# ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)

## IRAQ ROAD MAINTENANCE MICROENTERPRISES GRANT PROJECT

## Prepared By:

MOCHMPW/RBD/PMT/E&S Team

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Disclaimer: This document is a draft and the information contained herein is subject to change. The final version of the document will take into consideration any further comments received from the International financing institution.

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## LIST OF ACRONYMS AND ABBREVIATIONS

| | |
|---|---|
| ARAP | Abbreviated Resettlement Action Plan |
| BSSF | Business Support Services Firm |
| CPF | Country Partnership Framework |
| ESIA | ESIA Environmental and Social Impact Assessment |
| ESMF | Environmental and Social Management Framework |
| ESMP | Environmental and Social Management Plan |
| FAO | Food and Agriculture Organization of the United Nations |
| MGP | Microenterprises Grant Project |
| MGI | McKinsey Global Institute |
| GBV | Gender Based Violence |
| GDP | Gross Domestic Product |
| GIS | Geographic Information System |
| GoI | Government of Iraq |
| GRM | Grievance Redress Mechanism |
| GRS | Grievance Redress Service |
| GCFI | German Credit Facility to Assist the Return of IDPs in Iraq |
| IBRD | International Bank of Reconstruction and Development |
| IDPs | Internally Displaced Persons |
| IFC | International Finance Corporation |
| ILA | Iraqi Land Authorities |
| ISIS/ ISIL | Islamic State of Iraq and Syria/ Islamic State of Iraq and the Levant |
| KFW | "Kreditanstalt für Wiederaufbau" Translates to Reconstruction Credit Institute |
| LACP | Land Acquisition and Compensation Plan |
| LTA | Land Tenure Administration |
| MOCHMPW | Ministry of construction, housing, municipalities & public works |
| MOA/MOCA | Ministry of Antiques /Ministry of culture & Antiques |
| RE | Resident Engineer |
| OP/BP | Operational Procedure/Bank Policy |
| PAP | Project Affected People |
| PMT | Project Management Team |
| RAP | Resettlement Action Plan |
| RPF | Resettlement Policy Framework |
| RBD | Roads & Bridges Directorate |
| ROW | Right Of Way |
| SEP | Stakeholder Engagement Plan |
| UN | United Nations |
| VGGT | Voluntary Guidelines on the Responsible Governance of Tenure |
| WB/WBG | World bank/World Bank Group Aka The Bank |

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# EXECUTIVE SUMMARY

This document presents an Environmental and Social Management Framework (ESMF) for the ROAD MAINTENANCE MICROENTERPRISES GRANT PROJECT (MGP) for the benefit of the Northern and Southern of Iraq rural roads. The Government of Iraq, with the support of the World Bank, aim to provide opportunities to improve the livelihoods of poor rural people and to maintain the level of access to rural roads. Several governorates of Iraq, namely Al-Qadisiyah, Al-Najaf, Karbala, Diyala, Salah al-Din, Nineveh, Al-Muthanna and Dohuk are considered in the determination of the geographic scope of this project. The Project Development Objective (PDO) is to provide entrepreneurship and employment opportunities to disadvantaged rural inhabitants in lagging areas of Iraq and improve the level of road access to markets, health centres and schools in these areas.

The MGP project will consist of the following three (3) main components:

**Component 1:** Rural roads maintenance subprojects (USD 4 M)

**Component 2:** Capacity building (USD 0.5 M)

**Component 3:** Project management and administration (PMA), monitoring and evaluation (M&E), and knowledge dissemination (USD 0.5 M)

All works will be on **existing roads** and thus, all road extension and construction works are excluded from the project.

The Project Implementing Entity will be the Ministry of Construction, Housing, Municipalities and Public Works (MOCHMPW), as responsible for the overall implementation of the project and overseeing the two implementing agencies: Roads and Bridges Directorate (RBD) in Baghdad and General Directorate for Roads and Bridges in GDRB in Erbil..

- Roads and Bridges Directorate (RBD) in Baghdad will be responsible for the design, procurement, Financial Management (FM) and social and environmental safeguards of the road network maintenance in all Governorates except in Kurdistan Region. RBD is also responsible for the procurement of all consultancy services required for the project. It is responsible for submitting financial reports to the World Bank to components implemented by it.
- General Directorate for Roads and Bridges in GDRB in Erbil will be responsible for design, procurement, FM and social and environmental safeguards of the road network

maintenance in the Kurdistan governorate. It is responsible for submitting financial reports to the World Bank to components implemented by it.

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Several benefits are expected as a result of the project; income generation through the creation entrepreneurship and employment opportunities to disadvantaged rural inhabitants in lagging areas of Iraq; development of small businesses (food, shops, etc.); increased income through the procurement of local and imported materials sold on the domestic market and improved livelihood of local population, and strengthen their entrepreneurial capacity as well as improved access to markets, health centers and schools in these areas; improved quality of traveling and safety due to better road conditions and access to information services and remote villages.

The ESMF covers environmental and social issues and potential negative impacts that are associated with the project, where all the impacts are largely of low to moderate significance. The negative impacts are reversible and time-limited. Risks in the project encompass poor labor and working conditions, risk of child and forced labor, improper disposal of wastewater from site offices resulting in soil and surface water contamination, unallowable noise emissions and unallowable air and dust emissions, use of hazardous materials such as herbicides to be used for vegetation control, as well as occupational health and safety risks such as physical hazards from maintenance and waste; bodily injuries from equipment and vehicles; fire hazards; manual handling and lifting of heavy weights and the risk of spread of communicable diseases including COVID-19.

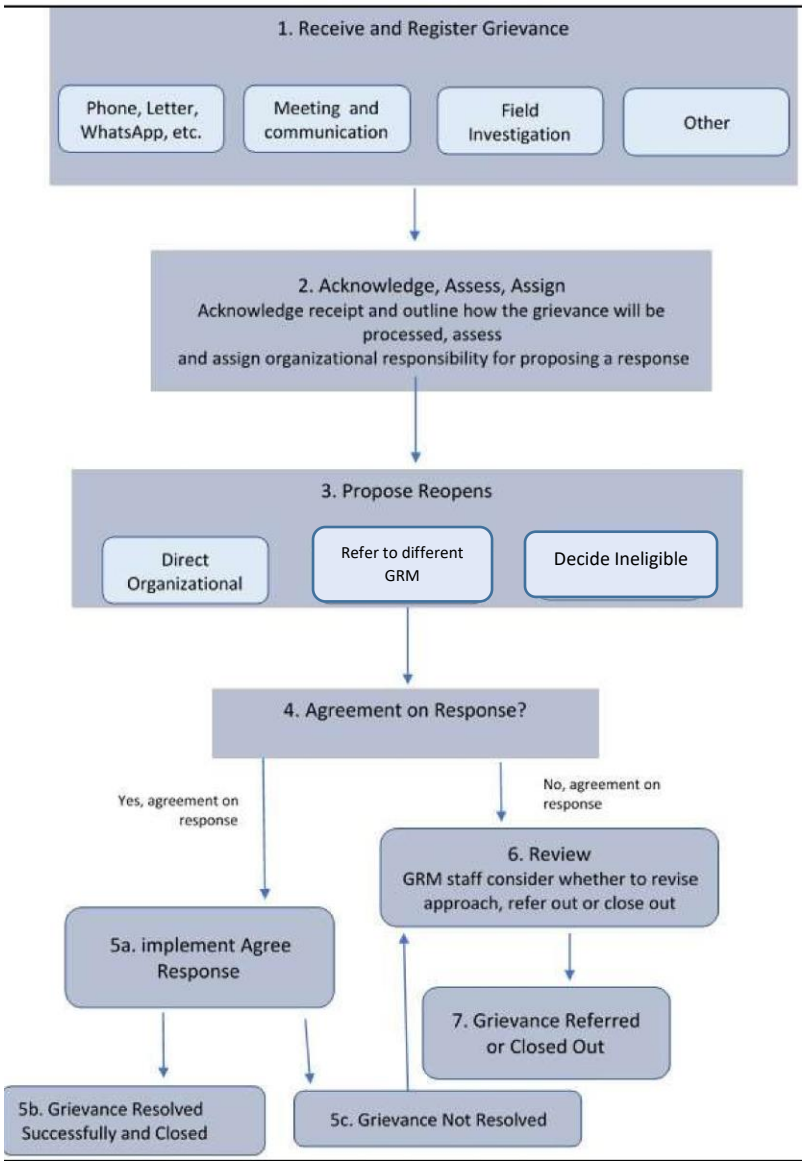
For each income generating activities support by the project, an environmental and social screening will be operated, and relevant and proportionate mitigation measures will be proposed.

Following the maintenance work and during the project operation phase, it is expected that the speed of the vehicles on the roads will increase and the traffic volume may also increase due to the improved conditions of the road network. This might cause potential risks related to community safety, in particular the children and elderly, as well as traffic accidents. The anticipated impacts are limited to the specific routes and sites, hence localized. Mitigation hierarchy has been applied in order to avoid or minimize the impacts.

Two Project Management Teams (PMTs) will be created to be responsible for managing the project. Each PMT includes personnel responsible for coordination, procurement, planning, financial, operation, technical, environmental and social specialist . It is the responsibility of

each PMT to ensure that the site-specific ESMPs, to be prepared according to the ESMF, will be integrated in the contracts and bids of the microenterprises. Further, the implementation of the ESMPs will largely be the contractors' responsibility. Therefore, each contractor/microenterprise should assign a dedicated qualified ESHS supervisor to handle the environmental, social, health and safety issues, to ensure compliance with the ESMPs during construction. The environmental, social health and safety aspects should be made clear to the supervisors assigned by the PMTs during the tender/selection phase and they should be trained for the implementation and supervision of the ESMP.

