1. Overall Compliance of PFI Operations with ESS9

[Please provide a general summary for this reporting period]

3.2. E&S Risk Management

[Please list the E&S policies, plans and procedures you institution has in place; such as Environmental Policy, Human Resources Policy, Health and Safety Policy, Plans and Procedures, Emergency Preparedness and Response Plan, etc.]

Table X – List of E&S Policy, Plan and Procedures in Place at your Institution

No.	Name of the Policy, Plan, Procedure	Date of Issue	Remarks (such as any updates in this Reporting Period, etc.)

3.2.1. Overall Compliance of PFI Operations with ESSs

[Please provide a general summary for this reporting period]

Table X – Overall Compliance of PFI Operations with ESSs in this Reporting Period

<p>ESS2 – Labor and Working Conditions</p> <p><i>[Please provide a summary of key E&S issues, non-conformities, improvement areas, etc. identified for Beneficiary Business Activities such as OHS accidents and incidents, internal grievances, etc.]</i></p>
<p>ESS3 – Resource Efficiency and Pollution Prevention and Management</p> <p><i>[Please provide a summary of key E&S issues, non-conformities, improvement areas, etc. identified for Beneficiary Business Activities such as any environmental accidents or incidents such as spills, leakage, tank ruptures, explosions; non-compliance with the regulatory standards; grievances related to emissions caused by the beneficiary business activities, significant or non-efficient consumption of water in business activities, implementation of measures to minimize emissions of climate pollutants including all greenhouse gases, war-related hazards, etc.]</i></p>
<p>ESS4 – Community Health and Safety</p> <p><i>[Please provide a summary of key E&S issues, non-conformities, improvement areas, etc. identified for Beneficiary Business Activities such as grievance from public related to community health and safety risks or impacts, any major accidents or emergency events in beneficiary business activities, harm or losses to community members due to beneficiary business activities, war-related hazards, etc.]</i></p>
<p>ESS5 – Land Acquisition, Restrictions on Land Use and Involuntary Resettlement</p> <p><i>[Please provide a summary of key E&S issues, non-conformities, improvement areas, etc. identified for Beneficiary Business Activities such as expropriation or acquisition of new lands for business activities, judicial processes, grievances related to land acquisition, displacement impacts on communities, etc.]</i></p>
<p>ESS6 – Biodiversity Conservation and Sustainable Management of Living Natural Resources</p> <p><i>[Please provide a summary of key E&S issues, non-conformities, improvement areas, etc. identified for Beneficiary Business Activities such as official correspondence with the nature conservation authorities, activity done or ongoing within or adjacent to environmentally sensitive areas, activities impacting new habitats or ecosystems, any biodiversity management measure implemented (e.g. seed collection, plant translocation, habitat, restoration, etc.)</i></p>
<p>ESS8 – Cultural Heritage</p> <p><i>[Please provide a summary of key E&S issues, non-conformities, improvement areas, etc. identified for Beneficiary Business Activities such as official correspondence with the nature conservation authorities, chance finds discovered during the site works, etc.]</i></p>

3.2.2. Summary of PFI's ESDD of BDF Beneficiary Enterprises

[Please list the BEs and business activities subject to E&S appraisal and/or finance decision by your institution in this reporting period]

No.	Beneficiary Enterprise	Beneficiary Business Activity	E&S Risk Rating of the Activity (High, Substantial, Moderate or Low)	Status of ESDD (Pending, Ongoing or Completed)	ESDD Documentation (E&S Risk Assessment Form, Detailed ESDD Report, ESAP, etc.)	Status of Finance Decision based on ESDD (Approved, Pending, Rejected, etc.)	Facility Agreement Date (Actual or Foreseen)	Remarks (e.g. main consideration for rejection, if rejected for finance, etc. such as E&S risks, financial risks, technical risks, legal risks, reputational risks)

3.3. Organization Capacity and Competency (at the PFI)

3.3.1. Organizational Capacity and Competency

➤ Has there been any change in the environmental, social, and OHS staff at your institution (head office and branches) in this reporting period?	[Yes/No]	[If yes, please describe]
--	----------	---------------------------

*[Please insert the current organization chart
Indicating Senior Management and E&S roles, and reporting lines]*

Figure X – Current Organization Chart for PFI Risk Management Unit

[Please indicate the Senior management representative(s) with overall accountability for E&S performance and staff designated to be responsible for day-to-day implementation of the ESMS]

Table 2.4 – Responsible Staff at the Head Office

Management Aspect	Responsible Staff	Details
Senior management representative(s)	Name-surname: Title/ position: E-mail:	: : :
Environmental	Name-surname: Title/ position: E-mail:	: : :
Health and safety management	Name-surname: Title/ position: E-mail:	: : :
Social/ External communications (including stakeholder engagement and grievance management)	Name-surname: Title/ position: E-mail:	: : :
Others (e.g. Procurement/ supply chain management, human resources, etc.)	Name-surname: Title/ position: E-mail:	: : :

[Please provide breakdown of E&S staff at the head office and if relevant at the regional/branch offices]

Table X – Breakdown of E&S Staff (as of [Date])

PFI Organization	Number of Staff		
	Environmental	Social	Health and Safety
PFI – Head Office
PFI – Branches
Total in this period
Total in the previous period

3.3.2. Capacity Building and Training

➤ Has there been any E&S capacity building training completed by your staff in this reporting period?	[Yes/No]	<i>[If yes, please list the trainings in the following table]</i>
---	----------	---

Table X – E&S Training Log for this Reporting Period (as of [Date])

No	Training Subject	Date	Location/ Method (In-class, online, etc.)	Number of Participants	Topics Covered	Who were the Trainer(s)?	Duration (Hours)
Head Office							
1	<i>[Please list]</i>						
2							
3							
4							
5							
Branch Offices							
1	<i>[Please list]</i>						
2							
3							

➤ Has there been any E&S capacity building training completed by the staff of your beneficiary BEs in this reporting period?	[Yes/No]	<i>[If yes, please provide information]</i>
--	----------	---

