

**ENVIRONMENTAL & SOCIAL IMPLEMENTATION MANUAL**  
**REDUCTION OF LANDSLIDE VULNERABILITY BY MITIGATION**  
**PROJECT**

Project Number: 000124  
Borrower(s): The Democratic Socialist Republic of Sri Lanka (GOSL)

Funding Agency: Asian Infrastructure Investment Bank (AIIB)  
Executing Agency: Ministry of Public Administration, Disaster Management & Rural  
Economic Affairs (MPDM&REA)

Implementing Agency: National Building Research Organisation (NBRO)

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## ENVIRONMENTAL & SOCIAL IMPLEMENTATION MANUAL

### Implementation Mechanism for Environmental and Social Management

1. Environmental and Social Policy for Investment Project Financing sets out the *mandatory requirements* of the AII Bank in relation to the projects it supports through Investment Project Financing and the regulations set by the National Government of Sri Lanka are applied for the project.

#### **1. Environmental and social safeguard documents for project implementation to be prepared by the project implementation agency**

2. The project implementing agency (NBRO) is expected to prepare a set of guiding documents to guide the parties to ensure that environmental and social safeguards are met during entire project cycle while optimizing the environmental and social benefits of the project. The important documents are as follows;

#### **Environmental and Social Management Framework (ESMF)**

3. The purpose of the environmental and social management framework (ESMF) is to provide a guide for application of AIIB safeguards and national environmental and social mandates during the implementation of project actions. The project implementing agency; National Building Research Organization (NBRO) is expected to ensure implementation of environmental and social management plans prepared under the ESMF during all phases of project implementation so that the impacts on the environment and community are minimum. The NBRO has produced a ESMF at the planning stage of the project and it addresses national and Bank policy requirements, the methodologies used for environmental and social screening, survey, sampling and analysis and assessment and sets out the proposed general environmental and social mitigation measures, including labor management, occupational health and safety, procedural and review requirements, public consultation and information disclosure requirements, along with the institutional arrangements, training, monitoring and reporting requirements and grievance redress mechanism. Stakeholder consultations also held on the ESMF and issues raised have been included in the ESMF document. The ESMF for the project has been developed and disclosed prior to appraisal. *Ref.* [http://www.nbro.gov.lk/index.php?option=com\\_content&view=article&id=179&Itemid=438&lang=en](http://www.nbro.gov.lk/index.php?option=com_content&view=article&id=179&Itemid=438&lang=en)

#### **Social Management and Resettlement Planning Framework (SMRPF)**

4. The landslide mitigation project is unlikely to require much, if any, involuntary resettlement. However, a Social Management and Resettlement Planning Framework (SMRPF), has been prepared in parallel with the ESMF. The SMRPF includes that sets out the current policies and procedures that apply to people that are resettled because of the landslides. Although the AIIB's Environmental and Social Standard 2 (ESS2) does not apply in these cases, since the resettlement is caused by a natural disaster and is not an impact of the project, it could affect project implementation, since some people may try to use the project to claim access to benefits above and beyond the compensation due under the current government schemes. Moreover, from the site visits undertaken during project preparation, various cases were observed of households that remained in areas at high risk from landslides. It should be emphasized that the remediation program will reduce the risk to some of these households but will not completely eliminate all risks to life and property.

5. This framework sets out principles and procedures for identifying social impacts, execution of social safeguard measures, and institutional arrangements for implementing social action plans including grievance redress, consultation, participation, disclosure, monitoring and evaluation for ensuring efficient and effective implementation of the social safeguard program. The SMRPF includes supplementary guidelines for a more participatory approach through strengthening social inclusion and accountability. Based on the SMRPF, social impact assessment will be carried out with site specific action plan for execution.

**Ref.**[http://www.nbro.gov.lk/index.php?option=com\\_content&view=article&id=179&Itemid=438&lang=en](http://www.nbro.gov.lk/index.php?option=com_content&view=article&id=179&Itemid=438&lang=en)

6. The Site Specific Environmental and Social Management Plans (SSE & SMP) for the subproject sites cover social issues and identify any potential land acquisition or project-related resettlement impacts. If land acquisition or resettlement are identified, a resettlement action plan (RAP) will have to be prepared in line with ESS2 on Involuntary Resettlement and disclosed before any civil works start. The RAP would have to give particular consideration to ensuring that women are fully involved in the planning process and directly receive any compensation due to them.

### **Site Specific environmental and social assessments and preparation of site specific environmental and social management plans (SSE & SMP)**

7. During the scoping exercise, it was revealed that the environmental, social, and health & safety conditions are more site specific which should be addressed specific to site conditions. Therefore, the ESMF recommended site specific environmental and social assessments followed by Site **Specific Environmental and Social Management Plan (SSE&SMP)** for each site. The SSE & SMP gives planning, design, construction and operation phase environmental, social, health and safety management measures to be considered in the project implementation. The document will address an in-depth insight into site specific environmental and social issues associated with the proposed project and the mitigation measures. The SSE & SMP will propose monitoring plans specific to the sites.

The SSE&SMP will be published in NBRO website and in AIIB websites can be viewed by wide range of interested parties (public, stakeholder organizations).

**Ref.**[http://www.nbro.gov.lk/index.php?option=com\\_content&view=article&id=179&Itemid=438&lang=en](http://www.nbro.gov.lk/index.php?option=com_content&view=article&id=179&Itemid=438&lang=en)

## **2. Public and Stakeholder consultation**

8. The PMU should engage in comprehensive public and stakeholder consultation throughout the project cycle. This way the project can ensure that project is implemented respecting national environmental regulations and social concerns are made inclusive. During the preparation of SSE & SMP the communities residing in the risk areas and people affected directly by the project will be consulted. The proposed project should be disclosed to them. The funding mechanism, early warning alerts will be made aware the people and get their consent on the project. The relevant stakeholders should be made adequately aware regarding the nature and scale of the project, the deliverables and long-term project benefits. Also, adequate information disclosure should be made on the project actions, use of resources including lands, environmental and social impacts and resettlements if any.

The stakeholders important for the project are,

- i. State agencies who will be a part of the project approving
- ii. State/ private/public sector to whom the land belongs where the mitigation works are expected to be carried out; whose consent will be required to implement the project action in the lands
- iii. State agencies whose authorization or approval is required with respect to environmental and social aspects of the project
- iv. Other state sector agencies required for mobilization of environmental and social safeguards of host country and AIIB
- v. People living in and in the immediate vicinity of the sites to be remediated and the landowners (e.g. estates, absentee landlords)

### **3. Approvals/ consents /clearances and agreements**

The project requires obtaining several approvals, consents and clearances during the process of project implementation. The PMU is the responsible agency in obtaining all approvals, consents and clearances required for the project implementation.

