

Developing and Monitoring an Environmental and Social Management Plan (ESMP)

1. Components of the ESMP

An Environmental and Social Management Plan (ESMP) documents the project's risk management strategy. It serves as an "Umbrella Document" that integrates the findings of all impact studies carried out during the design phase, the plans and other provisions for complying with the requirements of the Standards that were triggered as well as country- and site-specific information relevant for the project's risk management strategy. The ESMP will become an integral part of the project proposal.

The ESMP has the following content:

- a) Projects description including logframe and project activities, location and geographic extent of the project;
- b) Brief reference to the legal framework in the host country relevant for environmental and social management and how the projects ensures compliance;
- c) Complete list of identified negative effects that specific project activities may cause and their significance;
- d) Planned measures to avoid adverse environmental and/or social impacts, to minimise them to acceptable levels or to compensate for them; including responsibilities (staffing) and schedule for implementing the mitigation measures, their technical feasibility, cultural appropriateness, expected effectiveness in providing mitigation to all affected groups;
- e) Reference to plans required by the Standards (e.g. Indigenous Peoples Plan, Action Plan Access Restrictions etc.) and whether mitigation measures have been included or not in the ESMP;
- f) Cost estimates for the proposed mitigation measures and for ensuring compliance, to be included in the budget of the project proposal;
- g) Description of the executing entities' capacity to implement the ESMP; where needed, provide for capacity building measures (to be included in the ESMP budget).

For each mitigation measure the operational details need to be summarised in form of a table (see Template 1). A good synchronization with the project's overall implementation plan and its monitoring and reporting cycle is critical.

There are instances where a mitigation measure is already conceptualized as an activity in the project's main implementation plan. It is still advisable to also include this activity in the ESMP along with all other mitigation measures in order to provide an overall picture of the project's mitigation strategy and to be able to check the list of mitigation measures against the identified impacts. As such it serves to analyse whether measures are actually sufficient, feasible and sustainable for mitigating the impacts. In order to avoid repetition with the project's result framework and implementation plan, only the codes of the activity should be entered in this case (see footnote in Template 1).

2. ESMP Monitoring and Supervision

The ESMP needs to be monitored to track the progress in implementing the agreed mitigation measures. This should be done annually and based on Template 2 provided in the Annex. The first two columns are copied from the ESMP. For each measure it should be signaled whether implementation is on schedule (or ahead of schedule or completed), slightly delayed or delayed - using the suggested color coding. Where delays are encountered the reasons need to be explained and solutions suggested.

Aside from progress the effectiveness of the mitigation measures will also need to be monitored. Template 2 provides a simple format. Where measures are complex, a monitoring plan should be developed including key indicators, baseline and targets (see template 3). The executing agency should use observations and stakeholder consultations (in particular with affected groups) in order to judge the measures' effectiveness. The agency is also encouraged to seek synergies with the project's monitoring plan which might include indicators that can be used for judging the effectiveness of mitigation measures (e.g., livelihood indicators of affected groups). The findings are entered in the column on the right.

Annual monitoring should also identify any additional environmental or social risks that may have emerged since the project started and establish appropriate mitigation measures for any significant new risk. These additional risks and their mitigating measures should be added to the ESMP (Template 1, Annex) and reported on as part of annual monitoring.

The annual ESMP Progress Monitoring Table is reviewed by the implementing agency (e.g. IUCN) as part of the periodic project supervision missions.

Annex

Template 1: Environmental and Social Management Plan (ESMP)

ESMS Standards	Triggered	Main issues, how they will be addressed and whether a stand-alone plan is required (e.g. Indigenous Peoples Plan, Process Framework etc.)			
Involuntary Resettlement and Access Restrictions	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD				
Indigenous Peoples	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD				
Cultural Heritage	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD				
Biodiversity Conservation and Sustainable Use Natural Resources	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> TBD				
	Activities to comply with ESMS policy and provisions	Costs	Implementation Responsibility	Schedule	
Disclosure Requirements					
Grievance Mechanism					
Gender Mainstreaming					
Stakeholder Engagement					
Key Social and Environmental Impacts and related Mitigation Measures					
Social & Environmental Impacts ⁱ	Mitigation measures ⁱⁱ	Feasibility, effectiveness and sustainability ⁱⁱⁱ	Costs	Implementation Responsibility	Schedule

ⁱ If Standards are triggered and it has been decided that the mitigation measures are not presented in form of a stand-alone plan (e.g. IPP, Process Framework etc.), the measures are described in this table

ⁱⁱ Where mitigation measures have already been conceptualized as project activities, only the codes of the activities need to be entered (e.g. “-> see Activity 1.2.3”); other columns are not applicable to avoid repetition.

ⁱⁱⁱ The ESMP has to confirm that proposed mitigation measures are feasible, that they are effective in providing mitigation for all affected groups and sustainable. In this column either describe how feasibility is confirmed or put v to confirm that feasibility has already been proven elsewhere and indicate where to find evidence.

<i>New ESMS risks that have emerged</i>					

Note: The progress of implementing mitigation measures should be color-coded in column C:
 Green = On Schedule/ Ahead of Schedule/ Completed, Orange = Slightly Delayed, Red = Delayed

ON SCHEDULE / AHEAD OF SCHEDULE/ COMPLETED	SLIGHTLY DELAYED	MAYOR DELAYS/ ISSUES
--	------------------	-------------------------

Disclosure				
Template 2: ESMP Monitoring				
Period covered by the report:				
ESMS Standards	Describe the progress of implementing the required tools (Indigenous Peoples Plan, Process Framework etc.):			
Social & Environmental Impacts^{iv}	Mitigation measures	Color coding	Describe status of completion , suggest solutions where problems are encountered	Early judgement: Does this measure seem effective?
<i>New ESMS risks that have emerged</i>				
<i>Other ESMS provisions</i>	Describe status of completion and evidence			Outstanding action and timing
Disclosure				
Grievance Mechanism				
Gender Mainstreaming				
Stakeholder Engagement				
<i>TO BE COMPLETED BY IMPLEMENTING AGENCY (IUCN)</i>			Date/Name of reviewer:	
ESMP monitoring - main findings:			Status ESMP <input type="checkbox"/> on schedule <input type="checkbox"/> slightly delayed <input type="checkbox"/> major delays/issues	

^{iv} Column A and B are copied from the ESMP.

Template 3: Plan for Monitoring Effectiveness of ESMP *TO BE COMPLETED BY EXECUTING AGENCY*

Mitigation measures	Indicators <i>proving effectiveness of avoidance or reducing impacts</i> ^v	Baseline	Monitoring methodology	Target (mid-term)	Target (end of project)
A	B	C	D	E	F
<i>New ESMS risks that have emerged</i>					

^v Identify one indicator for each mitigation measure. Use the same numbering as for mitigation measures as in Table 1 and use corresponding number for indicators; e.g., measure 1 (M1) would be monitored by indicator 1 (Ind1).