The project will establish both Community and Workers grievance mechanisms. The GRM will comprise of a set of operating procedures to ensure successful implementation. The procedures will include the following set of measures as a minimum, such as receipt, acknowledgment and registration; grievance verification and assessment; response and feedback and track and evaluate the process and results ( see GRM Procedures)



# CHAPTER ONE: INTRODUCTION

## 1.1 BACKGROUND

Investments in the deteriorated Iraqi rural roads, particularly through routine maintenance, can have significant potential positive impact, create decent jobs, support the local economy and strengthen local commerce, and have therefore important implications for poverty reduction and local economic and social development. With the current political situation in Iraq, compounded by the global pandemic (covid-19) and due to the fiscal tightening, the Government of Iraq (GoI) is unable to rehabilitate/maintain rural roads.

The Project Area would encompass the predominantly rural communities within eight governorates, including four governorates in the north and the middle region (Diyala, Salah al-Din, Nineveh, and Dohuk), and four on the southern region aka middle Euphrates region (Al-Qadisiyah, Al-Najaf, Karbala, and Al-Muthanna).

The project will comprise of maintenance work for about 500 km and will target disadvantaged inhabitants in the Project Area (around 2,000 individuals, including 25 percent of women, divided around 50 subprojects) to be hired by the project, resulting in the equivalent of a total of 350,000 workdays being directly created. The proposed project will be jointly implemented through Roads and Bridges Directorate (RBD) in Baghdad and the General Directorate for Roads and Bridges (GDRB) in Erbil (KRG), and their regional offices.

This document presents an Environmental and Social Management Framework (ESMF) for the ROAD MAINTENANCE MICROENTERPRISES GRANT PROJECT (MGP) for the benefit of the Northern and Southern of Iraq rural roads. The ESMF has been developed at this stage since the sub-projects have not been yet selected and detailed information about the subprojects will only be known during implementation.

## 1.2 OBJECTIVE OF THE ESMF

The objective of this ESMF is to provide an environmental and social management process and guidance for the design and implementation of this Project and to provide a practical tool during project formulation, design, planning, implementation and monitoring to ensure that environmental and social aspects are duly considered in the process in accordance with the Bank policies. It describes the steps involved in identifying and mitigating the potential environmental and social impacts of the Project and ensures that all relevant institutional capacity building and training needs are established for effective implementation of mitigation measures outlined in the ESMF. A mitigation hierarchy approach has been adopted during the development of this

ESMF in order to: avoid risks and impacts when possible; minimize or reduce risks and impacts to acceptable levels where avoidance was not possible; mitigate; and compensate for remaining significant residual impacts or offset them.

The ESMF proposes high-level principles, guidelines and procedures to screen, assess, approve, manage and monitor the mitigation measures of environmental and social impacts of the project activities/subprojects. The output of this ESMF is intended to ensure that the proposed project will be environmentally and socially sound and sustainable.

# CHAPTER TWO: PROJECT DESCRIPTION

The MGP will target the rural roads in 4 governorates in northern and middle of Iraq (Diyala, Salah al-Din, Nineveh, and Dohuk) and another 4 in southern of Iraq aka middle Euphrate region (Al-Qadisiyah, Al-Najaf, Karbala, and Al-Muthanna). The subprojects will be implemented by local enterprises employing the poor and disadvantaged beneficiaries

## 2.1 Project Components

The MGP project will consist of the following three (3) main components:

### Component 1: Rural roads maintenance subprojects (USD 4 million)

***Sub-component 1.1: Labor-intensive rural roads maintenance works (USD 3.6 million)***

This sub-component will provide, given the pilot nature of the project, financing for about 50 labor-intensive rural roads maintenance subprojects to be implemented within the Project Area by microenterprises. Such entities working in the road sector, operated by and/or employing disadvantaged rural inhabitants, as part of the social economy, currently do not exist in parts of the Project Area, although some similar activities in local communities are currently informal (e.g. groups engaged in agricultural work, supplies, cleaning debris in liberated cities, etc.). Through involvement in these informal activities, some of the potential actors in rural communities have developed basic entrepreneurial skills that are needed for the kind of subprojects the proposed grant is supporting, however this needs improvement (as proposed through sub-component 2.1). This sub-component will be partly matched by the Government of Iraq in the form of parallel co-financing where specific subprojects are separately financed by the grant and the recipient or joint co-financing where the grant and the recipient jointly finance common subprojects in agreed-upon proportions. The subprojects will consist of preventive maintenance works of roads and road-related infrastructure, specifically debris removal, cleaning of shoulders, drainage system and bridges, vegetation control, slopes and retaining walls, installation of simple protection measures, and/or minor surface repairs. The works will also include emergency works to repair any substantial damages which are caused directly by unforeseen natural phenomena with imponderable consequences occurring either around roads or elsewhere, but with a direct impact on the roads, as well as by traffic accidents (by including the cost of provisional quantities for day-works).

There will be neither road extension nor new road construction. Winter maintenance of rural roads will be tested in the relevant areas of Iraq (such as the Governorate of Duhok or Eastern governorates in the mountainous region), including winter inspection, salt or sand spreading on

paved sections to facilitate vehicle adherence, and snow removal. To maximize opportunities for the employment of local labor (versus machines) and resources, all works shall be manually executed using tools[1], protective equipment[2], and small quantities of construction materials[3] that are necessary for the works. For economy of scale and uniformity of quality standards reasons, it is preferable, within the context of the pilot activity, to have the required tools purchased by the implementing agencies and provided to the maintenance workers prior to the commencement of works. Materials will be also acquired by the implementing agencies and subsequently delivered to microenterprises that will be responsible for their storage and distribution to the exact location for works performance. The selected microenterprises will have to predominantly employ the disadvantaged rural labor force available from the beneficiary communities. Moreover, as a way to increase the local ownership of the subprojects, comparatively well-off members, representatives or entities of the local communities will be provided with the opportunity to financially contribute (including through in-kind donations). Use of local labor would increase non-farm rural incomes during periods of reduced agriculture activity, notably between April and September, which is the dry season when most of the works will be carried out.

On the other hand, activities during the whole year and through the rainy season would provide the additional benefit for the income and for communities by enabling all-weather access. Target road sections, both classified and unclassified, paved and unpaved, of 10 to 30 kilometers each per subproject situated in the Project Area, have been pre-identified during preparation in cooperation with the recipient and implementing agencies. These will be confirmed and prioritized during the first year of implementation in a participatory manner with community members (including potential direct and indirect beneficiaries) and civil society, in agreement with authorities in charge of the management of the roads, on the basis of adequate justification of the benefits that the community will derive from the maintained road access (for instance, ensuring access to markets and/or critical services such as health centers and/or schools).

***Sub-component 1.2: Technical inspection of works (USD 0.4 million)***

This sub-component will finance consulting services for field technical inspections of road maintenance subprojects for independent quality control purposes to complement the implementing agencies and local stakeholders in ensuring that the preventive maintenance

[1] Typically bicycles, wheelbarrows, hoes, picks, shovels, rakes, bush knives, manual compactors, and crowbars.

[2] Typically gloves, warning flags, safety vests, helmets, masks, protective boots, waterproof jackets, and first aid kits.

[3] Typically gravel, crushed stone, cement, gabions, and/or binding yarns.

works are executed in accordance with internationally recognized best practices, including the management of social and environmental risks associated with the civil works of the project. Based on international experience, this is justified by: (i) the pilot nature of the activity (and the resulting lack of practical experience of local stakeholders in this technical area), (ii) the large effort needed to periodically assess completed maintenance works, (iii) the need for consistency and conformity in the technical execution of subprojects that will be scattered and in relatively remote locations, and (iv) the fact that a significant part of payments to executing entities will be, in conformance to international best practices, performance-based i.e. fixed lump-sum (monthly, quarterly or semi-annually) linked to performance indicators with deductions in case of non-compliance with standards. This activity would strongly contribute to increase the quality of the maintenance works and hence increase the sustainability and resilience of the maintained road infrastructure.

## Component 2: Capacity building (USD 0.5 million)

### *Sub-component 2.1: Trainings on technical aspects (USD 0.3 million)*

This sub-component will finance, through the provision of consulting services, capacity building activities in the form of technical assistance and hand-on trainings for staff of implementing agencies and stakeholders at the governorate and local level (around 100 individuals in total to be able to cover the 50 subprojects and to provide a powerful base for expanding the concept to the whole country) to enable them to properly supervise and support/manage the maintenance activities of the project. The topics covered will include, inter alia, (i) efficient decentralized road asset management, including road selection for investments (at least 5 days in each of the first two years of the project), (ii) performance-based road maintenance contracting, supervision and inspection (at least 5 days in each of the first two years of the project), and (iii) proper execution of road maintenance works (at least 3 days in each of the first two years of the project). The following criteria will be used for the selection of participants to ensure training effectiveness: (i) level of involvement of the participant in the project (to ensure position to apply the knowledge and skills gained), (ii) potential benefit of the training for the participant (in terms of regular utilization of information gained in his work), (iii) sufficient relevant experience of the participant, (iv) command by the participant of the language which the training will be conducted in, allowing the participant to understand the training content and benefit from it as much as possible, (v) commitment of the participant and endorsement by his/her management. Diversity of location, background, age, and gender will be encouraged. The various stakeholders at the governorate and local level will be asked to nominate potential candidates for participation. The project implementing agencies will carry out the selection process based on the above-

mentioned selection criteria and share the list of selected participants with the World Bank for validation prior to the preparation and communication of invitation letters and enrolment instructions to the participants. Moreover, staff from the implementing agencies in the pilot governorates have already passed intensive theoretical training on the concept and types and methods of various work activities. This training concentrated on issues necessary to address implementation of labor intensive maintenance (general characteristics, worldwide practice, approach to contracting, types of activities and procedures of work). It is considered that the trained staff would be a core of the future Maintenance Management Units (MMUs) in each of the implementing agencies and governorates, and will also continue as trainers for additional staff and maintenance teams.