#### **Approvals for Project implementation**

##### **i. Approval from the Divisional Secretary**

9. The Divisional Secretaries will be notified about the sites due for remediation and approval will be obtained for the project and each subproject.

##### **ii. Approval from the District Secretary**

10. The approvals will be obtained from the District Secretary for the implementation of project. The proposals will be presented to the District Coordinating Committee, to which chief minister and stakeholder agencies in the district will also participate. The Officer of PMU should present the project, disclose the project details and various concerns including environmental and social issues will be discussed. The relevant decisions, recommendations and concerns should be included in the project implementation plan as well as the environmental and social management concerns.

##### **iii. Approval from the planning committee**

11. The project should obtain the approval from the planning committee from the relevant local authority, municipal council, or urban council.

#### **Approval to implement the project in the specified site**

##### **i. Consent to implement the project in state lands**

12. Consent will be obtained from the relevant agencies to whom the project land belongs to implement the project actions. The project actions should be implemented subjected to the terms and conditions of the relevant agencies. Necessary agreements should be made between NBRO and the Agencies to access the land, carry out construction work, remove materials (trees, soils, rocks and boulders), erect structures, and continue operation and maintenance works. The relevant agencies are;

- Road Development Authority (RDA)
- Land Reforms Commission Sri Lanka, (LRC)
- Divisional Secretary for crown lands
- Department of Forest
- Department of Wild Life Conservation (DWC)
- Department of Railway

- Department of Education
- Religious place etc.

(Refer *Annexure I: Sample Agreement*).

**ii. Consent/ no objection/ legally bound agreement from the private land ownerships**

13. A formal agreement will be made between the private land ownership and the project implementing authority to provide no-objection to remove the structures, access the land, implement construction works, and engage in long-term maintenance works.

**14. Clearance from Central Environmental Authority**

- As many project sites are located in environmentally sensitive areas approval/ consent from the district Central Environmental Authority is required.
- Also, the project actions may involve removal of protected species, approvals from the Department of Forest through divisional secretary should be obtained for the removal of protected trees.

**15. Other approvals**

- i. Approval from regional Geological Surveys and Mines Bureau should be required for transportation and disposal of earth, rocks and mineral debris.
- ii. Approval for extraction of materials - Approval from Geological & Mines Bureau (GSMB) is needed (if necessary, only).
- iii. Approvals from local authority should be obtained for the disposal of waste and plant litter.
- iv. Approval through the Divisional secretary from the district office of Ministry of Defense should be obtained if rock blasting is required.
- v. Approvals from regional office of Ceylon Electricity Board should be required for power supply for site operation
- vi. Approval from Additional Director National Plant Quarantine Service Katunayake for Director General of Agriculture under the Plant Protect Act No. 35 of 1999 should be required if plant or seed for bio Project Managed slope mitigation is imported into Sri Lanka under the authority and in accordance with the conditions, of a plant importation permit

**4. Implementation of Environmental, Social Management Plans during construction**

16. In order to implement the environmental and social management concerns, an Environmental, Social and Health and Safety (ESH&S) plan will be included in the bidding documents. The Bidding documents of each package contains an environmental, social, health and safety requirements. The bidder should submit the Environmental and Social Management Action Plan (C-ESMAP) outlining the plan for implementation and monitoring of environment, measures required to ensure that potential adverse environmental impacts from the project activities are eliminated, offset, or reduced to an acceptable level. Also in the bidding documents, the contractor should express satisfactory competency on implementation of ESH&S management process. The selected contractors should submit the site specific “Environment and Social Management Action Plan (C-ESMAP)” specific to each site prepared according to ESMP in the tender document.

## **5. Staff arrangement for the implementation of environmental and social mandates**

### **Staff arrangement**

17. The PMU is responsible for supervision and monitoring of the environmental, social, health and safety aspects of the project. In accordance with the recommendations set out in the Social Management and Resettlement Planning Framework (SMRPF) and the Environmental and Social Management Framework (ESMF). An Environment and Social section will be set up in the PMU.

The project should recruit the necessary staff to implement the environmental and social management plans as indicated in the Fig. 1.

### **Supervision consultant**

18. The project will employ a supervision consultant who will monitor the environmental, social and health and safety (E, S & HS) performance of the project during the construction phase. He is expected to monitor the contractor's E, S & HS performance and report to the PMU to ensure that all possible negative impacts on environment and public are minimized while ensuring required safety protocols covering both site staff and the public.

Duties and the responsibilities of the staff of PMU and supervision consultants are given in *annexure II*.

## **19. Responsibility of the PMU**

- i. Preparation of documents. if there are any changes in scope or alignment during implementation that warrant more studies
- ii. Obtaining the environmental clearances and approvals required from various agencies
- iii. Liaise with CEA, FD, DWC for adequate communications/consultation of ES matters, obtaining approvals and implementing their recommendations, disclose reports and information to maintain transparency
- iv. PMU is also responsible in maintaining a close link with Divisional and District Secretariats for obtaining approvals and informing the secretariats during the implementation of relevant mitigation packages.
- v. Obtaining the environmental clearances and approvals required from various agencies
- vi. Liaise with CEA, FD, DWC for adequate communications/consultation of ES matters, obtaining approvals and implementing their recommendations, disclose reports and information to maintain transparency
- vii. PMU is also responsible in maintaining a close link with Divisional and District Secretariats for obtaining approvals and informing the secretariats during the implementation of relevant mitigation packages.
- viii. Conduct awareness programs and engage in adequate consultation with stakeholder agencies
- ix. Conducting due diligence and preparing reports
- x. Monitoring safeguard compliance
- xi. Perform grievance redress and execute the grievance redress committee as need arises.
- xii. Formulate and conduct awareness training modules on environment /social safeguards. Such activities could be outsourced; but the responsibility of implementation lies with PMU