3.4. E&S Monitoring, Reporting and Review

3.4.1. Monitoring and Reporting Activities (by PFIs)

[Please provide brief information on monitoring of beneficiary BEs by your institution (e.g. monitoring methods, frequency), and list the periodic E&S monitoring reports received from beneficiary BEs in this reporting period]

3.4.2. Significant Incident & Accident Reporting and Investigation

➤ Has there been any E&S accident or significant ²⁹ incidents in this reporting period that have caused damage; brought about injuries or fatalities or other health problems; attracted the attention of outside parties; affected project labor or adjacent populations; affected cultural property; or created liabilities for the Subproject?	[Yes/No]	<i>[If yes, please provide information in the following table]</i>
--	----------	--

Table X – Log of Accidents and Significant Incidents (as of [Date])

No	Date of Event/ Incident	Type of Incident ³⁰	Brief Description of the Incident	Consequences ³¹	Status of Corrective Actions	Remarks
1						
2						
3						
4						
5						

3.4.3. Status of E&S Action Plan (ESAP) Implementation by Beneficiary Enterprises

[Please provide brief information on the status of ESAP implementation by BEs]

No.	Name of BE	Facility Agreement Date	Is there an ESAP part of Facility Agreement?	Please describe briefly the general status of actions (e.g. are there any open or overdue actions, are all actions closed, any non-conformities, etc.)
1			[Yes/No]	
2				
3				
4				
5				

²⁹ Any incident or accident relating to the subproject which has, or is likely to have, a significant adverse impact on the environment and/or health and safety of communities or employees (direct or contracted) involved in the subprojects related operations will be considered significant. Examples of significant incidents include chemical and/or hydrocarbon materials spills; fire, explosion or unplanned releases, including during transportation; ecological damage/destruction; traffic or other type of accidents that could result in fatalities or serious injuries affecting employees and/or public complaint or protest; failure of emissions or effluent treatment; legal/administrative notice of violation; penalties, fines, or increase in pollution charges; negative media attention; chance cultural finds; labor unrest or disputes; local community concerns.

³⁰ Such as Acts of violence/protest; Child labor; Dam failure; Disease outbreaks; Displacement without due process; Environmental pollution; Fatality; Fire; Forced labor; Legal/administrative notice of violation; Local community concerns; Lost time injury; Negative media attention; Penalties and/or fines imposed by state authorities; Traffic accident; Unexpected impacts on biodiversity resources; Unexpected impacts on heritage resources; etc.

³¹ Such as impact on environmental resources, communities, employees, etc.

3.5. External Communications

3.5.1. Stakeholder Engagement, Consultation and Information Disclosure Activities

[Please provide information on the status of stakeholder engagement in beneficiary business activities, where applicable SEP implementation with details on any ongoing public consultation and disclosure, liaison with governmental and non-governmental organizations (NGOs), civil society, local communities or public relations efforts on environmental and social aspects]

3.5.2. Management of Public (External) Grievances

[Please list any external grievance received from public during this reporting period and grievance still pending resolution as of this reporting period]

Table X – Register for Public (External) Grievances

No.	Date of Grievance Received	Relevant BE	Relevant Business Activity	Receiving Party (BE, PFI, etc.)	Grievance Subject (E&S Issue)	Brief Description of the Grievance	Status of Grievance (Resolved, Resolution process ongoing, pending, appealed to legal mechanism)	Date Grievance Closed	Grievance Closure Duration (days since receipt)	Remarks

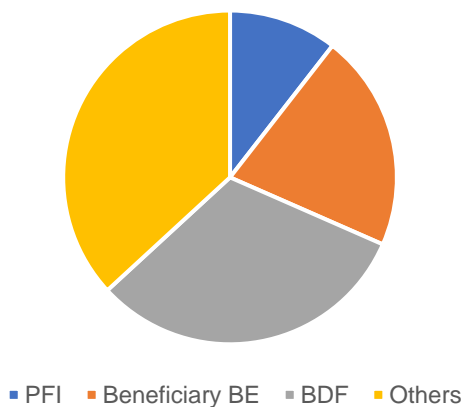
Table X – Summary of External (Public) Grievances Management

Period	Total # of Grievance Received	Status			
		Resolved	Open	Pending	Appealed to Legal Mechanism
Q3 2024					
Q4 2024					
Q1 2025					
Q2 2025					
Q3 2025					
Q4 2025					
Q1 2026					
Cumulative (as of this reporting period)					

[Please provide an analysis of the grievances received in this reporting period per Receiving Party; please update the categories as needed]

Breakdown of Grievances and Feedback received in this Report Period

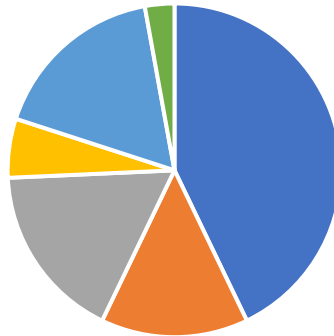
per Receiving Party



[Please provide an analysis of the grievances received in this reporting period per Sector; please update the categories as needed]

Breakdown of Grievances and Feedback received in this Reporting Period -

per Sector

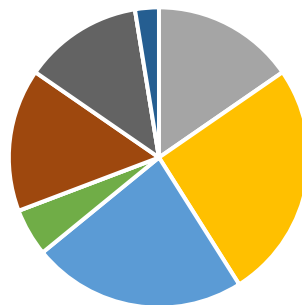


- Agribusiness
- Manufacturing
- Energy and commodities
- Construction
- Trade
- Others

[Please provide an analysis of the grievances per E&S subject received in this reporting period per E&S Subject; please update the categories as needed]

Breakdown of Grievances and Feedback received in this Reporting Period -

per E&S Subject



- Damage to land
- Dust
- Vibration
- Water resources
- Waste management
- Others
- Restricted access to land or assets
- Noise
- Traffic risks
- Wastewater discharge
- Community health and safety risks and issues

3.5.3. Management of Internal (Employee) Grievances

[Please list any internal grievance received from employees during this reporting period and grievance still pending resolution as of this reporting period]