***Sub-component 2.2: Trainings on entrepreneurial and managerial aspects (USD 0.2 million)***

This sub-component will finance, through the provision of consulting services, capacity building activities in the form of hand-on trainings for key beneficiaries to improve the sustainability of the activities financed by the project. This training will benefit about 50 participants (one focal point per subproject to further disseminate the knowledge acquired) from existing, newly formed or to be formed microenterprises in the following topics: (i) proper formation and organization of microenterprises (including the registration of the relevant legal administrative entity), (ii) entrepreneurial skills including general management skills (administrative, strategy, planning, marketing, financial management, project management, and time management) and soft skills (leadership, motivation, delegation, communication, and negotiation) to improve their performance and ensure their sustainability, and (iii) access to finance to introduce potential beneficiaries and/or familiarize them with the different options in terms of inclusive finance mechanisms, particularly microfinance ones, that are already available in Iraq for about 15 years[4]. This would improve the proficiency of the beneficiaries in this process (including the required documentation) and therefore maximize their potential access to new lines of formal credit from these institutions to develop and sustain their income-generating schemes. The

[4] Microfinance in Iraq started in 2003 mainly to assist victims of war and violence. It now serves as the sole provider of sustainable financial services for the poor and those excluded from the financial sector, including micro, small, and medium enterprises and informal sector activities that are the main source of livelihood for the majority of people. Prior to the start of the ISIS conflict in mid-2014, the microfinance sector in Iraq had emerged as a source of credible financing for close to 100,000 low-income Iraqi entrepreneurs (Microfinance Institutions (MFIs) operating across 18 governorates with about USD 150 million portfolio). However, some of the institutions operating in the conflict area have stopped their lending operations, eliminating an estimated 15% of Iraq's current microfinance market, representing (in tangible form) more than 20,000 active clients, USD 22 million in outstanding credit, and 42,000 lost job opportunities, according to the Economic and Social Impact Assessment of the Syrian conflict and ISIS in Iraqi's Kurdistan (World Bank, 2016). Despite this, Iraq's MFIs that are still in operation continue to report high demand for credit and financial services, particularly as clients seek practical strategies to manage their needs, generate income, and keep up ordinary consumption in a general economic environment of declining activity and investor uncertainty.

duration, intensity and teaching delivery mechanisms will be tailored to respond to the specific needs of beneficiaries.

## Component 3: Project management and administration (PMA), monitoring and evaluation (M&E), and knowledge dissemination (USD 0.5 M)

### *Sub-component 3.1: Project management and administration (USD 0.3 M)*

Sub-component 3.1 will finance, through the provision of goods, consulting and non-consulting services, as follows: (i) project management costs, namely a project launch activity and the recruitment by the implementing agencies, in accordance with criteria to be set forth in the POM, of (a) a project management specialist that will, inter alia, act as a field-based coordinator for the project and carry out the Mid-Term Review (MTR) and Implementation Completion Report (ICR) for the project, (b) a procurement specialist, and (c) a financial management specialist (FMS), (ii) project audit costs, and (iii) project operating costs[5].

### *Sub-component 3.2: Monitoring and evaluation (USD 0.15 M)*

Sub-component 3.2 will finance, through the provision of consultant services, M&E activities for the project, including: (i) the recruitment by the implementing agencies, in accordance with criteria to be set forth in the POM, of a M&E specialist, (ii) the preparation of an impact evaluation study (including a baseline study to be undertaken within one year of grant implementation and a mid-term evaluation) that will feed into the implementation completion reports of the project focusing on its outcomes and lessons learned, and (iii) Third Party Monitoring Agent (TPMA) to offset the difficulties in access by the World Bank's staff and provide a good level of fiduciary oversight.

### *Sub-component 3.3: Knowledge dissemination (USD 0.05 M)*

Sub-component 3.3 will finance, through the provision of non-consulting services, knowledge dissemination activities in the form of workshops to share lessons of this project and raise awareness about this initiative within central, regional and local levels of government as well as local communities and civil society to increase likelihood of replicability and scalability of this concept. The knowledge dissemination activities will highlight, for instance, the challenges

[5] "Operating Costs" means the incremental expenses incurred by the project on account of project implementation, management and monitoring, including for office space rental, utilities and supplies, bank charges, communication, vehicle operation, maintenance and insurance, building and equipment maintenance, advertising expenses, travel and supervision, and salaries of contractual and temporary locally-recruited staff, but excluding consultant fees and salaries of civil servants.

encountered in employing women in road maintenance works and how they have been overcome, and more importantly, how it can be scaled up.

The proposed Project Development Objective (PDO) is to provide entrepreneurship and employment opportunities to disadvantaged rural inhabitants in lagging areas of Iraq and improve their level of road access to markets, health centers and schools in these areas.

Several governorates of Iraq, namely Al-Qadisiyah, Al-Najaf, Karbala, Diyala, Salah al-Din, Nineveh, Al-Muthanna and Dohuk are considered in the determination of the geographic scope of this project.

## 2.2 Project Beneficiaries

The direct beneficiaries of the project will be disadvantaged inhabitants in the Project Area (around 2,000 individuals, including 25 percent of women, divided around 50 subprojects), resulting in the equivalent of a total of 350,000 workdays being directly created (half of which financed by the recipient). The total IRRF (Iraq Reform and Reconstruction Fund)-funded cost per beneficiary will therefore be approximately USD 1,250. Other beneficiaries of the project include the communities that will benefit from the maintained access to the targeted roads.

## 2.3 Project Location

The project will be implemented in the northern and mid region of Iraq (Diyala, Salah al-Din, Nineveh, and Dohuk) with a total population of 7,797,700 (2014 statistics) and area of (85,924 $km^2$ =19.6% of Iraq total area) and the southern of Iraq "Mid-Euphrates region" (Al-Qadisiyah, Al-Najaf, Karbala, and Al-Muthanna) with a total population of 4,716,300 and area of (93,751 = 21.3% of Iraq total area)

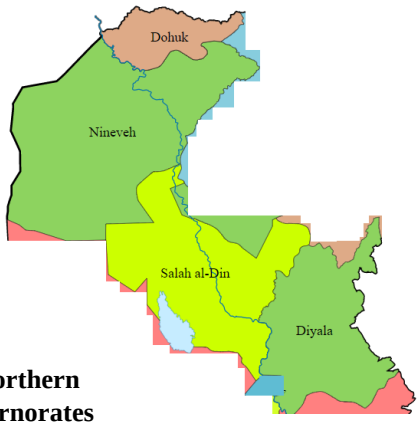



Figure 1-1

**Map of northern Iraq governorates covered by the project**


Figure 1-2

**Map of Mid-Euphrates governorates**

# CHAPTER THREE: LEGAL AND INSTITUTIONAL FRAMEWORK

This section highlights the key World Bank and National requirements likely to be relevant to the project. Applicability of the various requirements should be reassessed upon detailing the design of the project and its activities. Furthermore, the GoI has signed and ratified a number of international conventions which are, therefore, considered an integral part of the environmental legislative framework of Iraq. Where relevant, the national requirements are compared against the WB Group Environmental, Health, and Safety Guidelines referred to as the EHS Guidelines. These are technical reference documents with general and industry-specific examples of Good International Industry Practice (GIIP). They contain the performance levels and measures that are normally acceptable to the WB Group.

The MGP project has been classified as a "Moderate Risk" project; meaning that the potential impacts of the project are less adverse & more limited, fewer, site-specific, likely reversible as compared with High and Substantial Risk projects, and mitigation measures can be more easily designed/implemented.

The ESMF and subsequent ESMPs shall comply with the Environmental and Social standards of the World Bank (WB) as well as the national requirements. The relevant levels or measures of the EHS Guidelines or the national requirements, whichever is more stringent, will be applied.

## 3.1 WORLD BANK ENVIRONMENTAL AND SOCIAL STANDARDS (ESSs)

The World Bank Environmental and Social Standards (ESSs) with their relevance to the current project activities are summarized below in **Table 2-1**. A full list and brief description of the ESSs are included in Annex 4.

**Table 2-1: Summary of the WB ESSs relevance to the project**

| World Bank ESS | Relevance |
|---|---|
| ESS1: Assessment and Management of Environmental and Social Risks and Impacts | Relevant |
| ESS2: Labor and Working Conditions | Relevant |
| ESS3: Resource Efficiency and Pollution Prevention and Management | Relevant |
| ESS4: Community Health and Safety | Relevant |
| ESS5: Land Acquisition | Not Currently Relevant |
| ESS6: Biodiversity Conservation | Not Currently Relevant |
| ESS7: Indigenous Peoples | Not Currently |

| | |
|---|---|
| | Relevant |
| ESS8: Cultural Heritage | Not Currently Relevant |
| ESS9: Financial Intermediaries | Not Currently Relevant |
| ESS10: Stakeholder Engagement and Information Disclosure | Relevant |
| Is there any territorial dispute between two or more countries in the subproject and its ancillary aspects and related activities? | Not Relevant |
| Will the subproject and related activities involve the use or potential pollution of, or be located in international waterways[6]? | Not Relevant |

The project's activities will result in environmental and social risks and impacts which will need to be assessed, managed and monitored (ESS1) in order to achieve environmental and social outcomes consistent with the ESSs. Further, the project will involve several workers, hence the borrower should promote sound worker-management relationships and enhance the development benefits of the project by treating workers in the project fairly and providing safe and healthy working conditions (ESS2).