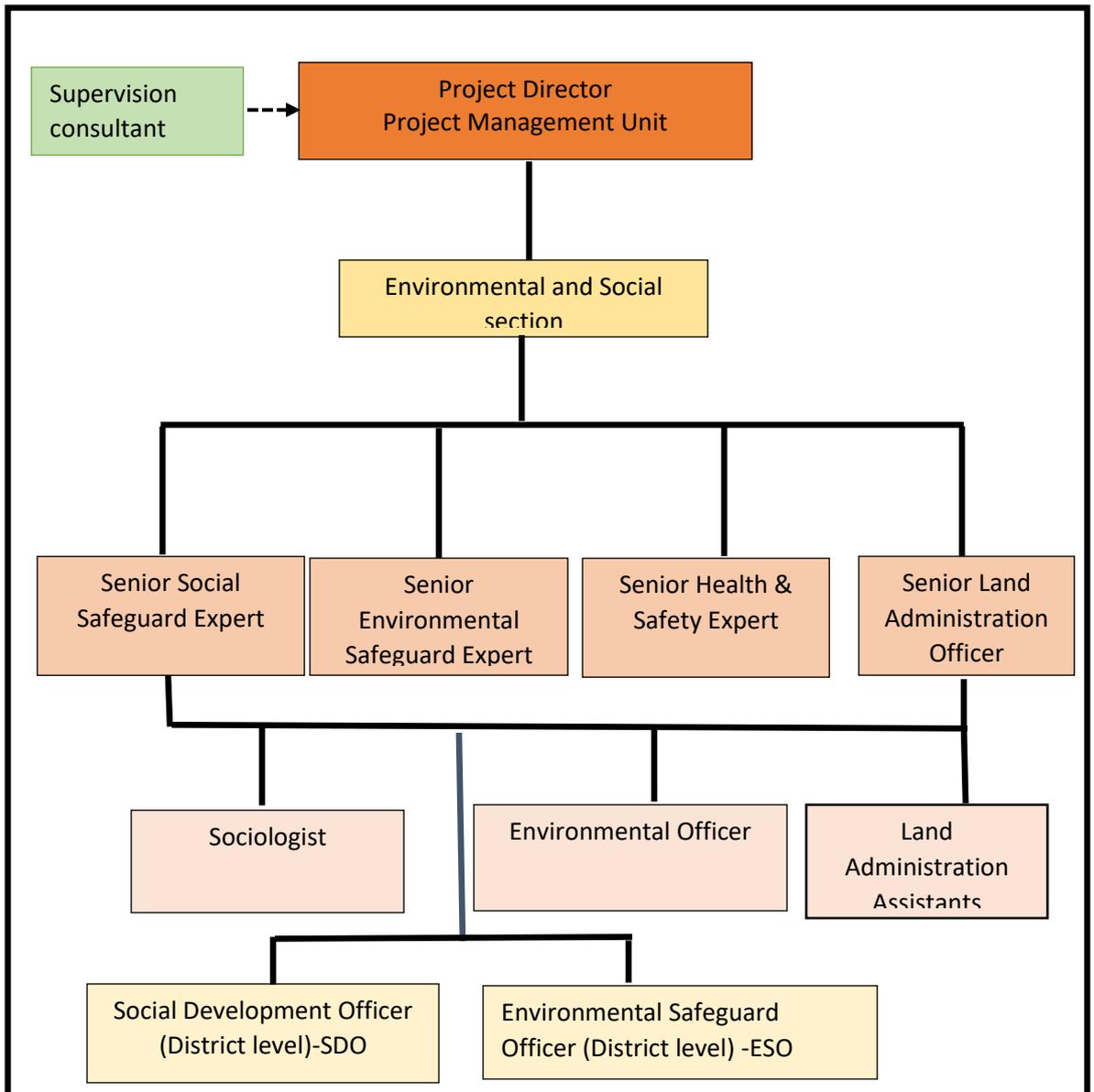


Fig. 1 Staff arrangement of implementation of Environmental, Social and Health management

## 6. Environmental, Social, Health and Safety monitoring and reporting

### Monitoring Occupational Health & Safety

20. The monitoring of occupational health and safety is in principle covered in ESHS requirements. The PMU will carry out regular H&S inspections. The responsibility is on the Senior H&S Expert in the PMU. The SDOs, ESOs and other NBRO officers working at district level should immediately report any concerns about occupational H&S or community H&S to the Senior H&S Expert.

### Compliance monitoring

21. The contractor is expected to conduct baseline environmental quality monitoring for ecology, air quality, water quality, background noise pollution and ground vibration levels as appropriate if relevant sensitive elements are present. When houses and building (especially old cultural and temple buildings, schools) are located near the sites pre-crack surveys are required.

During, construction phase periodic monitoring of water, air quality, noise and vibration need to be carried out by the contractor to ensure that project emissions are within the emission standards prescribed by the Central Environmental Authority. Some parameters, such as vibration, may be measured where relevant, e.g. during heavy vibration operations.

22. The contractor is expected to submit the measurement reports to the Project Director who will review the reports and update the level of compliance. The contractor is expected to conduct measurements by engaging competent monitoring authorities approved by the Central Environmental Authority.

**23. Reporting the performance of environmental, social, health and safety**

The contractor should maintain appropriate procedures to monitor progress in the implementation of the environmental and social measures as follows.

Document	Frequency of monitoring	Specimen format
Site Inspection checklist	Daily	<i>Ref. Annexure III</i>
Log Book	Daily	
Monthly reports	Monthly	
Grievances/ complains	As appropriate	
Environmental compliance reports	As appropriate	
Claims for implementation of ESMP	All claims pertinent to ESMP implementation should be submitted as per the attached format	

**24. Relevant environmental and social safeguard documents**

The table below lists the important documents (policies, laws, plans, agreements, approvals and reports) for the implementation of AIIB and National Governments’ environmental and social safeguard standards with responsible agency.