Table X – Register for Employee (Internal) Grievances

No.	Date of Grievance Received	Relevant BE	Relevant Business Activity	Receiving Party (BE, PFI, etc.)	Grievance Subject (E&S Issue)	Brief Description of the Grievance	Status of Grievance (Resolved, Resolution process ongoing, pending, appealed to legal mechanism)	Date Grievance Closed	Grievance Closure Duration (days since receipt)	Remarks
<i>PFI Employee Grievances</i>										
<i>Beneficiary BE Employee Grievances</i>										

Table X – Summary of Internal Grievances Management for PFI Employees

Period	Total # of Grievance Received	Status			
		Resolved	Open	Pending	Appealed to Legal Mechanism
Q3 2024					
Q4 2024					
Q1 2025					
Q2 2025					
Q3 2025					
Q4 2025					
Q1 2026					
Cumulative (as of this reporting period)					

Table X – Summary of Internal Grievances Management for Beneficiary BE Employees

Period	Total # of Grievance Received	Status			
		Resolved	Open	Pending	Appealed to Legal Mechanism
Q3 2024					
Q4 2024					
Q1 2025					
Q2 2025					
Q3 2025					
Q4 2025					
Q1 2026					
Cumulative (as of this reporting period)					

4. Status of ESAP Implementation by PFI

[Please insert the ESAP agreed between BDF and your institution as part of Facility (Finance) Agreement and complete the status column of the ESAP to provide update for this reporting period]

Annexes

[Please add any supporting documentation relevant to this reporting period]

II.7 – E&S Monitoring Site Visit Checklist

E&S Monitoring Site Visit Checklist					
<p>[Note: Depending on the beneficiary enterprises' activities, some sections and/or questions of this checklist may seem less relevant than others. Applicability of the questions to the site being visited shall be evaluated on a case-by-case basis. The checklist can be by tailored where applicable, to respond to the specific requirements of the business enterprises and nature and scale of the risks and/or impacts of the activities being monitored].</p>					
Environmental and Social Standards (ESSs)		Yes	No	N/A	Please Describe
ESS1 – Assessment and Management of E&S Risks and Impacts					
Part A – Compliance					
1.1.	Are the beneficiary business activities materially compliant with all applicable legislative ³² requirements in Ukraine?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.2.	Are there environmental permits, licenses, approval applicable to the beneficiary business activities? <i>If yes, is there an up-to-date permits register and permitting documentation on site? Please check the relevant documentation</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.3.	Did the beneficiary business activities receive any audits/inspections from environmental, labor, H&S or other authorities since last site visit? <i>If yes, please check the relevant documentation.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.4.	Have the beneficiary business activities been subject to litigation for environmental, labor, H&S, land acquisition or other reasons. <i>If yes, please check the relevant documentation.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.5.	Has there been any fine, penalty, notices of violation received from authorities due to non-compliant operations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				
Part B – Organizational Capacity and Competency					
1.6.	Are there dedicated staff responsible for E&S management (e.g. compliance, ESAP implementation) on-site?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.7.	Are there records of any training provided to staff involved in beneficiary business activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				
Part C – Monitoring and Reporting					
1.8.	Is there any environmental monitoring done by the authorities for the supported business activities in line with the national legislation? If yes, has there been any non-compliance and corrective action identified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.9.	Has there been any E&S accidents or significant incidents ³³ that have occurred in this reporting period and caused damage; brought about injuries or fatalities or other health problems; attracted the attention of	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

³² Environmental, social, labor, H&S, land acquisition, etc.

³³ Any incident or accident relating to the business activities which has, or is likely to have, a significant adverse impact on the environment and/or health and safety of communities or employees (direct or contracted) involved in the beneficiary business activities will be considered significant. Examples of significant incidents include chemical and/or hydrocarbon materials spills; fire, explosion or unplanned releases, including during transportation; ecological damage/destruction; traffic or other type of accidents that could result in fatalities or serious injuries affecting employees and/or public complaint or protest; failure of emissions or effluent treatment; legal/administrative notice of violation; penalties, fines, or increase in pollution charges; negative media attention; chance cultural finds; labor unrest or disputes; local community concerns.

E&S Monitoring Site Visit Checklist

[Note: Depending on the beneficiary enterprises' activities, some sections and/or questions of this checklist may seem less relevant than others. Applicability of the questions to the site being visited shall be evaluated on a case-by-case basis. The checklist can be tailored where applicable, to respond to the specific requirements of the business enterprises and nature and scale of the risks and/or impacts of the activities being monitored].

Environmental and Social Standards (ESSs)		Yes	No	N/A	Please Describe
	outside parties; affected project labor or adjacent populations; affected cultural property; or created liabilities for the BE? <i>If yes, please check the relevant documentation and visit and observe the incident site, where possible.</i>				
	<i>[Please add as necessary]</i>				
Part D – Other					
1.10.	Is there any indication of cumulative impacts due to other facilities, developments in the area? <i>[Please add as necessary]</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
ESS2 – Labor and Working Conditions (covering all site personnel including contracted/sub-contracted)					
Part A – Labor and Working Conditions					
2.1.	Do all workers involved in beneficiary business activities have employment contracts in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.2.	Are working hours, breaks and time off (daily, weekly, monthly) in line with national legislation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.	Do salary payments to all workers (direct or contracted) done in line with the national legislation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.4.	Do workers receive salary payments regularly and not working under debt obligations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.5.	Is there any indication of forced labor on site?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.6.	Are there any workers who are/ who appear to be under the legal working age?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.7.	Are there migrant or seasonal workers involved in beneficiary business activities? <i>If yes, what is the extent?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.8.	Do the migrant workers have the required work permits in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.9.	Where provided, are workers' accommodation conditions in line with the requirements of IFC/EBRD's Guidance Note on Worker's Accommodation (2009)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.10.	Is there a functioning internal grievance mechanism in place for collection and timely resolution of grievances of employees involved in beneficiary business activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.11.	Is there a documented method used for complaints to be logged?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.12.	Is there any litigation regarding labor and working conditions? <i>[Please add as necessary]</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Part B – Occupational Health and Safety					
OHS Management System					
2.13.	Are OHS policy, plan and/or procedures in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.14.	Are job/hazard specific risk assessments in place? <i>(such as excavation works, work at height, electrical safety, handling of hazardous substances, handling of hazardous substances such as</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

E&S Monitoring Site Visit Checklist

[Note: Depending on the beneficiary enterprises' activities, some sections and/or questions of this checklist may seem less relevant than others. Applicability of the questions to the site being visited shall be evaluated on a case-by-case basis. The checklist can be tailored where applicable, to respond to the specific requirements of the business enterprises and nature and scale of the risks and/or impacts of the activities being monitored].