The project will include road maintenance work involving cleaning of shoulders, drainage system and bridges, vegetation control, slopes and retaining walls and therefore, These activities will possibly result in pollution to air, water, and land, and consume an amount of finite resources. Pollution prevention could be achieved through effective implementation of mitigation measures (ESS3). Likewise, the project activities could affect the community and expose it to risks and impacts. Therefore, the Community Health and Safety need to be identified and mitigated (ESS4).

The proposed project is not expected to involve land acquisition, nor affect biodiversity or cultural heritage due to the fact most of activities will include simple rehabilitation and maintenance works of already existing roads and accordingly ESF ESS5, ESS6, and ESS8 are not relevant. ESS7 is not relevant as the project will not affect any indigenous peoples and ESS9 is not relevant as the project does not incorporate financial intermediaries.

There are several stakeholders involved in the project including affected and other interested parties. Hence , the importance of open and transparent engagement between the Borrower and project stakeholders as an essential element of good international practice (ESS10). Effective

[6] International waterways include any river, canal, lake or similar body of water that forms a boundary between, or any river or surface water that flows through two or more states.

stakeholder engagement can improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation.

## 3.2 WORLD BANK GROUP EHS GUIDELINES

The WBG EHS Guidelines are technical reference documents with general and industry-specific examples of Good International Industry Practice (GIIP). They contain the performance levels and measures that are normally acceptable to the WB Group. The EHS Guidelines contain the performance levels and measures that are generally considered to be achievable in new facilities by existing technology at reasonable costs. The relevant EHS guidelines are listed below:

**Environmental**

- Air Emissions and Ambient Air Quality
- Energy Conservation
- Wastewater and Ambient Water Quality
- Water Conservation
- Hazardous Materials Management
- Waste Management
- Noise

**Occupational Health and Safety**

- Physical Hazards
- Biological Hazards
- Personal Protective Equipment (PPE)
- Monitoring

**Community Health & safety**

- Structural Safety of Project Infrastructure
- Traffic Safety
- Disease Prevention
- Emergency Preparedness and Response

## 3.3 NATIONAL LEGISLATIONS AND REGULATIONS

National legislation and guidelines in Iraq generally address the potential environmental and social issues associated with the envisaged sub-projects. Iraq has also acceded to a large number of international environmental conventions and agreements and is committing new resources to assessments and plans to ensure their full implementation. With new laws requiring appropriate

compliance with such international laws, a new approach to future environmental legislation is starting to emerge. However, although Iraq is a party to the treaties, environmental regulation in Iraq has traditionally lagged behind international standards. An analysis of relevant national legal framework and identification of possible gaps with WB Operational Policies is discussed below.

### 3.3.1 General Environmental Legislation

Law No.2 of 2009 aims to protect and improve the environment and natural resources, by preserving public health, biodiversity and cultural and natural heritage, and by encouraging sustainable development and international and regional cooperation. The Law establishes a Council for the protection and improvement of the environment referring to the Ministry of Environment and cooperating with other Ministries. It also defines its duties and responsibilities. Smaller Councils are established in the different provinces of the country. This Law sets forth provisions for the regulation of air pollution and noise reduction; earth protection; biodiversity protection; management of hazardous waste; protection of the environment from pollution resulting from exploration and extraction of oil wealth and natural gas; establishment of an environmental protection fund; rewards; compensation for damages; and penal provisions.

### 3.3.2 Environmental Impact Assessment for projects

Law no. 27 of 2009 on the Protection and Improvement of the Environment describes an Environmental Impact Assessment (EIA) as: "a study and analysis of the environmental feasibility of proposed projects that may affect the creation or the exercise of their activities on human health and environmental safety of present and future with a view to protecting them." The new law also includes several criteria required in an EIA. According to Article 10, an EIA must include:

- Determination of positive and negative impacts of the project on the environment and the impact of the environment surrounding it;
- the proposed means to prevent and address the causes of pollution in order to achieve compliance with environmental regulations and instructions;
- contingencies for pollution emergencies and potential precautions;
- possible alternative technology that is less harmful to the environment and the rational use of resources;
- provisions to reduce waste, such as the inclusion of recycled or reused materials when possible; and

- an assessment of the environmental feasibility of the project and an estimate of the cost of pollution relative to production.

The procedure for submitting an EIA is set out in Article 11. Before any work is to commence, the EIA must be submitted to the federal Ministry of Environment. Work may not commence until approval from the ministry has been received.

Although Law No. 27 includes an EIA requirement, several gaps have been identified, mainly in the procedural and compliance side:

- There is no screening procedure to determine applicability and level of detail of an EIA; and no requirement for scoping during which issues that should be taken into consideration are identified
- The law does not include a social assessment and there is no requirement for stakeholder consultation, public participation and disclosure
- ESMPs are not usually implemented and if implemented, they are not sufficiently monitored and followed up, in particular during the construction phase.

In the majority of the projects, contractors are not aware of their basic environmental and social roles and responsibilities (occupational health & safety, community safety, impacts due to temporary labor influx, GBV etc.) and tender documents do not usually contain such clauses (i.e. ESMPs).

### 3.3.3 Noise

Law No. 41 of 2015 on Noise Protection and Control amends previous legislation, regulates methodological issues in noise control, sets limits for exposure times to continuous noise between 80 and 115 dBA, and determines daytime and nighttime standards for outdoor noise exposure. Law 41/2015 includes standards for ambient and occupational noise with correspondent exposure periods. The main gaps identified are:

- Ambient noise monitoring is not consistently conducted, and monitoring data is not available to the public.
- There is no tracking of compliance with occupational noise exposure during the majority of construction activities.
- Selected Noise limits are different from WBG limits. A brief comparison is presented in the table below.

**Table 3-1: Comparison of National and WBG Noise limits**

| | Iraqi Law No. 41 Requirements | | | WB Requirements | |
|---|---|---|---|---|---|
| | | Permissible noise | | Receptor | One hour $L_{Aeq}$ (dBA) |

| | | intensity decibel | | | | |
|---|---|---|---|---|---|---|
| | TYPE OF AREA | DAY 7:00 – 19:00 | NIGHT 19:00-07:00 | | Day 07:00– 22:00 | Night 22:00 - 07:00 |
| | Sensitive areas (Hospitals, clinics, convalescences and residential care homes) | 50 | 40 | Residential; Institutional; educational | 55 | 45 |
| | Urban residential areas | 60 | 50 | Industrial; commercial | 70 | 70 |
| | Suburban residential areas | 55 | 45 | | | |
| | Hotels and hostels | 55 | 40 | | | |
| | Educational institutions (schools, universities, kindergartens etc.) | 55 | 45 | | | |
| | Industrial areas and public institutions | 70 | 60 | | | |
| | Commercial and administrative areas and institutions | 65 | 60 | | | |
| | Private areas (Airport, railway stations, harbors) | 70 | 60 | | | |
| | Cultural institutions and protected areas | 60 | 50 | | | |
| | Recreational areas | 60 | 50 | | | |
| | Residential areas in industrial zones | 60 | 40 | | | |

### 3.3.4 Occupational Health and Safety

Labor Law No.37 of 2015 and Ministerial Instruction No.12 of 2016: Occupational Health and Safety Requirements Regulations are the main legislation for health and safety issues. Law No.37/2015 differentiates between jobs depending on the circumstances and duties that the employees are conducting, bearing in mind that the New Labor Law includes more than 170 Articles, which include a number of new terms and additions. The Law organizes aspects of the relationship between the employer and employees, with the aim of protecting their rights and

realizing sustainable improvement which is based on social justice, equality and providing suitable work for everybody without discrimination. The Law prohibits all types of compulsory labor and child labor and determines minimum working age (15 years) and to prevent any discrimination or harassment, whether direct or indirect. Article 6, chapter 3 of Iraqi Labor Law, states that the minimum age for employment is 15 years old. However, Iraq is also signatory to the 1989 International Convention on the Rights of the Child, which defines everyone under the age of 18 as a child who must have special protection and care.

The Law regulates the work of female employees by granting additional rights to those that existed in the old law. Furthermore, it addresses the work of subcontractors regarding the employees' rights, following the expansion of such work in Iraq without previous regulation. The law also regulates health of employees and stipulates that the National Centre of Occupational Health and Safety is to be in charge of planning and inspecting the implementation of health affairs in a manner that guarantees the safety of employees at work sites from occupational diseases and injuries, and sets out extensive requirements in this regard in order to achieve a healthy work environment.

The main gaps identified are (mainly during implementation):

- Lack of awareness to adhere to safe working measures among employers and workers.
- Contractors do not implement proper and complete occupational health and safety measures in order to reduce construction costs.
- There is limited capacity to monitor health and safety issues in some industrial sites
- Construction activities are usually not inspected for health and safety issues.