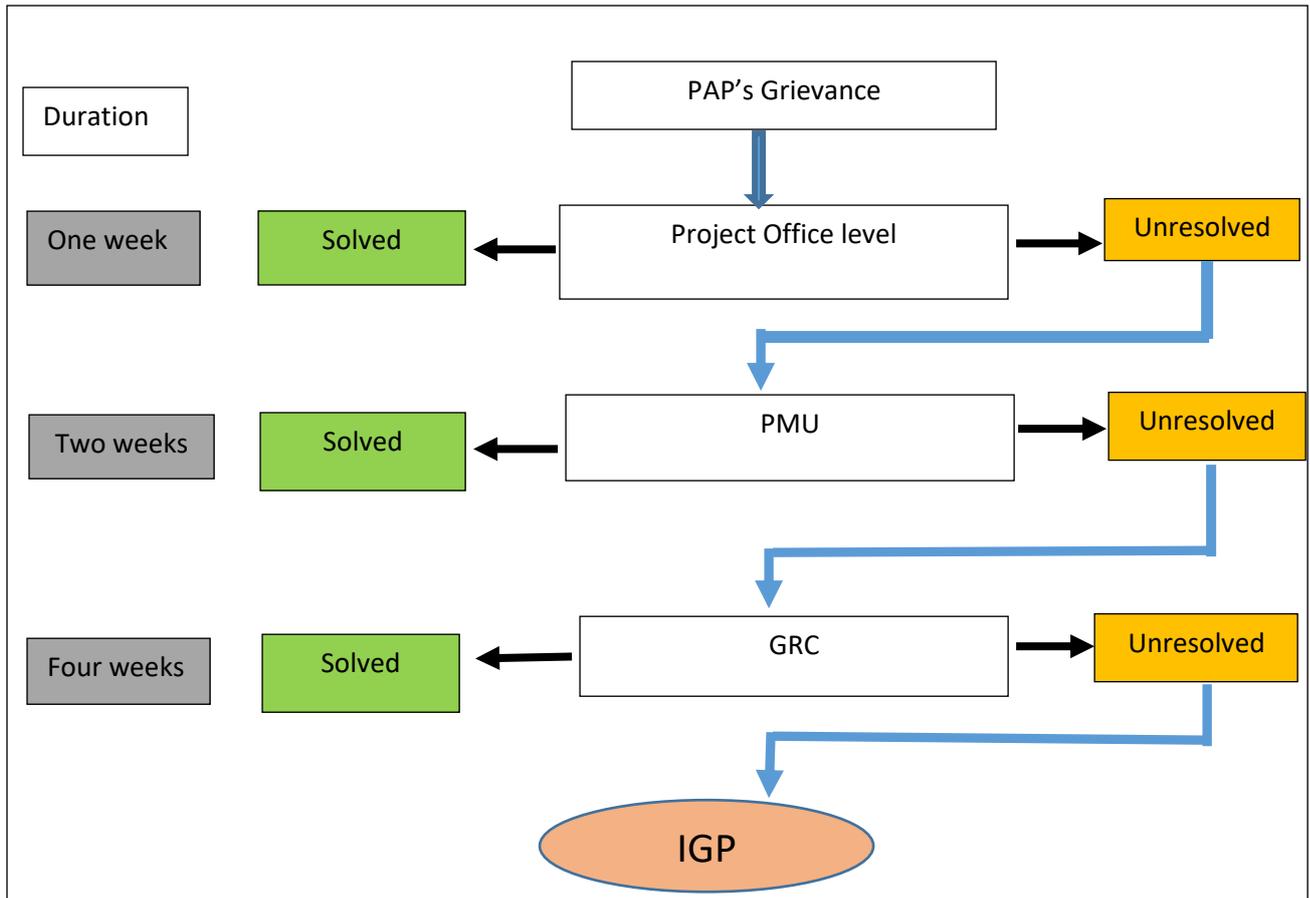
Relevant environmental and social safeguard documents

Document	Authority/responsible implementing agency
i. AIIB Environmental and Social Safeguard Policy	PMU/NBRO
ii. National Environmental Act/ related national acts	PMU/NBRO
iii. Environmental and Social Management Framework	Environmental and Social unit of the PMU
iv. Resettlement Planning Framework	Environmental and Social unit of the PMU
v. Construction contractors’ requirement to comply with environmental and social management plan during the construction phase	Construction Contractor
vi. Construction Contractors bid response (relevant sections on proposed environmental management planning and implementation)	Construction Contractor
vii. Construction Contractors Site-specific Environmental and Social Management Action Plan	Construction Contractor
viii. Environmental and social safeguard performance progress monitoring reports	Environmental and Social unit of the PMU

ix. Baseline environmental quality /construction phase Environmental quality compliance monitoring reports	Construction Contractor PMU will review the reports
x. Agreements with the relevant state agencies and private land owners for access to the site and clearance of the lands	PMU
xi. Approvals/clearances for project implementation <ul style="list-style-type: none"> <li>• Divisional secretary/ District secretary (project)</li> <li>• Planning committee approval (project)</li> <li>• District Central Environmental Authority (environmental)</li> <li>• Department of Forest (felling of trees and as applicable)</li> <li>• Department of wildlife (wildlife sensitive areas as applicable)</li> <li>• Road Development Authority (RDA)/ Provincial Road Development Authority (PRDA)</li> <li>• Geological Surveys and Mines bureau (transport of earth and rocks)</li> <li>• Ceylon Electricity Board for (power supply)</li> <li>• Approval from local authority for disposal of waste</li> <li>• Approval from ministry of defense (for rock blasting)</li> <li>• Other as applicable</li> </ul>	PMU

**7. Grievance Redress Mechanism (GRM)**

25. The PMU will establish a GRM for each project package and will establish a grievance redress committee (GRC). The responsibility of GRCs is to receive and facilitate the resolution of the Project Affected Parties (PAPs’) grievances due to the project activities that will have environmental and social impacts. In addition to this all district offices will receive any complaints from the PAP and will direct to PMU. The process of GRM is shown in Fig.2 For more details ref. *Ref. Annexure IV.*



**Fig. 2- Grievance Redress Process**

**8. Contractors’ code of conduct**

26. The Contractor will submit the Code of Conduct that will apply to contractor workforce. A copy of the code shall be displayed in the contractor’s site office. It shall be provided in appropriate languages and explained to the work force during an induction course to be held before the start of work and reinforced during regular ESH&S briefings. The code of conduct should cover risk associated with labour influx, spread of communicable diseases, sexual harassment, gender based violence, sexual exploitation and abuse, illicit behavior and crime, maintaining a safe environment for labourers and the local community, Avoidance of conflicts of interest

More details of the aspects to be addressed in the code of conduct; *Ref. ESMF*

**9. Information Disclosure**

27. The ESMF, SMRMF have been published on the NBRO website in English and in national languages (Sinhala and Tamil). These were also disclosed in Banks’ website. The SSE & SMP have been published on the NBRO website in English and in national languages (Sinhala and Tamil). In terms of site-specific ESMFs, a link will be provided on the AIIB website. The documents can be viewed by wide range of interested parties (public, stakeholder organizations).

**10. Education and awareness for project staff**

28. The Environmental and Social section of PMU will organize awareness programs and training sessions for project implementation staff at the project level on environmental and social safeguard requirements and safeguard compliance. Safeguard training materials and pamphlets will be prepared for the benefit of project personnel, safeguard monitors, the PAPs and project contractors. The environmental unit will establish direct links with all projects and develop and maintain an environmental safeguard database.

This should be shared with project personnel, monitors and project stakeholders. The environmental unit may contract specialized services, if required, for Environmental Assessments, safeguard awareness programs, and training sessions.

# Annexure I

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## Sample Agreement

### **Sri Lanka Landslide mitigation Project (Asia Infrastructure Investment Bank) AIIB**

#### **No object/Consent to use the Land for Landslide Disaster Mitigation Works**

##### **Agreement**

Herewith the First Party being the (name of the agency), established under Act (details of the act) of Sri Lanka Government with Office at “(official address of the agency), and (name of the titleholder, of reference to the title, address) will be the Second Party. Following are included in the agreement signed by both parties.