Environmental and Social Standards (ESSs)		Yes	No	N/A	Please Describe
	<i>agrochemicals, pesticides, working in confined spaces, operating construction or agricultural machinery and equipment, etc.)?</i>				
2.15.	Are there records on basic and job specific OHS training received by the workers <i>(such as training on excavation works, work at height, road safety, handling of hazardous substances, confined spaces, electrical equipment etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.16.	Is there regular (e.g. daily) toolbox training practice applied at site?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.17.	Is there a permit to work system in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.18.	Is there a system in place for monitoring and recording OHS incidents/accidents <i>(such as Incident/Accident Log)?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.19.	Is there a system in place for monitoring and recording near misses?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.20.	Is there a system in place to investigate and report accidents and significant incidents?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.21.	Are there mechanisms in place to report OHS non-compliances?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.22.	Is there an Emergency Preparedness and Response Plan in place addressing risks specific to supported business activities? <i>(such as specific emergency preparedness and response procedures for fires or explosions involving agrochemicals)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.23.	Are periodic drills conducted to practice the Emergency Preparedness and Response Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.24.	Are there operation procedures in place for process shut-down, evacuation, etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				
General Safety					
2.25.	Are workers involved in the beneficiary business activities provided with a safe and hygienic workplace?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.26.	Are housekeeping practices applied on site generally in line with the good international practices? <i>(such as, site is clean and tidy with no trip hazards, walkways kept clear of obstructions, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.27.	Does water supplied to areas of food preparation or for the purpose of personal hygiene (washing or bathing) meet drinking water quality standards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.28.	Are there buildings used by the beneficiary business activities? If yes, are buildings structurally safe, providing appropriate protection against the climate, and offering acceptable light and noise conditions, fire-resistant, etc?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.29.	Are floors level, even, and non-skid?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.30.	Is heavy oscillating, rotating, or alternating equipment located in dedicated buildings or structurally isolated sections?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.31.	Have any potential sources of ignition, fuel and oxygen been identified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.32.	Are there mechanisms in place to check fitness for duty of workers involved in beneficiary business activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

E&S Monitoring Site Visit Checklist

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Environmental and Social Standards (ESSs)		Yes	No	N/A	Please Describe
2.33.	Does the site equipment look in good condition and are there records documenting regular inspection and maintenance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.34.	Is there an adequately equipped infirmary and/or patient transfer ambulance available on-site?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.35.	Are there appointed first aider at site and is proper first aid equipment in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.36.	Is there a H&S notice board with information on fire wardens and first aiders?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.37.	Are there proper facilities in place for male and female workers (including mobile workers) to eat, use the toilet, rest and wash their hands?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.38.	Are washing facilities with soap and warm water available to wash hands?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.39.	Is there sufficient heating/ cooling of indoor environments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.40.	Does the site appear to be free from asbestos?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.41.	Where the risk is relevant, is there an asbestos management plan in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<i>[Please add as necessary]</i>					
Driving and Road Safety, Movement of Vehicles					
2.42.	Are there specific protocols in place for the safe transport of hazardous materials (such as chemicals, agrochemicals, agricultural inputs, etc.) to prevent spills and accidents?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.43.	Are there adequate measures in place against risks due to movement of vehicles?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.44.	Are there adequate road safety measures and measures to manage traffic movement in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.45.	Are drivers involved in beneficiary business activities trained, and do all drivers hold valid driving licenses and authorization to drive?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.46.	Is traffic movement managed by traffic management plans in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.47.	Do the machinery and equipment (e.g. construction machinery, tractors, harvesters, etc.) look in good condition and are there records documenting regular inspection and maintenance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.48.	Are banksmen provided to help drivers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.49.	Is collision damage protection provided for vulnerable storage areas?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.50.	Is reversing avoided where possible, and are one-way systems in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.51.	Is the use of seat belts ensured when the vehicle is in motion?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.52.	Is the use of mobile phones avoided when driving?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.53.	Is there adherence to speed limits that are in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.54.	Are vehicle and pedestrian walkways segregated at site?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.55.	Do workers wear high visibility jackets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.56.	Is the condition of vehicles, including lights, horns, and tyres good?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.57.	Is a daily driver check carried out to confirm fitness to drive?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<i>[Please add as necessary]</i>					
Excavation Safety					