### 3.3.5 Water

Article 3 of Regulation No.2 of 2001 prohibits the discharge or cast of wastes into public water irrespective of the entity (public and private). Entities are prohibited from discharging wastes, unless they obtain an approval to discharge wastes as per the criteria and specifications set out by the Environment Protection and Improvement Directorate (EPID). Article 4 prohibits discharging any pollutant into public waters, while article 5 authorizes the EPID to issue environmental restrictions pertaining to the quality of public water as well as the quality of water discharged into public water, sewage systems, or rainwater.

The regulations define the permissible discharge limits to both natural waters and sewers. Some of the values are presented in the Table below.

**Table 3-2: Effluent Discharge Parameters**

| Pollutant | Limits for Discharge into Water Bodies | Limits to discharge into Sewer |
|---|---|---|
| Color | N/A | N/A |
| Temperature | <35°C | 45°C |
| Suspended Solids | 60 mg/L | 750 mg/L |
| pH | 6 -9.5 | 6 -9.5 |
| BOD | <40 | 1000 |
| COD | <100 | N/A |
| Nitrate | 50 mg/L | N/A |
| Phosphate | 3 mg/L | N/A |
| Free Chlorine | Trace | 100 mg/L |
| Lead | 0.1 mg/L | 0.1 mg/L |
| Copper | 0.2 mg/L | N/A |
| Mercury | 0.005 mg/L | 0.001 mg/L |
| Sulphate | if the ratio of the discharge is to the amount of source water is 1:1000 or less, the sulphate concentration should not exceed 400 mg/L | 300 mg/L |
| Total hydrocarbons & derivatives | For the river with continuous flow, 5mg/L provided the ratio of discharge to source water is 1:500 | N/A |

### 3.3.6 Air Quality

Clean Air Act No. 1 of 2004 provides the guidelines for prevention and control of air pollution, as well as the applicable national standards of the most common air pollutants.

**Table 3-3: Ambient Air Quality Standard**

| Pollutant | Iraqi Standard | | WHO Standard |
|---|---|---|---|
| | Concentration | Averaging Time | Concentration |
| CO | 10 ppm | 8 hours | N/A |
| | 35 ppm | 1 hour | N/A |
| $SO_2$ | 0.1 ppm | 1 hour | 500 $\mu g/m^3$ |
| | 0.04 ppm | 24 hours | 20 $\mu g/m^3$ |
| | 0.018 ppm | 1 year | N/A |
| $NO_2$ | 0.05 ppm | 24 hours | 200 $\mu g/m^3$ |
| | 0.04 ppm | 1 year | 40 $\mu g/m^3$ |
| $O_3$ | 0.06 ppm | 1 hour | 100 $\mu g/m^3$ |
| $PM_{10}$ | 150 $\mu g/m^3$ | 24 hours | 50 $\mu g/m^3$ |
| $PM_{2.5}$ | 65 $\mu g/m^3$ | 24 hours | 50 $\mu g/m^3$ |
| | 15 $\mu g/m^3$ | 1 year | 15 $\mu g/m^3$ |
| | 350 $\mu g/m^3$ | 24 hours | N/A |

| | | | |
|---|---|---|---|
| Total Suspended Particles | 150 μg/$m^3$ | 1 year | N/A |
| Falling Dust | 10 t/$km^2$/month - residential zone | 30 days | N/A |
| | 20 t/$km^2$/month - industrial zone | 30 days | N/A |
| Hydrocarbons | 0.24 ppm | 3 hours | N/A |
| Pb | 2 μg/$m^3$ | 24 hours | N/A |
| | 1.5 μg/$m^3$ | 3 months | N/A |
| | 1 μg/$m^3$ | 1 year | N/A |
| Benzene | 0.003 μg/$m^3$ | 1 year | N/A |
| Dioxin | 0.6 pico g/$m^3$ | 1 year | N/A |

### 3.3.7 Hazardous Substances and Wastes

Law No. 27/2009 provides provisions for the handling of hazardous substances and wastes, and stipulates that they should conform to international standards and best practices for the protection of the environment. Instruction No. 3/2015 consists of 5 Articles and aims at organizing the management of hazardous wastes, either by those who produce them, transport or treat them. The producers should determine the types of waste, collect and storage them to be processed, obtain the environmental approval, keep both paper and electronic records on the quantities and types of waste and have transport documents if needed.

### 3.3.8 Human Rights and Social Laws

The 2005 Constitution of Iraq guarantees fundamental rights to Iraqi citizens, men and women, including equality before the law, equal treatment before the law (Article 14); treatment with justice in judicial proceedings (Article 19(6)); participation in public affairs (Article 20); right to work (Article 22); and the preservation of the family, the protection of motherhood, childhood and old age, and the prohibition of child labor and violence in the family (Article 29). The Constitution also guarantees to all Iraqis, "especially women and children," "social and health security," "basic requirements for living a free and decent life," and income and housing (Article 30), as well as health care (Article 31), care for the persons with disabilities (Article 32), and education (Article 34).

Article 2 of the Iraqi Constitution declares Islam as the official religion of the state and as a foundation source of legislation, as is the case in most Arab countries. At the same time the Iraqi constitution reflects the religious and ethnic diversity of Iraq and stresses the protection of the rights of groups (Article 2 (4) 2, Article 3, Article 4, Article 7, Article 8 (8), Article 14, Article 41, Article 42, Article 43 of the Iraqi Constitution).The Iraqi Constitution stipulates that no law may be enacted that contradicts established provisions of Islam and, while also

stipulating that no law may be enacted that contradicts the principles of democracy (Article 2 (1)).

Iraq is a party to eight of the nine core international human rights instruments, including: the International Covenant on Civil and Political Rights **(**ICCPR), the Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW), the Convention on the rights of the Child (CRC) and its Optional Protocol on the involvement of children in armed conflict; the International Convention for the Protection of All Persons from Enforced Disappearance (ICPPED), and the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (CAT). Iraq is not a party to the Rome Statute of the International Criminal Court (ICC), and the international crimes defined in the Rome Statute are not criminalized under its domestic law. Iraq has not accepted the ICC jurisdiction over the current situation under article 12(3) of the Rome Statute.

### 3.3.9 Rights of the Child

The 1987 Labor Law, as amended by the Coalition Provisional Authority Order Number 89, of 2004 sets the minimum age for employment at 15 and the minimum age for hazardous work at 18. Article 9 (2) of the Coalition Provisional Authority Order Number 89 outlines categories of work considered hazardous, including work underground, underwater, in an unhealthy environment or where a child is unreasonably confined to the premises, and where children are required to use dangerous machinery or handle heavy loads. Instruction No. 19 of 1987 includes additional prohibitions on hazardous labor for children, barring children from working with lead or toxic substances, in construction, and at tanneries or in any other place of employment that is hazardous to the health or morals of the child.

Order No. 89 sets employment conditions for children age 15 and older, including work hours, medical examinations and annual leave policies; it also provides for the creation of a register of employed young persons. Children employed in family enterprises are exempt from the Order's requirements, which may put these children at greater risk for involvement in the worst forms of child labor. Article 34 of the Constitution guarantees Iraqis the right to free education at all levels. Children in Iraq are required to attend school until age 12.

Order No. 89 prohibits slavery and similar practices, including forced labor, child trafficking, and illicit activities such as drug trafficking. The Constitution prohibits trafficking of women and children, as well as the sex trade. The Penal Code prohibits the enticement of children under 18 years into prostitution and provides for up to 10 years of imprisonment for violations. Order No. 89 outlaw's child prostitution and child pornography; violations are punishable by imprisonment. In 2012, the Government passed the 2012 anti-trafficking law, which proscribes penalties for both sex and labor trafficking and replaces portions of the labor and penal codes.

### 3.3.10 Women Employment

The situation for Iraqi women, despite the government of Iraq's best efforts to address gender inequality, has declined steadily since 2003. Iraqi women comprise half of the total population and are heads of one in 10 Iraqi households—80 percent of these female heads of households are widows, divorced, separated, or caring for sick spouses. They represent one of the most vulnerable segments of the population and are more exposed to poverty and food insecurity because of lower overall income levels, and are particularly disadvantaged in terms of education and access to employment and adequate shelter. According to IOM, only two percent of female-headed households interviewed are employed and have a steady salary while an additional six percent are employed doing odd jobs and do not earn a regular income.
The ratio of working women in Iraq remains significantly low compared to other areas of the world. In fact, it has the second lowest ratio (along with Iran) after Syria..

Throughout the country, including the Kurdistan Region, the clear majority of employed women (94 percent) are in the public sector, which already constitutes the main employer in the country.. Latest available statistics (both permanent and non-fixed-contract staff) show relatively high women's employment rates (between 50 percent and 72 percent) in the finance, education and banking sectors. The lowest rates of women employed in the public sector (less than 10 percent) are in the oil and justice sectors, socially considered as predominantly male domains.

Supporting women's full participation in economic, social and political life is a key factor in reducing poverty, increasing the well-being of women and creating fair, safe and secure communities. But, of course, increasing the rate of women's participation is not, nor should it be, just a numbers game. It should also be about ensuring that women are represented, their voices are heard, and that their views and contributions valued. is also needed for the economic development of Iraq.
Only two percent of all employees in the private sector—which is predominantly related to the oil sector—are women. Cultural and social obstacles are the other main driving factors preventing women from working in the private sector, such as restrictions on movement and the necessity of having male consent.

Despite Iraqi women enjoying equal rights to employment, according to the 2005 Constitution, certain inequitable elements remain within the law that limit women's economic choices. Some laws and their interpretations limit women in working in certain sectors that require hard labor, night-time work, or dangerous tasks. Moreover, Iraqi society still perceives women in their traditional role as housekeepers and child givers, although it seems that a change is occurring

among the younger generations: 66 percent of youth compared to 42 percent of the elderly, support women's right to work.