The First Party (or the party engaged by the project) needs to enter into the land to carry out the remediation activities as detailed in the following annexes; to implement the counter measures intended to protect the land from landslide disaster, slope failure and/or rock falls. Herewith the two parties agree to implement the rehabilitation activities on the land at which details are attached to in the following annexes are adhered to under agreed terms and conditions.

#### **The Following are the agreed terms and conditions as stipulated in the annexes**

1. Considering the social and economic benefits from the implementation of counter-measures to prevent landslide disaster at the particular land detailed in the annexes which belong to second party should be temporarily entrusted to the first party to implement and maintain the counter-measures for preventing the landslide disaster of the particular land.
2. The second party is fully aware of the land instability risk of current location, and understand clearly need to implement mitigation structures on the current location to reduce potential risks and agree to release the land to install mitigation structures in the land
3. The first party will carry out the mitigation measures in the most appropriate location of the land in a minimum area of land of the second party. The second party allow the first party (or the party engaged by the project) to use the land for installation of mitigation measures to reduce the landslide risk in his land and surrounding lands
4. The first party agrees that external party (contractors) who will be carrying out mitigation will execute work without causing any harm to the second party or his property.
5. The first party will agree to attend to any grievances of second party in case of disputes, nuisance or other form of difficult situations that would rise during project implementation
6. In the event there are persons, and/or non-movable assets found within this particular project site, needs to be removed before construction of the mitigation measures will start; the First Party will pay the cost for removal or compensation for losses and other benefits to the Second Party

7. The Second Party will allow the First Party to install an information display board at the site providing details on the countermeasures implemented, for all people to see.
8. After completion of rehabilitation activities by the First Party on the land whose details are found in the annexes, the land will be handed back to the Second Party including the “As-built” drawings.
9. The Second Party should give access to the First Party to inspect/monitor, maintain or improve the counter measures and to implement preventive actions on land slide disaster/slope failure/rock falls at the particular land from time to time.
10. The Second Party or his/ her representative will agree not to disturb the First Party or its representative, when the First Party conducts its annual inspection, maintenance, improvement of counter measures, and implementing relevant slope failure protection actions at the particular land.
11. Two parties agree that this land is used for above purpose by us/ institute, and has entered to this agreement with our own free will.
12. The Second Party agree not to willfully damage, remove or replace in part or as a whole, the land slide disaster counter measures, or not to willfully disturb maintenance activities conducted for these measures after handing over the land where the land slide/slope failure/rock fall counter measures have been installed by the First Party, and if the Second Party or his representative willfully damage these counter measures, the Second Party agree to repair those constructed counter measures under the supervision of the First Party. However, if such damage is caused by a Third Party, unknown to the Second Party, the liability would not fall with the Second Party. The Second Party shall promptly inform the First Party of the damage, and allow the First Party maintenance team to carryout appropriate repair work on the damaged counter measure.
13. If the Second Party willfully and continuously violates provisions of this agreement despite notices issued by the First Party to comply with the agreement, the First Party can exercise its prerogative to permanently acquire the land on which the mitigation measure is installed following existing laws of the country.
14. This agreement takes effect upon signing by both Parties and witnesses. This agreement will remain enforced until the end of Project life or upon termination of the First Party, whichever comes first.

In addition, herewith two parties promise to fulfill the above agreements correctly for themselves and on behalf of their subordinates.

#### Annexes

1. Location map, Google view and Site photo of landslide -
2. Survey Plan

3. Details of the land which will be temporarily released to the Project for the implementation of the counter measures (Tenement List)

Lot No.	Extent (Ha)	Details of Boundaries			
		North	East	South	West
1					
3					

4. Designed plan prepared for Site.

5. Guidelines for landslide.

For witness of this, both parties have signed herewith and have agreed upon for First Party to get this land/land section mentioned in the annexes and Second Party to temporarily donate the land /land section mentioned in the annexes on this. .... Day of ..... Month of Year 2016.

.....  
First party

.....  
Second party

First Party:

Second Party:

Witness:

.....  
Project Director  
Landslide Disaster Mitigation Project

.....

.....  
Divisional Secretary  
(name of the DS)

.....  
Grama Niladhari  
(name of the GN)

## Annexure II

### Duties and responsibilities of staff of Environmental and Social section

### Duties and responsibilities of staff of Environmental and Social section

#### Senior Environmental Safeguard Expert

1. Liaise with PMU and the stakeholder agencies to facilitate the environmental approvals required for project implementation
2. Prepare necessary environmental reports required for obtaining project approval
3. Provide required technical inputs for preparation of Environmental components contractors bidding documents
4. Provide necessary technical inputs for design team on design stage environmental and social considerations by reviewing and considering the ESHS risks and impacts of any design proposals and advice if there are implications for compliance with Environmental Management Plan (EMP, Environmental & Social Management framework)
5. Support the Technical Evaluation committee on evaluation of environmental and social component on contractors bid documents
6. Review and approve the Contractor's Environmental and Social Management Action Plan (C-ESMAP), including all updates and revisions (not less than once every 6 months); which includes
  - Review and approve ESHS provisions of method statements, implementation plans, GBV/SEA prevention and response action plan, drawings, proposals, schedules and all relevant Contractor's documents;
  - Consent/permits and other relevant project requirements;
7. Undertake audits, supervisions and/or inspections of any sites where the Contractor is undertaking activities related to the Works, to verify the Contractor's compliance with ESHS requirements including its GBV/SEA obligations, with and without contractor and/or client relevant representatives, as necessary, but not less than once per month
8. Undertake audits and inspections of Contractor's accident logs, community liaison records, monitoring findings and other ESHS related documentation, as necessary, to confirm the Contractor's compliance with ESHS requirements;
9. Agree remedial action/s and their timeframe for implementation in the event of a noncompliance with the Contractor's ESHS obligations;
10. Ensure appropriate representation at relevant meetings including site meetings, and progress meetings to discuss and agree appropriate actions to ensure compliance with ESHS obligations;
11. Check that the Contractor's actual reporting (content and timeliness) is in accordance with the Contractor's contractual obligations;

12. Provide necessary technical inputs for design by reviewing and considering the ESHS risks and impacts of any changes in designs and implementation and advice if there are implications for compliance with Environmental Management Plan (EMP) Environmental & Social Management framework
15. Ensure that contractor implements the agreed monitoring plan during the construction phase
16. Review and critique, in a timely manner, the Contractor's ESHS documentation (including regular reports and incident reports) regarding the accuracy and efficacy of the documentation;
17. Undertake liaison, from time to time and as necessary, with project stakeholders to identify and discuss any actual or potential ESHS issues;
18. Establish and maintain a grievance redress mechanism including types of grievances to be recorded and how to protect confidentiality e.g. of those reporting allegations of GBV/SEA.
19. Ensure any GBV/SEA instances and complaints that come to the attention of the consultant are registered in the grievance redress mechanism;
20. Mitigate or prevent adverse impacts of the project on communities and produces appropriate corrective or preventive actions.
21. Ensure that contractor carries out site closure without leaving any environmental or social liabilities or risks at the project completion.