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Environmental and Social Standards (ESSs)		Yes	No	N/A	Please Describe
2.58.	Are there adequate measures in place against risks stemming from excavation works?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.59.	Have excavation sides been supported effectively? Are vehicles and heavy materials kept away from the edges?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.60.	Are excavations suitably illuminated to ensure visibility at all times?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.61.	Are excavations dry and free from ground water with no damaged services running through?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.62.	Are workers who enter the excavation trained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.63.	Are inspections carried out by a competent individual at the start of each shift?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.64.	Are stop blocks used to prevent vehicles and machinery from approaching unsafe areas of excavation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.65.	Are materials, including the excavated materials, are not stored close to the edge of the excavation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				
Falls from Height					
2.66.	Could the work have been done at ground level?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.67.	Have the risk assessments for working at height been carried out?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.68.	Are there adequate measures in place for workers against falls from height risks? <i>(such as safety harnesses are worn and clipped on where a fall could occur, for workers working at elevated agricultural structures e.g. silos, grain elevators, workers engaged in crop handling and harvesting from heights e.g., fruit picking from tall trees)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.69.	Are ladders fastened at the top and bottom?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.70.	Are fixed guard rails in place to prevent a fall?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.71.	Are workers working at height being supervised and acting safely?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				
Confined Spaces					
2.72.	Are there specific safety measures in place to avoid for entering confined spaces to prevent engulfment or suffocation? <i>(such as grain storage bins, silos, fermentation tanks, other liquid storage tanks, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.73.	Are safety protocols in place for entering and working in confined spaces used in agricultural processes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.74.	Is there a permit to work system in place if confined space entry cannot be avoided?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.75.	Is correct PPE is being used, including suitable breathing apparatus and safety harnesses connected to a safety line for emergency removal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.76.	Is gas detection equipment being used to monitor confined spaces?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.77.	Are workers operating with enough space and light?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.78.	Is a safety worker appointed, and does he/ she maintain communication with workers at all times?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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Environmental and Social Standards (ESSs)		Yes	No	N/A	Please Describe
	<i>[Please add as necessary]</i>				
Electrical Safety					
2.79.	Are there adequate electrical safety measures in place? <i>(such as safety measures for irrigation and water pump systems, insulation and moisture protection measures in greenhouse systems, etc. to prevent electrical hazards, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.80.	Are electrical panels and conductors locked with access to authorized personnel only?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.81.	Is there evidence of safety testing for portable and fixed electrical items and systems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.82.	Is there regular maintenance and safety checks for electrical components in machinery and equipment? <i>(such as agricultural machinery, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.83.	Are safe isolation (lock off/ tag out) procedures in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.84.	Is the electrical equipment used in explosive environments suitable for that area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.85.	Are electrical cables exposed to hostile site conditions protected?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				
Hazardous Materials					
2.86.	Are hazardous materials (such as process chemicals, agrochemicals, etc.) stored in a secure, ventilated area away from workers and food storage?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.87.	Are there adequate hazardous materials safety measures in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.88.	Is the release of dangerous substances controlled at source?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.89.	Is there sufficient ventilation to prevent working in dust or fume laden air?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.90.	Are harmful substances disposed of safely?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.91.	Are hazardous materials stored in designated labelled containers when in use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				
Fire and Explosion Safety					
2.92.	Are there adequate fire safety measures in place? <i>(such as fire safety measures specific to the storage of chemicals, agrochemicals, appropriate fire extinguishers and storage conditions, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.93.	Is firefighting equipment available in working areas?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.94.	Are flammable materials stored according to suppliers' material safety data sheets?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.95.	Is preventing explosive atmospheres achieved, for example, by providing adequate ventilation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.96.	Are fire and emergency alarm systems both audible and visible?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.97.	Are emergency procedures and fire action plans in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				

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Environmental and Social Standards (ESSs)		Yes	No	N/A	Please Describe
Physical, Chemical, Biological and Psychosocial Risks					
2.98.	Are there adequate measures in place against physical, chemical, biological and/or radiation risks stemming from beneficiary business activities (e.g. noise, dust, fumes, asbestos, wet-working, vibration, manual handling etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.99.	Is there adequate lighting?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.100.	Is noise monitored in work areas?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.101.	Is noisy equipment enclosed or acoustic barriers are in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.102.	Is there evidence of air quality monitoring?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.103.	Are workers outdoors provided with suitable warm and wet weather clothing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.104.	Is correct PPE used to avoid contact with skin, eyes, or by inhalation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.105.	Are safety data sheets available for all hazardous materials used?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.106.	Is there evidence of stagnant liquids?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.107.	Is the site free from vermin?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.108.	Are workers immunized where necessary?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.109.	Is hand protection used where needles and sharps risks are present?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.110.	Are sharps bins used to dispose of needles and similar materials?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.111.	Are there adequate measures in place against psychosocial risks (such as noise impact, poor lighting, lack of thermal comfort etc.)?				
	<i>[Please add as necessary]</i>				
Radiation Risk					
2.112.	Are appropriate authorities notified of the use of radiation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.113.	Is radiation only used in designated areas?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.114.	Is PPE and dose monitoring carried out for those exposed to radiation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.115.	Is use of radiation supervised by a competent individual?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				
PPE Use					
2.116.	Is PPE readily available and properly used at site depending on the job-specific hazards (e.g. handling chemicals, agrochemicals, working at height or in confined spaces, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.117.	Is there appropriate enforcement and signage showing when PPE should be used?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.118.	Is hearing protection used in noisy working environments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.119.	Is hand protection used where needles or sharps risks are present?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.120.	Are workers provided with suitable warm and wet weather clothing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				
ESS3 – Resource Efficiency and Pollution Prevention and Management					