Developing a strong and gender-balanced private sector is necessary for Iraq to develop into a diversified and resilient market economy with rising living standards and jobs for men and women. Expanding women's economic opportunities is one of the most important driving forces behind economic growth and the fight against poverty. The government is responsible for many of the interventions required to close the gender gap in Iraq. For instance, it can and should remove legal barriers to women entering the private workforce, and provide basic gender-friendly services (including safe transport, child care for women employees, sanitation facilities for girls in schools, and special courts to handle gender-based violence cases).

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# CHAPTER FOUR: ENVIRONMENTAL AND SOCIAL BASELINE CONDITIONS

## 4.1 DUHOK

A Brief overview of the Socio-economic Baseline is given below.


Source map: Joint Analysis and Policy Unit

**Dohuk at a glance**

**Fast facts**

Area: 6553 $km^2$

Capital City: Dohuk

Average High Temperatures: 11°C (January) to 42°C (July)

Average Low Temperatures: 3°C (January) to 27°C (July)

Population: 1,133,627

Population Distribution rural-urban: 25,6%-74,4%

**Geography and Climate**

Located in the northwest of Iraq, Dohuk (alternatively spelled as Duhok or Dahuk) borders Turkey and is Iraq's northernmost governorate. Surrounded by mountain ranges on three sides, Dohuk governorate's terrain mostly consists of mountain slopes, hills and valleys, giving way to the Sumail plain on the west.

The climate of Dohuk governorate is comparable to that of surrounding regions, with hot and dry summers and mild winters. Rainfall averages 616 mm yearly and is limited to the winter months.

**Population and Administrative Division**

The governorate of Dohuk is part of the Kurdistan Region of Iraq (KRI) and is made up by the districts of Dohuk, Amedi, Sumel and Zakho. Kurds are the dominant ethnic group, with small minorities of Turkmen and Arabs living across the governorate. The Sunni branch of Islam is followed by the majority of Dohuk's inhabitants, but the province also hosts a mainly Kurdish Yezidi minorityand several Assyrian, Chaldean and Armenian Christian communities.

**Economy**

Just like the other Kurdish governorates, Dohuk governorate benefitted from the relative calm and stable security situation in the KRI after the US-led invasion of 2003. Due to a number of reasons, the Kurdish region was less affected by the UN sanctions, which were imposed on Iraq after the 1990 invasion of Kuwait and were only lifted after the 2003 invasion. One of the main reasons was that the UN, instead of the Iraqi central government, managed the humanitarian relief and development efforts in the Kurdish region after the war. A large share of the UN Food for Oil program was allotted to the Kurdish region, and the higher presence of international aid organizations in Iraqi Kurdistan also dampened the effect of the sanctions. Finally, cross border smuggling made it easier to circumvent sanction imposed import restrictions.

The Kurdistan Region of Iraq (KRI) is a semi-autonomous region consisting of the governorates of Erbil, Dohuk and Sulaymaniyah. The KRI was granted autonomy in the 2005 constitution of Iraq and is ruled by the Kurdistan Regional Government (KRG) and its parliament, the Kurdistan National Assembly (KNA). Under the 2005 constitution, the KRG is allowed to have its own security forces, which operate independently from the Baghdad controlled Iraqi military and security hierarchy. The KRG remains dependent on Baghdad for its budget and the export of its oil, which in the past years regularly lead to tensions between the KRG and the central government. Unresolved territorial disputes about Kirkuk and other areas in the governorates of Diyala and Ninewa with a significant Kurdish presence also keep poisoning the relations between the KRG and the central government.

Foreigner friendly investment laws also contributed to the spike in foreign investment the governorate witnessed since 2003. Bilateral trade with Turkey in particular flourished and the tourism sector also benefitted from the stability and peace in Dohuk. During the last decade, the governorate witnessed a construction boom, and a number of foreign companies are involved in oil exploration in Dohuk. The governorate has some regional importance in agricultural production, and more specifically orchards and pasturage.

Dohuk's economy is however still hampered by limited infrastructure and corruption. The economic prosperity failed to drive down unemployment, especially for women. The agricultural sector is still below its pre-1980 productivity level and has been hit hard by water shortages in the past decade. The wave of IDPs that arrived in Dohuk since the IS conquest in the summer of 2014 is also putting a lot of stress on the governorate's economy.

The city of Dohuk with the Dohuk dam in the background. Source: Claus Weinberg

**Humanitarian issues**

Dohuk governorate escaped the widespread sectarian violence that erupted in other parts of Iraq following the 2003 invasion. Dohuk was also spared from the onslaught of the IS conquest that swept much of the country's northwestern and central region. Criminality, civil unrest and cross border smuggling do pose a limited but persistent security threat. The alleged presence of PKK fighters in the governorate has also been a cause of tension with neighboring Turkey. Just like the other Kurdish governorates, Dohuk governorate too is littered with minefields and unexploded ordnance.

Since the IS incursion into Iraq it has been getting increasingly difficult to employ Arab staff in the Kurdistan Region of Iraq. Arab Iraqi's working for NGOs in the KRI have been questioned, delayed or even blocked at security checkpoints. These checkpoint issues not only hinder NGO operations in the region, but also make the life of thousands of IDPs residing in the region more difficult. Arab Iraqis and Arab nationals from other countries are also facing problems in obtaining visa to enter the KRI.

| | **Population under the poverty line** | **Unemployment** | **Enrollment primary education** | **Enrollment secondary education** | **Literacy** |
|---|---|---|---|---|---|
| **Dohuk Governorate** | 4,9% | 8,8% | 94,7% | 65,7% | 69,3% |
| **National Averages** | 11,5% | 11,3% | 90,4% | 48,6% | 79% |

Despite being one of the governorates with the lowest poverty numbers, Dohuk governorate scores below average on a number of other development indicators. Notwithstanding the higher than average enrollment rates in primary and secondary schools, illiteracy remains a serious problem in the governorate. Food insecurity actually increased from 1% in 2007 to 5% in 2011. The number of people living below the poverty line of $2,5 a day also varies between the districts: 2011 data indicate that12,5% of the population was living under the poverty line in Al-Shikan district, dropping to 0% for the district of Dohuk. The number of people with access to an improved water source (96,2%) or improved sanitation facilities (97,3%) are both above the national average, but the public electricity network fails to deliver a consistent source of power to the governorate's inhabitants. Limited transport options and financial means hamper access to health facilities.

The most urgent humanitarian issue currently facing Dohuk governorate is the large number of IDPs in the governorate. The IS conquest of large swaths of northwestern Iraq in 2014 triggered a wave of internal displacement, with many of the IDPs seeking refuge in Iraqi Kurdistan, including Dohuk governorate. IOM estimated in September 2014 that more than 75,000 IDP families were residing in the governorate, the highest number of IDPs in any Iraqi governorate. By June 2015 this number increased to more than 441,000 individuals. The majority of them

fled from the neighboring governorate of Ninewa, with a much smaller number hailing from Anbar. A large number of them are members of various religious minorities, including Yazidis and Christians. The governorate is also hosting more than 100,000 Syrian refugees. The influx of IDPs and refugees is putting great stress on the local economy. For an up to date overview of the numbers and locations of IDPs, refugees and camps in the governorate.

## 4.2 NINEVEH

Nineveh is a governorate in northern Iraq Neighboring Dohuk Governorate to the north, Erbil Governorate to the east, Saladin Governorate to the south-east, and Al Anbar Governorate to the south. In the west it shares a border with Syria, mostly Al-Hasakah Governorate, and also Deir el-Zor Governorate in the south. It has an area of 37,323 $km^2$ and an estimated population of 3,521,000 people in 2014. Its chief city and provincial capital is Mosul, which lies across the Tigris river from the ruins of ancient Nineveh. Tal Afar is the second-biggest city. Before 1976, it was called Mosul Province and included the present-day Dohuk Governorate, which is now part of the autonomous Kurdistan Region. The Tigris River ripples through the province undulating from north to south and divides it into almost equal parts. "The left side and the right side. The terrain of Nineveh Governorate is divided into three sections: the mountainous region, the hills, the corrugated area and the highlands.

Weather in Nineveh, winter is mild, but it's certainly not tropical: the January average is 7 °C (44.5 °F). From December to March, it rains for 7/10 days per month, and sunny days alternate with periods of bad weather. At night, it often gets cold, and the temperature can sometimes drop a few degrees below freezing (0 °C or 32 °F). Summer in Mosul is very hot, with a relentless sun, and with daytime temperatures of 43 °C (109 °F) in July and August, but with peaks of 47/48 °C (117/118 °F); fortunately, ho Throughout the year, in Mosul, 365 mm (14.5 in) of rain fall: they are not many, but they are concentrated between November and April, with very few rains in May and October, while it almost never rains between June and September air humidity is low.