#### **Senior Social Safeguard Expert**

- 1) Execute the sociological tasks under ESS 1, all tasks in ESS 2 and ESS 3 as relevant.
- 2) Carryout on site surveys, collect data (primary and secondary) and prepare report as per TOR given in ESS 1, ESS 2, ESS 3 of ESMF as relevant.
- 3) Participate in Bank review missions and provide necessary inputs and feedback.
- 4) Assist in organizing stakeholder meetings, consultation meetings including sensitive communities and their representatives and collect information using accepted methods.
- 5) Consult community and local stakeholders for their observations and feedback and address social grievance as needed.
- 6) Consult with stake holders, policymakers, or other groups on their findings and sociological issues and giving recommendations for solving social issues.
- 7) Review labor issues, human resource / labor management.
- 8) Perform any other relevant duties as assigned by the Project Director- LMP during construction and maintenance period of project.

#### **Senior Health & Safety Expert**

- 1) Execute the Health & Safety Plans as relevant.
- 2) Carry out regular site visits and surveys, collect data (primary and secondary) and prepare reports
- 3) Liaise with the contractors' H&S specialists and review procedures and practices on site.
- 4) Participate in Bank review missions and provide necessary inputs and feedback.
- 5) Review labor issues and human resource / labor management.
- 6) Perform any other relevant duties as assigned by the Project Director- LMP during construction and maintenance period of project

<b>Environmental Safeguard Officer –District level</b>	
1.	Execute the Environmental tasks under Environmental & Social Standards-1 (ESS-1) of ESMF of the project.
2.	Carryout on site visits and surveys, collect data (primary and secondary) and prepare report as per TOR given in ESS 1 of the ESMF under relevant sections pertinent to environmental aspects.
3.	Participate in Bank review missions and provide necessary inputs and feedback.
4.	Assist in organizing stakeholder meetings, consultation meeting, including sensitive communities and their representatives and collect information through an accepted method.
5.	Supervise and monitor compliance with the Specification in the approved ESMPs.
6.	Recommend of measurement of Health, Safety & Environmental aspects for contractor's payment certificates.
7.	Address environmental grievances.
8.	Perform any other relevant duties as assigned by the Project Director- LMP during construction and maintenance period of project.
<b>Social Development Officer –District level</b>	
1.	Execute the Sociological tasks under Social Standards-1 (ESS-2) of SMRPF of the project.
2.	Carryout on site surveys, collect data (primary and secondary) and prepare report as per TOR given in ESS 2 of the ESMF under relevant sections pertinent to environmental aspects.
3.	Participate in Bank review missions and provide necessary inputs and feedback.
4.	Assist in organizing stakeholder meeting, consultation meeting, including sensitive communities and their representatives and collect information through an accepted method.
5.	Supervise and monitor compliance with the Specification in the approved ESMP.
6.	Recommend of measurement of Health, Safety & Environmental aspects for contractor's payment certificates.
7.	Address social and environmental grievances.
8.	Perform any other relevant duties as assigned by the Project Director- LMP during construction and maintenance period of project.

### **Duties and responsibilities of Environmental consultants**

#### **Environmental consultants**

The Consultant shall monitor the environmental impact of the works and issue the necessary instructions to the Contractor whenever avoidable damage to the environment occurs or is likely to occur. In particular, the Consultant shall monitor the full respect of the following recommendations for environmental protection during implementation of the project:

- Advise on proper location of Contractor's camp sites to an area so as to minimize disruption to local population, fauna and flora and watercourses; check the provisions of adequate drainage facilities and treatment of sewage and waste disposals and ensure that camp areas are dismantled and rehabilitated once construction is completed.
- Minimize water and soil pollution as a result of the works.
- Minimize noise and dust levels.
- Shape and landscape all borrow pit and quarry sites.

- Minimize the risk of soil erosion, stabilize bridge sites and the inlets and outlets of culverts on erosive soils with gabions or stone pitching.

1. HIV/AIDS awareness campaigns

In this respect, the Consultant shall request the local District Secretariat/District Medical Officer through Engineer to carry out structured and regular HIV/AIDS awareness campaigns to target the workers, staff, any subcontractors and their workers on the project.

2. Environmental, Social and Health and Safety considerations

- Review and approve the Contractor's Environment and Social Management Action Plan (C-ESMAP), including all updates and revisions (not less than once every 6 months);
- Review and approve ESHS (Environmental, Social, Health and Safety) provisions of method statements, implementation plans, Code of Conduct, GBV (Gender Based Violence)/ SEA (Sexual Exploitation and Abuse) prevention and response action plan, drawings, proposals, schedules and all relevant Contractor's documents;
- Review and consider the ESHS risks and impacts of any design change proposals and advise if there are implications for compliance with Environmental Assessment (EA), Environmental Management Action Plan (EMAP), Social Assessment Plan (SA), Resettlement Policy Framework (RPF) consent/permits and other relevant project requirements;
- Undertake audits, supervisions and/or inspections of any sites where the Contractor is undertaking activities related to the Works, to verify the Contractor's compliance with ESHS requirements including its GBV/SEA obligations, with and without contractor and/or Employer relevant representatives, as necessary, but not less than once per month;
- Undertake audits and inspections of Contractor's accident logs, community liaison records, monitoring findings and other ESHS related documentation, as necessary, to confirm the Contractor's compliance with ESHS requirements;
- Agree remedial action/s and their timeframe for implementation in the event of a noncompliance with the Contractor's ESHS obligations;
- Ensure appropriate representation at relevant meetings including site meetings, and progress meetings to discuss and agree appropriate actions to ensure compliance with ESHS obligations;
- Check that the Contractor's actual reporting (content and timeliness) is in accordance with the Contractor's contractual obligations;
- Review and critique, in a timely manner, the Contractor's ESHS documentation (including regular reports and incident reports) regarding the accuracy and efficacy of the documentation;

- Undertake liaison, from time to time and as necessary, with project stakeholders to identify and discuss any actual or potential ESHS issues;
- Establish and maintain a grievance redress mechanism including types of grievances to be recorded and how to protect confidentiality e.g. of those reporting allegations of employment of child labor or GBV/SEA;
- Ensure any GBV/SEA instances and complaints that come to the attention of the consultant are registered in the grievance redress mechanism;
- Mitigate or prevent adverse impacts of the project on communities and produces appropriate corrective or preventive actions.