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Environmental and Social Standards (ESSs)		Yes	No	N/A	Please Describe
3.1.	Are water conservation measures in place to optimize and reduce water consumption? <i>(such as water used for irrigation, concrete production, construction works, industrial processes, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.2.	Is equipment regularly inspected and maintained to ensure efficient water use and prevent leaks or malfunctions? <i>(such as irrigation systems, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.3.	Are modern techniques being used to enhance water use efficiency? <i>(such as drip irrigation or soil moisture sensors in case of crop production, water recirculation systems in industrial processes)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.4.	Are there measures in place to prevent contamination of water sources? <i>(such as contamination from industrial processes, agricultural activities and agrochemicals, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.5.	Are there measures in place to prevent soil contamination? <i>(such as contamination due to gas/ diesel leakage, hazardous materials, hazardous wastes, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.6.	Is there regular monitoring of water quality in local community water sources potentially impacted by business operations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.7.	Is there any evidence of exceedance of permitted discharge/emission thresholds?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.8.	Is there any unpermitted discharge, emission, disposal activity associated with the business activity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.9.	Is there evidence on application of waste mitigation hierarchy on-site (avoid, minimize, reuse, recycle/recovery, dispose)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.10.	Are on-site waste management practices adequate? <i>(such as good housekeeping, application of waste mitigation hierarchy, proper temporary waste storage, disposal in compliance with national regulatory requirements, record keeping, sustainable management of crop residues, application of composting, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.11.	Is there any evidence of leaks and spills around storage tanks, wastewater treatment equipment, pipelines, material and waste storage areas, construction equipment, other operational facilities, etc.?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.12.	Are there underground installations such as storage tanks, sewer systems, etc. present at site and where present, are they inspected regularly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.13.	Are there any past or present known contamination to soils or groundwater associated with the site, either through supported business activities or migrations from other neighboring sites/land uses?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.14.	Are there adequate protection measures in place around liquid storage tanks? <i>(such as secondary containments, bunds, leak detection equipment, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.15.	Are there adequate measures in place for hazardous materials safety? <i>(such as storage of agrochemicals, pesticides, herbicides, fertilizers in designated, secure, and ventilated areas, use of locked cages away from</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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Environmental and Social Standards (ESSs)		Yes	No	N/A	Please Describe
	<i>potential vehicle collision damage, optimization of fertilizer and pesticide application rates, etc.)</i>				
3.16.	Are there measures in place to minimize the environmental impact of vehicles, such as emissions control? <i>(such as limiting idling of vehicles, machineries equipment, proper disposal of waste oil, batteries, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.17.	Are fuel-efficient or low-emission vehicles preferred for use in the business activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				
ESS4 – Community Health and Safety					
4.1.	Is there any damage, disturbance or access restriction to water resources used by the community, community properties, existing infrastructure, public buildings, roads, parks, schools, recreational or religious places, etc. due to business activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.2.	Are there measures and mechanism in place to avoid unauthorized access to work sites of BE?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.3.	Does the beneficiary business activities lead to significant disruption of local communities/sensitive receptors due to dust, noise, odor, traffic, etc. generation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.4.	Does the beneficiary business activity pose community health and safety risks due to transportation of materials (such as construction materials, chemicals, agricultural inputs, agrochemicals, etc.?)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.5.	Could beneficiary business activities create fire, explosion, gas leakage, spill, chemical exposure, flood, landslides, etc. related risks that might impact local communities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.6.	Is there a potential for temporary or permanent labor influx?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.7.	Are there any security issues/incidents that have taken place to date on business activity sites?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.8.	Does the business activity procure private security services from reputable licensed companies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.9.	Have required permits been secured for provision of private security services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.10.	Are there armed security personnel on work sites?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.11.	Is there mechanism in place to ensure that security personnel have been checked for involvement in past abuses?				
4.12.	Are security personnel trained on how to interact with the local community?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.13.	Has there been any incident that involved security staff and the local community or internal or external grievance due to acts of security staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.14.	Is there an emergency preparedness and response plan in place for potential incidents such as chemical spills, fires, and natural disasters?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				
ESS5 – Land Acquisition, Restrictions on Land Use and Involuntary Resettlement					

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Environmental and Social Standards (ESSs)		Yes	No	N/A	Please Describe
5.1.	Has there been any land acquisition took place/ planned for the beneficiary business activity? <i>(such as agricultural lands, pasture lands, grazing areas, public water resources, any other areas where local communities use for various purposes in common)?</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.2.	Has there been any associated physical and/ or economic displacement impact?				
5.3.	Where applicable, are RP measures being implemented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.4.	Are there any permanent or temporary restriction on private or public land use ³⁴ due to beneficiary business activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.5.	Is there any evidence of forced eviction?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.6.	Are there any disadvantaged and/or vulnerable individuals or groups that have been adversely affected by land acquisition carried out for the business activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.7.	Is there a grievance mechanism accessible to people affected by land acquisition carried out for the business activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.8.	Has there been land acquisition related grievances received and managed/to be managed as part of subproject implementation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				
ESS6 – Biodiversity Conservation and Sustainable Management of Living Natural Resources					
6.1.	Are biodiversity management measures/actions defined in the E&S instruments (such as ESIA, ESMP, Biodiversity Management/Action Plan, etc.) being implemented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.	Are erosion control measures in place to prevent soil loss and degradation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.	Are there any site pending rehabilitation/reinstatement or are there any habitat restoration projects underway to rehabilitate areas affected by agricultural activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.4.	Are there measures in place to prevent the introduction and spread of invasive species through agricultural activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				
ESS8 – Cultural Heritage					
8.1.	Have applicable permits/approvals required for the management of legally protected cultural heritage assets been secured from the national authorities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.2.	Are there any chance find sites discovered and managed as per the Chance Finds Procedure?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				

³⁴ “Restrictions on land use” refers to limitations or prohibitions on the use of agricultural, residential, commercial or other land that are directly introduced and put into effect as part of the project. These may include restrictions on access to legally designated parks and protected areas, restrictions on access to other common property resources, and restrictions on land use within utility easements or safety zones (WB, 2018. ESF).

E&S Monitoring Site Visit Checklist

[Note: Depending on the beneficiary enterprises' activities, some sections and/or questions of this checklist may seem less relevant than others. Applicability of the questions to the site being visited shall be evaluated on a case-by-case basis. The checklist can be tailored where applicable, to respond to the specific requirements of the business enterprises and nature and scale of the risks and/or impacts of the activities being monitored].

Environmental and Social Standards (ESSs)		Yes	No	N/A	Please Describe
ESS10 – Stakeholder Engagement and Information Disclosure					
10.1.	Where applicable, is SEP being implemented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10.2.	Is there a system for engaging with local communities about the potential impacts of business activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10.3.	Is there a functioning grievance mechanism in place for collection and timely resolution of grievances of external stakeholder including affected people and other interested external parties?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10.4.	Is there a documented method used for complaints to be logged?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10.5.	Are stakeholders informed about the E&S instruments disclosed to public?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	<i>[Please add as necessary]</i>				
War-related Risks					
11.1.	Do war-related conditions exacerbate any of the risks or impacts identified in previous questions or pose any additional risk on BE employees or nearby communities? If yes, please describe. <i>(such as works sites or fields contaminated with landmines and explosive remnants of war, business activities near active combat zones, spills of hazardous materials due to military activities, limitations in access to medical care due to damaged infrastructure or ongoing conflict, limitations in access to essential resources like food, water, and shelter exacerbating vulnerabilities of workers and nearby communities, damage to fields, equipment, and storage facilities disrupting business operations, constant exposure to conflict and violence leading to psychological stress, trauma, and mental health issues among workers, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
11.2.	Are there measures in place to mitigate those risks or impacts? <i>(such as Emergency Preparedness and Response Plan addressing relevant emergencies, safety and security trainings, etc.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Conclusion					
12.1.	Please add remarks on any key site visit observation in relation to environmental and social matters that have not been covered previously:				
Sign-off by PFI who carried out the E&S Monitoring Site Visit					
PFI's Environmental Staff	<i>[Please insert name]</i>	<i>[Please insert title]</i>	<i>[Please insert date]</i>	<i>[Please insert signature]</i>	
PFI's Social Staff	<i>[Please insert name]</i>	<i>[Please insert title]</i>	<i>[Please insert date]</i>	<i>[Please insert signature]</i>	
PFI's OHS Staff	<i>[Please insert name]</i>	<i>[Please insert title]</i>	<i>[Please insert date]</i>	<i>[Please insert signature]</i>	
Other PFI Staff	<i>[Please insert name]</i>	<i>[Please insert title]</i>	<i>[Please insert date]</i>	<i>[Please insert signature]</i>	