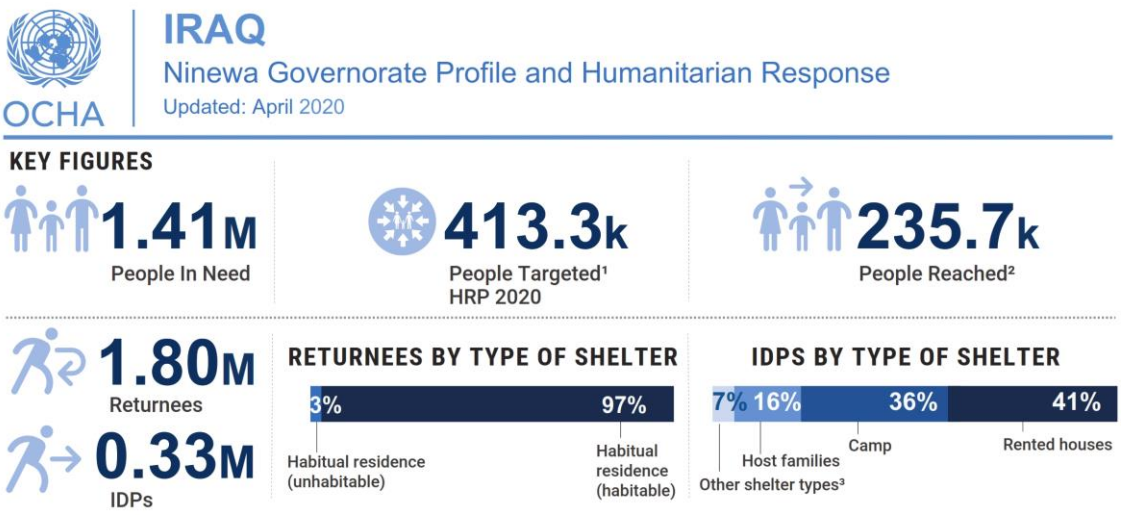
Agriculture is a key component of Ninewa's economy, particularly cereal production. The governorate produces sugar cane, sunflower, vegetables and herbs. The Provincial Government plans to improve farming methods, infrastructure, inputs and investment to stimulate the sector. However, Ninewa has been severely affected by successive years of drought, with 47% of all

cropland impacted in the last two years. Some farmers are unable to afford seed to replant for the 2009- 2010 crop. Industrial activity consists mainly of cement, sugar, textiles, and beverage factories.

Nineveh performs poorly according to many development and humanitarian indicators. Telafar, Sinjar, Al-Ba'aj and Hatra districts have among the worst rates of connection to the general water network in Iraq. All districts apart from Hatra have prolonged power cuts or are not connected to the general electricity network. Education levels are of concern. The proportion of women without a primary education is above average in all districts, reaching 90% in Hatra. Rural intermediate school enrolment rates are among the worst in Iraq, with 17% of boys and just 4% of girls aged 12-14 enrolled.

An ethnically, religiously and culturally diverse region, it has been subject to attacks by the terrorist organization known as the Islamic State of Iraq and the Levant, with Mosul being captured on 10 June 2014, and many places of worship and historic ruins and monuments destroyed. A massive offensive to retake the city, dubbed Operation "We Are Coming, Nineveh" began in October 2016 and ended with governorate liberation in 10-07-2017.

Three years have passed since the liberation but the signs of destruction can still be seen almost every where you look. The WBG EODP program, UNDP program, GCFI-KFW program and others all participating in the reconstruction of the stricken governorate.



## 4.3 SALAH AL-DIN

The Saladin or Salah ad Din Governorate is a governorate in Iraq, north of Baghdad The province is named after the great leader Saladin. The governorate has an area of 24,363 km2. The estimated population in 2014 was 1,510,000 people. The capital is Tikrit; the governorate also contains the significantly larger city of Samarra. Before 1976 the governorate was part of Baghdad Governorate.

It consists of the following districts:

- **Samarra**

  Samarra is the largest city in Salah al-Din Governorate. Samarra is an historic Iraqi city located on the east bank of the Tigris River in Salah al-Din Governorate, 125 km north of the capital, Baghdad, bordered to the north by the city of Tikrit, to the west by Ramadi, and to the east by Baquba, considered one of the most important holy cities in Iraq, due to the presence of the mausoleum of Imam Ali al-Hadi and Hassan al-askary.
- **Tikrit**

  Tikrit, the second largest city in Salah al-Din Governorate. Tikrit is the capital of the province. The city is located on the right bank of the Tigris River, 180 kilometers north of Baghdad, and 330 kilometers south of Mosul. It tilts with a steep edge on the Tigris River, with a height of approximately 45 - 50 m.
- **Baiji**

  Baiji, the third largest city in Salah al-Din Governorate. Baiji is a city located in Salah Al-Din Governorate, about 210 km north of Baghdad, in the middle of the road leading to the city of Mosul. It has the largest oil refinery in Iraq called the Al Samoud Refinery (formerly Baiji Refinery).
- **Tuz Khurmato**

  Khurmato is the fourth largest city in Salahuddin Governorate. Tuz Khurmato or Al-Tuz or Al-Duz (Turkmenistan: Tuzxurmatu) is an Iraqi city located in the northeast of Iraq and belongs administratively to Salah al-Din Governorate and before that it was returning to the Kirkuk governorate until the administrative amendments were made in 1976, the city is inhabited by a majority of Shi'a Turkmen in addition to Arabs and Kurds.
- **Dujail**

Dujail is the fifth largest city in Salah al-Din Governorate. Dujail is one of the most famous cities in Salah al-Din Governorate, located 60 kilometers north of Baghdad, and its population is about 100,000 people. It is famous for its orchards and fertile agricultural lands. The city is famous for cultivating many types of trees, such as oranges, pomegranates and grapes.

- **Sharqat**

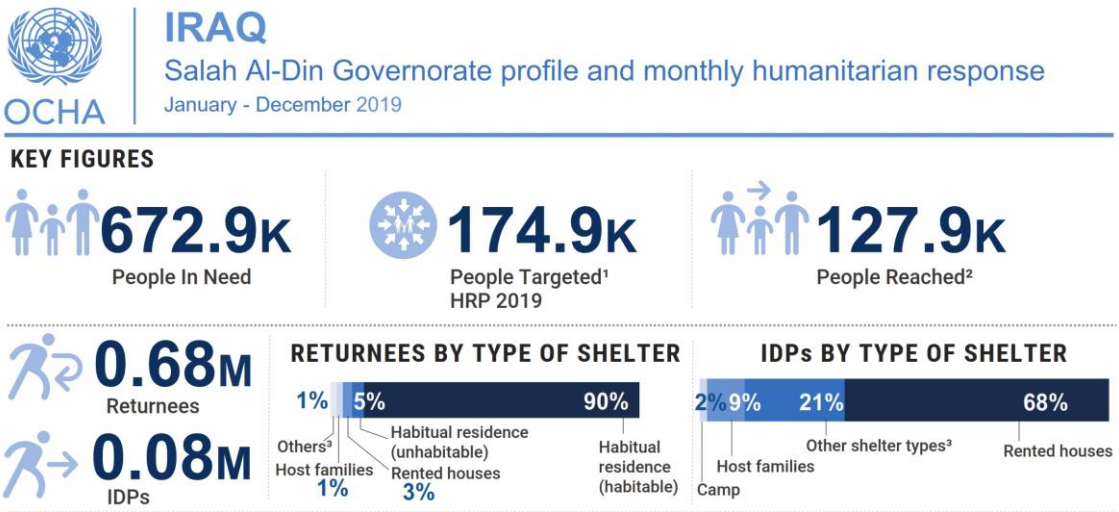
  Al-Sharqat is the sixth largest city in Salah Al-Din Governorate. Al-Sharqat or Ashurkat is one of the most famous cities in Salah al-Din Governorate. The archaeological site in Al-Sharqat dates back to 3000 BC, which makes Al-Sharqat (Assyria) one of the oldest cities in Iraq and the whole region. The city is also adjacent to the famous historical city of Hatra.

- **Balad**

  Balad is the seventh largest city in Salah al-Din Governorate. Balad is an Iraqi city north of Baghdad, and it is one of the largest districts in Salah al-Din Governorate. With a population of 80,000, the city embraces the tomb of Sayyid Muhammad bin Imam Ali al-Hadi.

- **Dhuluiya**

  Dhuluiya is the eighth largest city in Salah al-Din Governorate. Dhuluiya is an Iraqi city located 80 km to the north of the capital, Baghdad, on the east bank of the Tigris River, with a population of about 55 thousand people, and it is an administrative unit hand in the direction of Balad in Salahuddin Province.



## 4.4 DIYALA


Source map: IAU

**Diyala at a Glance**

**Fast Facts**

| | |
|---|---|
| Area: 17,685 km$^2$ | Capital City: Ba'qubah |
| Average High Temperatures: 15°C (January) to 44°C (July) | Average Low Temperatures: 3°C (January) to 25°C (July) |
| Population: 1,133,627 | Population Distribution Rural-Urban: 25,5%-74,5% |

**Geography and Climate**

The governorate of Diyala is located in eastern-central Iraq, bordering Iran and sharing internal boundaries with the governorates of Baghdad, Salah Al-Din, Sulaymaniyah and Wassit. In the north the Hamrin mountain range crosses the governorate, giving way to desert plains in the south. The man made Hamrin Lake, formed by a dam on the Diyala River, is located approximately 50 km northeast of the governorate's capital of Baqubah. The construction of dams on the tributary rivers of the lake in Iraqi Kurdistan and neighboring Iran has been

significantly lowering water levels over the past years, thereby threatening the governorate's water supply, which for an important part depends on the lake. The Diyala River and a number of other smaller rivers intersect Diyala, while the Tigris River crosses the southwestern borders of the governorate. Irrigated farmland stretches along these rivers. Diyala has a typical dry desert climate. In summer temperatures easily exceed 40°C, while rainfall is very limited and restricted to the winter and early spring.