3. Coordination with third parties

The Consultant shall ensure that all parties involved in the works will be informed about the developments on site relevant to their respective competences. Representative of public utility firms, traffic police, county government and water management bodies shall be invited from time to time to site whenever necessary to hold special coordination meetings.

4. Analysis of Contractor's claims

Any claims submitted by the Contractor during the course of the works will be analyzed by the Consultant in the time period specified in the Consultant's contract and appropriate advice will be given to the Engineer on their validity. These services are deemed to be integral part of the responsibilities of the Consultant under this assignment and do not entitle him to any additional fees.

## **Annexure III**

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### **Site Inspection Checklist**

Site Inspection Checklist-Implementation of Environmental & Social Management Plan (ESMP)																																Reduction of Landslide Vulnerability by Mitigation Measures Project (RLVMMP)																															
Package	Site No.																															Phase 1 = Site clearing Phase 2 = Fitting scaffoldings Phase 3 = Drilling Phase 4 = Nailing Phase 5 = Grouting Phase 6 = Shot creating Phase 7 = Drain construction Phase 8 = Site clearance																															
Location No-																																NC=Non Compliance C=Compliance NA= Not applicable for this monitoring pahse																															
Month & Year-																																																															
Inspected by :																																																															
Executed project actions during the period																																																															
Indicator	Phase																															No of NCs	No of Cs	No of NAs																													
Number of days Inspected																																0																															
Maximum No. of elements to be monitored for this monitoring phase																																40																															
Total No. of elements covered by the checklist																																0																															
No of inspected elements for the period																																0																															
No. of elements not inspected or not relevant for this monitoring phase																																0																															
<b>1 Impact on Flora, Fauna, Vegetation and Historical places</b>	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	0	0	0																													
1.1 Prevention of damage trees during material transportation/storage debris/ excavated earth removal as far as possible.																																		0	0	0																											
1.2 Measures taken to prevent damage to historical, heritage sites																																		0	0	0																											
Sub total																																0	0	0																													
<b>2 Air Pollution Control</b>	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	0	0	0																													
2.1 Water spraying at regular intervals																																		0	0	0																											
2.2 Stockpiles of dusty materials covered/watered																																		0	0	0																											
2.3 Dispose materials watered/cover during transportation																																		0	0	0																											
2.4 Well maintained equipment																																		0	0	0																											
2.5 Controlled dust during drilling/grouting																																		0	0	0																											
2.6 Site is closed with dust barriers																																		0	0	0																											
2.7 Project is not operated during high wind periods																																		0	0	0																											
Sub total																																0	0	0																													
<b>3 Noise Pollution and Vibration Control</b>	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	0	0	0																													
3.1 No construction in sensitive hours																																		0	0	0																											
3.2 Air compression generation with door closed																																		0	0	0																											
3.3 Vehicles and equipment fitted with exhaust silence																																		0	0	0																											
3.4 Labours are generating noise																																		0	0	0																											
3.5 Actions not generating vibration																																		0	0	0																											
Sub total																																0	0	0																													
<b>4 Water Sources and Quality</b>	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	0	0	0																													
4.1 Construction waste water not discharged to storm drains																																		0	0	0																											
4.2 Construction waste water not discharged to waterways/streams																																		0	0	0																											
4.3 Measures to prevent siltation of water bodies																																		0	0	0																											
4.4 Wheel washing with prevention of overflow, fluid sedimentations of waterways																																		0	0	0																											
4.5 No domestic waste water discharged to storm/stormwater drains																																		0	0	0																											
4.6 Temporary stockpiles located away 200m from water bodies																																		0	0	0																											
4.7 Not altering drainage paths and preventing flooding conditions																																		0	0	0																											
Sub total																																0	0	0																													
<b>5 Health and Safety</b>	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	0	0	0																													
5.1 Person protected with safety, wearing PPE																																		0	0	0																											
5.2 Quality and strength of cables (crain cables/bucket cables)																																		0	0	0																											
5.3 Site provided with first aid box																																		0	0	0																											
5.4 Site provided with safety precautions to avoid damage on public properties																																		0	0	0																											
5.5 Accidents and incidents reported and reviewed, and corrective & preventive actions identified and recorded																																		0	0	0																											
5.6 Personnel health of the site and labor camps are good																																		0	0	0																											
Sub total																																0	0	0																													
<b>6 Traffic Management</b>	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	0	0	0																													
6.1 Site is provided with adequate sign boards																																		0	0	0																											
6.2 Site is adequately illuminated if the work carried out at night or crossing road(using blinking light)																																		0	0	0																											
6.3 Site having traffic management plan																																		0	0	0																											
6.4 Site is provided with traffic management personnel																																		0	0	0																											
Sub total																																0	0	0																													
<b>7 Distruption to Public</b>	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	0	0	0																													
7.1 Providing safe and convenient passage for vehicles and pedestrian																																		0	0	0																											
7.2 Removal of rubbish piles of debris not obstructing access																																		0	0	0																											
7.3 Providing advance information to the public about planned construction activities																																		0	0	0																											
7.4 Not to damage or affect public utilities, water, electricity, roads.																																		0	0	0																											
Sub total																																0	0	0																													
<b>8 Waste Management</b>	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	0	0	0																													
8.1 Site kept clean and tidy? (e.g. labelled containers allocated for on-site storage of waste, litter free, good housekeeping)																																		0	0	0																											
8.2 Construction wastes / recyclable wastes and general refuse are removed off site regularly																																		0	0	0																											
8.3 Chemical wastes are properly stored and labelled																																		0	0	0																											
8.4 Clean-up the contaminated places immediately if here any oil,hydraulic and fuel spillage																																		0	0	0																											
8.5 Soil/ debris are removed to approved places																																		0	0	0																											
Sub total																																0	0	0																													
<b>Total compliance status</b>																																0	0	0																													
Status as %																																#DIV/0!	#DIV/0!																														
Guiding rule																																																															
NC = Unsatisfactory implementation of ESMP. A Serious non conformance status																																																															
Prepared by :																																																															
Reported by :																																																															
Reviewed by :																																																															
Date :																																																															

## Annexure IV

### Grievance Redress Mechanism

The GRM is a part of projects supported by AIIB. The GRM is a bottom-up multitier Structure. A three tier GR is proposed for this project. All complaints regarding social and environmental issues will be received either orally or in writing by the PMU, Consultant or the Construction Contractor (CC). The project will use existing institutional structure to establish grievance redress process. Which is the NBRO District offices. The district offices are the most familiar place for local stakeholder institutions, the Grama Niladhari, the disaster vulnerable communities and the public in the landslide prone districts. This tier is already activated to capture grievances from the project inception.