II.8 – Strategy for Stakeholder Engagement at PFI-level

Target Stakeholder Group	Stage	Topic of Consultation	Consultation/ Engagement Methods ³⁵	Frequency	Party Responsible for Engagement with Target Stakeholder
Beneficiary Enterprises (BE)	• Prior to Facility Agreement (between PFI and BE)	<ul style="list-style-type: none"> • Support available to BE's under BDF projects and programs financed by WB and other IFIs and information on eligibilities, how to access finance, etc. • PFI's E&S Policy • PFI's ESMS and E&S requirements applicable to BE's • Potential E&S risks and impacts of beneficiary business activities • Facility Agreement conditions including E&S requirements specific to BE business activities (including E&S Action Plan – ESAP) 	<ul style="list-style-type: none"> • Publications on PFI's official web site and other official channels in social media • Publications in mass media • Individual consultations in a hybrid format as required (virtual, face-to-face or via phone calls) • Correspondence (letters, emails) • Messaging services • Targeted outreach through the Independent Association of the Banks of Ukraine (IABU) and professional networks 	• One-off at minimum	<ul style="list-style-type: none"> • PFI's Senior Management Representative(s) • PFI's Risk Management Unit Manager • PFI's designated ECM focal point •
	• Throughout the financing lifecycle (after Facility Agreement)	• BE's ESAP implementation performance	<ul style="list-style-type: none"> • Publications on PFI's official web site and other official channels in social media • Publications in mass media • Individual consultations in a hybrid format as required (virtual, face-to-face or via phone calls) • Correspondence (letters, emails) • Messaging services 	<ul style="list-style-type: none"> • Annually at minimum • Ad-hoc in case of grievances 	<ul style="list-style-type: none"> • PFI's Senior Management Representative(s) • PFI's Risk Management Unit Manager • PFI's designated ECM focal point
Beneficiary Enterprises led	• Prior to Facility Agreement	<ul style="list-style-type: none"> • Same as above • Special engagement and information disclosure needs 	• Publications on PFI's official web site and other official channels in social media	• Ad-hoc	• PFI's Risk Management Unit Manager

Target Stakeholder Group	Stage	Topic of Consultation	Consultation/ Engagement Methods ³⁵	Frequency	Party Responsible for Engagement with Target Stakeholder
by Disadvantaged ³⁶ and Vulnerable Individuals	(between PFI and BE) • Throughout the financing lifecycle (after Facility Agreement)	• Tailored grievance management methods • Contact information	• Publications in mass media • Individual consultations in a hybrid format as required (virtual, face-to-face or via phone calls) • Engagement methods tailored to the particular needs of the disadvantage and vulnerable individual leading the BEs • Correspondence (letters, emails) • Messaging services		• PFI's designated ECM focal point
Those who might be at risk of aerial bombardment and other war hazards if they participate in financing activities	• Prior to Facility Agreement (between PFI and BE) • Throughout the financing lifecycle (after Facility Agreement)	• Potential health and safety risks BE's may encounter during implementation of supported business activities and required measures for risk avoidance and management • Emergency preparedness and response procedures for avoiding war hazards including first aid • Contact information for emergency services, location of shelters	• Publications on PFI's official web site and other official channels in social media • Publications in mass media • Individual (in-person) consultation meetings at discreet venues selected	• Ad-hoc	• PFI's Risk Management Unit Manager • PFI's designated ECM focal point
People affected by beneficiary BEs' supported business activities of High and Substantial Risk	• Prior to Facility Agreement (between PFI and BE)	• Purpose, nature, scale and duration of beneficiary business activities • Potential risks and impacts of beneficiary business activities on local communities, and proposals for mitigating these	• Individual consultations in a hybrid format as required (virtual, face-to-face or via phone calls) • Engagement methods tailored to the particular needs of the	• One-off at minimum	• Beneficiary BE's authorized representatives • PFI's designated ECM focal point
	• Throughout the financing lifecycle			• Semi-annually (at minimum)	