Complain boxes will be maintained at each project office. A register will be maintained at the respective project offices to write the complaints. All complainants will be treated respectfully, politely and with sensitivity.

The PMU should establish a GRM for each project package and will establish a grievance redress committee (GRC). The responsibility of GRCs is to receive and facilitate the resolution of the PAPs' grievances due to the project activities that will have environmental and social impacts. In addition to this all district offices will receive any complaints from the PAP and will direct to PMU.

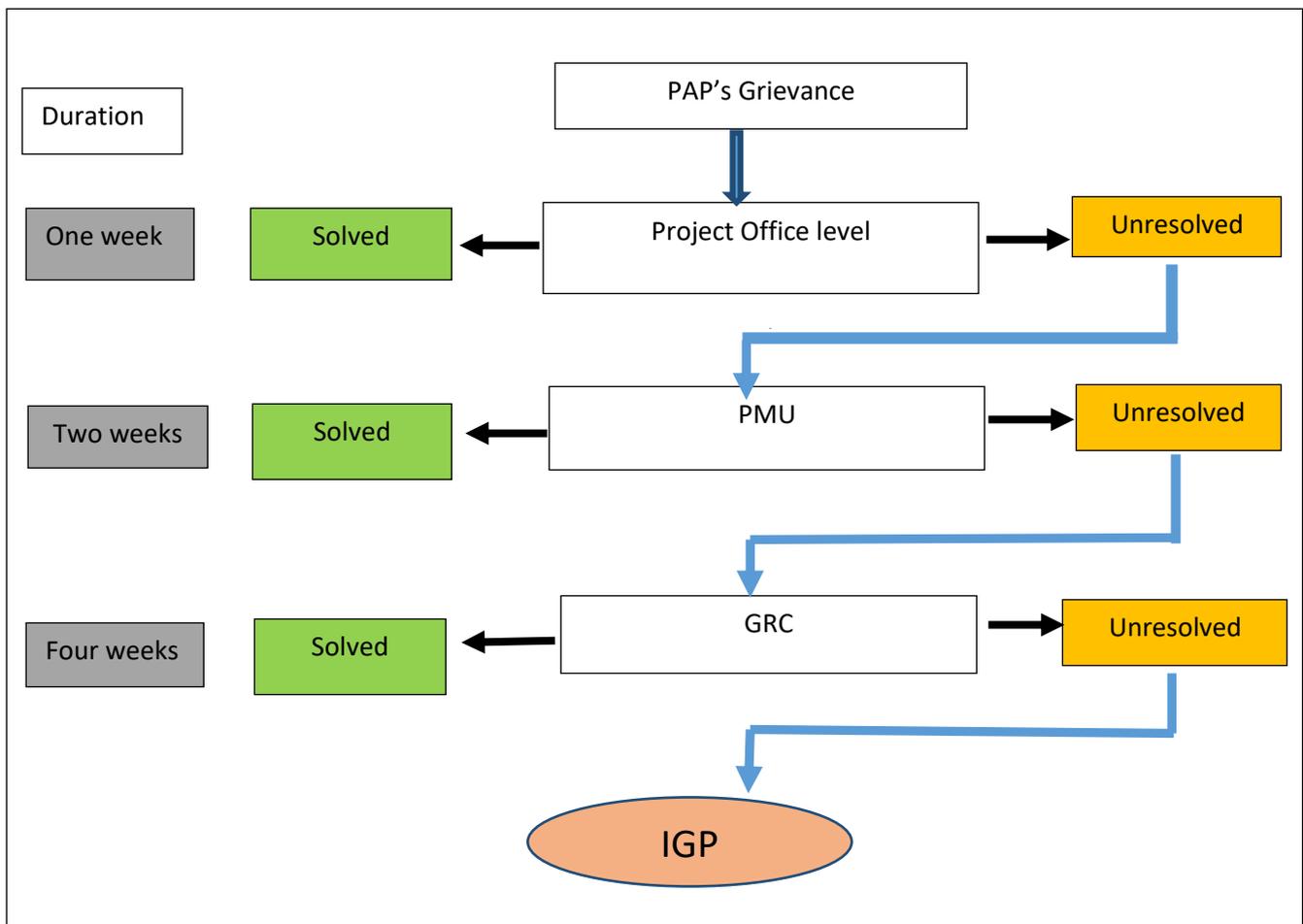


Fig. 1 Grievance Redress Process

- i. **Addressing complaints at the project office level:** Every possible effort will be made by the consultants’ or the contractors’ Environmental social unit to resolve the issues referred in the complaint within their purview.
- ii. **Addressing complaints at PMU level:** The PMU will review regularly the progress of grievance redress process. PMU will accept the complaints that are directed by the Supervision Consultants. At the progress reviewing, complaints that require high level intervention will be taken up by a committee comprising of following core members; the Project Director, senior environmental and social specialists of PMU, Senior Environmental and Social Experts from the Consultant. The complaints received will be reviewed by this committee and actions will be recommended to resolve the grievances at the PMU level.
- iii. **Addressing complaints at GRC:** there may be certain problems that are more complex and cannot be solved through Project-level mechanisms. Such grievances will be referred to GRC. In such circumstances the grievance of the affected party will be heard by a committee with the Grama Niladhari, the Divisional secretary, Local Authority representative, the religious leaders of the affected party and other relevant officers. The proposed most appropriate place for grievance hearing would be the Divisional Secretariat office. However, the place may change appropriately to the convenience of the PAPs. The committee will analyse the grievances and every effort will be taken to however, depending on nature of grievances. The complaint will be resolved at the meeting within four weeks, and the decision of the GR will be conveyed to the Complaint in writing soon after the decision is made.
- iv. **Complaint records and information disclosure:** Each complain will be recorded and acknowledged by the GRC’s Secretary. The PMU will communicate the decisions to PAPs with sufficient justification if the decisions are unfavorable for PAPs. Adequate transparency will be maintained in the process.
- v. **Independent Grievance Panel (IGP):** If DGRC’s decision too is not acceptable to the PAP, he or she can appeal to the IGP. The IGP will comprise Additional Secretary (Development) Ministry of Irrigation Water Resources and Disaster Management, Department of Valuation a lawyer, a retired class – I SLAS officer. Additional Secretary (Development) Ministry of Irrigation Water Resources and Disaster Management will act as chairperson of the panel. IGP will take a decision in consultation within 2 weeks. IGP will inform PD of the decision, who in turn will communicate the decision to the APs in writing. If the decision given by IGP is not acceptable to the AP, the AP can have recourse to courts of law.