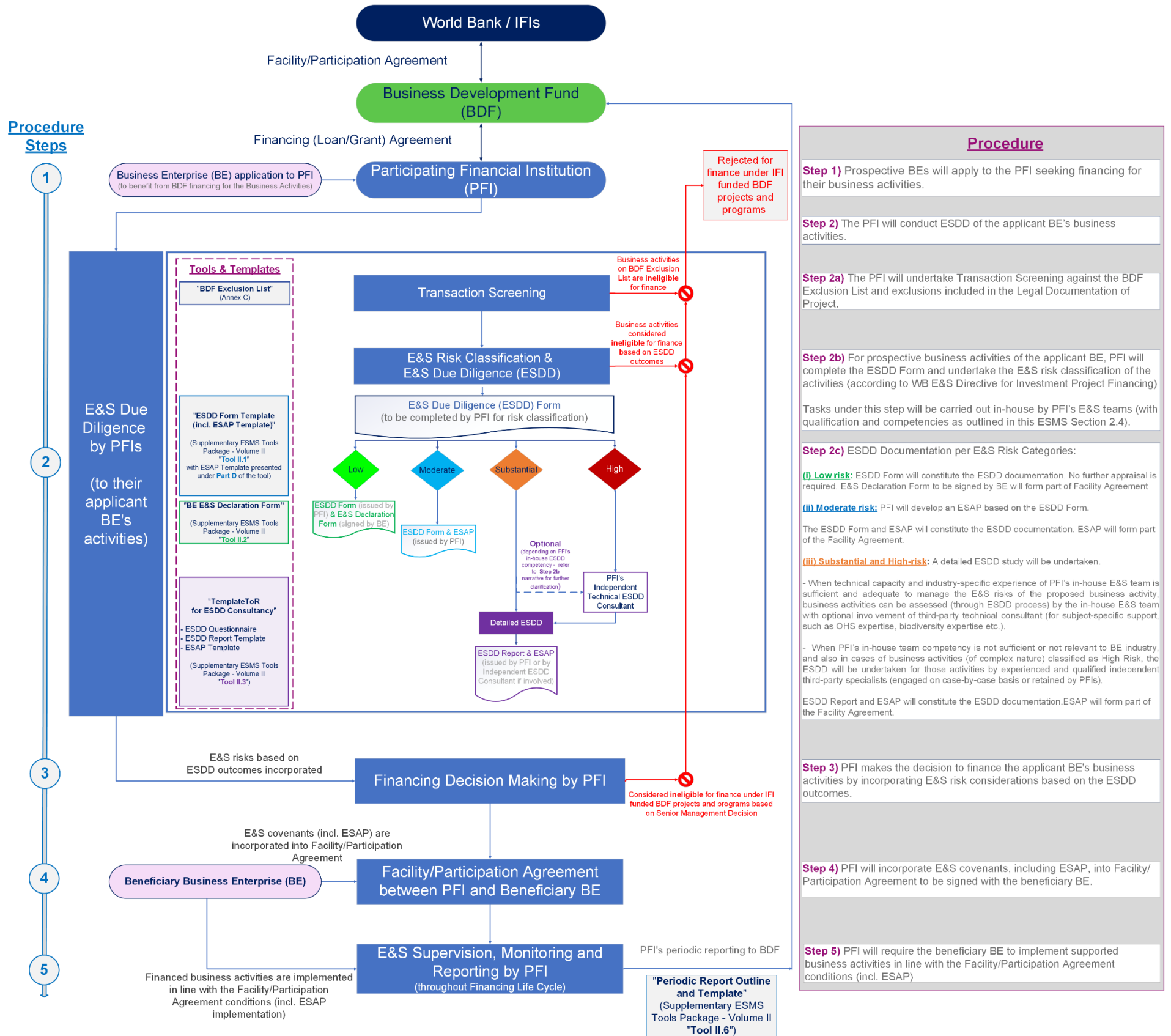
Target Stakeholder Group	Stage	Topic of Consultation	Consultation/ Engagement Methods ³⁵	Frequency	Party Responsible for Engagement with Target Stakeholder
	(after Facility Agreement)	<ul style="list-style-type: none"> • Potential risks and impacts that might disproportionately affect vulnerable and disadvantaged individuals and groups and describing the differentiated measures taken to avoid and minimize them • E&S monitoring results • Proposed stakeholder engagement process highlighting the ways in which stakeholders can participate • Time and venue of any proposed public consultation meetings, and the process by which meetings will be notified, summarized, and reported • The process and means by which grievances can be raised and will be addressed 	disadvantage and vulnerable individuals	<ul style="list-style-type: none"> • Ad-hoc in case of grievances 	
People affected by beneficiary BEs' supported business activities of Moderate and Low Risk	<ul style="list-style-type: none"> • Prior to Facility Agreement (between PFI and BE) 	<ul style="list-style-type: none"> • Same as above 	<ul style="list-style-type: none"> • Same as above 	<ul style="list-style-type: none"> • One-off at minimum 	<ul style="list-style-type: none"> • Beneficiary BE's authorized representatives
	<ul style="list-style-type: none"> • Throughout the financing lifecycle (after Facility Agreement) 			<ul style="list-style-type: none"> • Annually (at minimum) • Ad-hoc in case of grievances 	

II.9 – Grievance Log Template

A. General Information on Grievance/ Feedback						B. Information on Grievance/Feedback Holder (if not anonymous)			
Ref. No.	Name of the Beneficiary BE	Business Activity	Date Grievance Received by BE	Date Grievance Registered by PFI	Method of Receipt (Grievance Form, Community Meeting, Telephone, Verbal, etc.)	Name	Gender	Contact Information	Place of Residence

C. Details of Grievance/Feedback				D. Follow-up Actions (to be filled in case Follow-up Action is Required)				E. Grievance/Feedback Closure			
Type of Feedback (Grievance, Comment, Suggestion, Request, Question)	Subject	Description of the Grievance/ Feedback	Follow-up Action Required (Yes/ No)	Description of Action	Responsible Party/ Person	Due Date for Action	Action Status	Grievance Status	Closure Date	Closure Duration (since receipt by BE)	Remarks (Appeals, Overdue Closure, etc.)

II.10 – Detailed Flow Chart of PFI’s ESDD of Prospective Beneficiary Enterprises’ Business Activities to be Supported



II.11 – Description of Qualifications required for ESMS Senior Specialist and ESMS Specialists to be designated at PFIs

ESMS Senior Specialist

Required qualifications for the ESMS Senior Specialist role include the following.

- University degree from the engineering departments (environmental engineering, chemical engineering, civil engineering, etc.).
- Minimum 7 years of professional experience with minimum 5 years of working experience in assessing, managing and monitoring the E&S risks of the projects financed by IFIs, including Substantial and High-Risk projects
- Excellent English proficiency is required
- Knowledge and understanding of E&S issues and risks in projects financed by IFIs
- Sound knowledge and ability to work with software systems

ESMS Specialist

Required qualifications for the ESMS Specialist role include the following:

- University degree from related department
- Minimum 3 years of professional experience with minimum 2 years of working experience in assessing, managing and monitoring the E&S risks of the projects financed by IFIs
- Excellent English proficiency
- Sound knowledge and ability to work with software systems