**Population and Administrative Division**

Diyala has an ethnically and religiously diverse population. Arabs, Kurds and Turkmen all live in the governorate. Religious communities in the governorate include Sunni and Shia Muslims, Christians, Yezidi's and Ahl Al-Haqq, a religious group with roots in Shia Islam. Among the Kurdish population is also a community of Failli Kurds, a Kurdish group living in southeastern Iraq and western Iran, near the border between the two countries. The Failli's are predominantly Shia Muslims. The governorate of Diyala is divided into seven districts: Kifri, Makmoor, Al-Muqdadiya, Baladrooz, Baquba, and Khanaqin. There are unresolved territorial disputes between the Kurdistan Regional Government (KRG) and the central government on the administrative status of the districts of Baladrooz, Khanaqin and Mandali.

**Economy**

Agriculture has traditionally been one of the main economic activities in Diyala. The governorate is famous for its production of dates and citrus, and livestock and poultry farms are also to be found in the governorate. The Khanaqin area is the location of an oilfield and an oil refinery.

Private sector development is being hampered by the poor infrastructure in the governorate.

The Al-Munthiriyya border crossing connects Diyala with neighboring Iran. The University of Diyala is located in the governorate's capital Ba'qubah.

**Humanitarian**

**Issues**

ISIS left numerous booby-traps in Diyala before being driven from the governorate. These and other improvised explosive devices (IEDs) and unexploded ordnance (UXO) continue to threaten civilians and humanitarians in the governorate. The percentage of Diyala's population living under the poverty line of $2,5 a day in is lower than the national average and decreased from 18,5% in 2007 to 10,3% in 2011. It should be noted that major differences exist between the districts of the

governorate, with almost 30% of the inhabitants of Baladrooz living under the poverty line, a number which drops to less than 10% in Al-Muqdadiya, Ba'qubah and Kifri. In contrast with the relatively low poverty the governorate has one of Iraq's highest numbers of unemployment.

| | **Population under the poverty line** | **Unemployment** | **Enrollment primary education** | **Enrollment secondary education** | **Literacy** |
|---|---|---|---|---|---|
| **Diyala Governorate** | 10,3% | 15% | 92,3% | 45,8% | 84,2% |
| **National Averages** | 11,5% | 11,3% | 90,4% | 48,6% | 79% |

2011 data indicate that both the literacy rate and the enrollment rate in primary education in Diyala exceed the national average, but the enrollment rate for secondary education dropped from 48,2% in 2006 to 45,8% in 2011. As in other governorates the female enrollment rate for both levels of education is below the enrollment rate of males.

The availability of public services in Diyala is lower than in the rest of Iraq. Only 74,8% of the governorate's inhabitants has sustainable access to an improved water source, which is the lowest of the entire country. More than 20% of Diyala's households rely on a source other than the public water network to fulfill their water needs. Access to the public sewage system is also lower than average in Diyala, with only 0,8% of the governorate's population primarily relying on it of waste water disposal. As in other parts of the country power cuts are frequent in Diyala, forcing almost 60% of the governorate's inhabitants to rely on a secondary power source besides the public network like private or shared generators to fulfill its power needs.

Diyala's history as a hotbed for ethnic and sectarian conflict led to a large number of displaced persons even before the recent combat with ISIS in the governorate. The ISIS onslaught and following military operations forced even more people into displacement. Most IDPs hailing from Diyala fled to locations within the governorate itself. Diyala also hosts smaller groups of IDPs mainly coming from Anbar, Ninewa and Salah Al-Din. For an up to date overview of the numbers and locations of IDPs, refugees and camps in the governorate.

## 4.5 AL-MUTHANNA

### Muthanna Governorate Profile


Source map: JAPU

**Muthanna at a Glance**

**Fast Facts**

| | |
|---|---|
| Area: 51,740 km$^2$ | Capital City: Samawah |
| Average High Temperatures: 15°C (January) to 42°C (July) | Average Low Temperatures: 7°C (January) to 30°C (July) |
| Population: 682,520 | Population Distribution Rural-Urban: 56,3%-43,7% |

**Geography and Climate**

The governorate of Muthanna is located in southwestern Iraq. Muthanna borders Saudi-Arabia and shares internal boundaries with the governorates of Najaf, Qadissya, Thi-Qar and Basrah. The governorate's landscape is dominated by desert plains, with only a narrow ribbon of irrigated farmland along the Euphrates River in the north. Lake Sawa, a salt lake, is located to the west of

the governorate's capital Samawah. The climate in Muthanna is a dry desert climate. In summer temperatures easily surpass 40°C, while rainfall is very limited and restricted to the winter months.

**Population and Administrative Division**

The majority of Muthanna's inhabitants are Shia Arabs. The population is concentrated along the Euphrates River in the north of the governorate, while the southern desert districts are only sparsely populated. The governorate is divided in to four districts: Al-Samawa, Al-Khidhir, Al-Rumaitha and Al- Salman.

**Economy**

Much like other governorates in the south, the governorate of Muthanna had been neglected by the government. The Iran-Iraq war, the invasion of Kuwait, the UN sanctions regime and the 2003 invasion, also hindered the economic development of Muthanna.. Muthanna is an important center for the production of cement and other construction materials. In 2005 an oil refinery was opened in Muthanna, which processes crude oil from the Kifl oil field. The salt waters of Lake Sawa provide salt, which is used as a raw material in various industries. The lake's touristic infrastructure has dilapidated over the years, but the area still holds the potential to be developed into a touristic hotspot.

A number of archeological sites are spread out throughout the governorate and could also attract visitors from inside and outside Iraq. The railroad between Baghdad and Basra passes through Samawah, which combined with its location on the border with Saudi-Arabia, could make the governorate an important logistical center for both goods and persons, especially pilgrims. Samawah also hosts the university of Al-Muthanna.

The Euphrates River and palm groves nearby Samawah. Source: Wikimedia Commons

**Humanitarian Issues**

| | Population under the poverty line | Unemployment | Enrollment primary education | Enrollment secondary education | Literacy |
|---|---|---|---|---|---|
| **Muthanna Governorate** | 29,4% | 14,5% | 85,9% | 33,5% | 67,1% |
| **National Averages** | 11,5% | 11,3% | 90,4% | 48,6% | 79% |

The governorate of Muthanna is one of the poorest governorates of Iraq. Even though the percentage of people living under the poverty line of $2,5 a day decreased from 38,2% in 2007 to 29,4% in 2011. As by UNICEF, State of The World's Children 2015 Country Statistics Table, http://www.unicef.org/infobycountry/iraq_statistics.html 25/02/2015. All other data are from JAU, Muthanna Governorate Profile (2013), http://www.iau-iraq.org/gp/print/GP-Muthanna.asp 25/05/2015.

Population living in poverty is still almost thrice the national average. Food insecurity and unemployment are other issues affecting the inhabitants of Muthanna. Both poverty and unemployment vary considerably between the districts of the governorate.

Regarding literacy and education, Muthanna scores considerably lower than the national averages. The literacy rate in Muthanna is the lowest of the entire country, and access to both primary and secondary education is limited.

Access to drinking water is limited in the governorate of Muthanna. Only 77,8% of the population has sustainable access to an improved source of water and only 66,7% of the households is connected to the public water network, percentages which are considerably lower than the national averages. Even when households are connected to the public network, drinking water is often only available for a few hours daily, forcing more than 80% of the population to rely on other sources like water tankers or bottled water to satisfy their water needs. Muthanna also scores below average regarding access to sanitary facilities. 91,8% of the governorate's inhabitants have access to an improved sanitation facility, slightly lower than the national average of 93,8%. The situation regarding waste water disposal however is worse: less than three percent of Muthanna's households relies on the public sewage system, with the overwhelming majority using septic tanks or covered canals for waste water disposal.

The public electricity network is the first source of power for 97,8% of the governorate's households, but given the fact that nearly 60% of the population faces power cuts of at least three hours daily it is no surprise that more than 70% of the governorates inhabitants also use private or shared generators to satisfy their electricity demands.

The governorate of Muthanna is hosting a relatively small number of IDPs. The overwhelming majority of these IDPs are hailing from Ninewa, with a smaller group coming from Anbar or other governorates. The majority of these IDPs was displaced following the IS conquests in the summer of 2014. For an up to date overview of the numbers and locations of IDPs, refugees and camps in the governorate.

## 4.6 AL-NAJAF

### Najaf Governorate Profile


Source map: JAPU

### Najaf at a Glance

### Fast Facts

| | |
|---|---|
| Area: 28,824 km$^2$ | Capital City: Najaf |
| Average High Temperatures: 14°C (January) to 42°C (July) | Average Low Temperatures: 6°C (January) to 29°C (July) |
| Population: 1,220,145 | Population Distribution Rural-Urban: 28,9%-71,1% |

### Geography and Climate

The governorate of Najaf is located in southwestern Iraq and borders Saudi-Arabia. Najaf also shares internal boundaries with the governorates of Anbar, Kerbala, Babil, Qadissiya and Muthanna. Desert plains dominate the landscape of the governorate. A ribbon of irrigated

farmland runs along the course of the Euphrates River, which intersects the governorate near its eastern border.

Najaf has a typical dry desert climate. The summers are hot and dry, while precipitation is very low and limited to the winter months. The governorate receives an average amount of only 99mm of rainfall a year.

**Population and Administrative Division**

Shia Arabs are the dominant ethnic-religious group in Najaf. Except for the area near the Euphrates River in northeastern Najaf, the governorate is sparsely populated. The governorate is divided into the following three districts: Al-Najaf, Al-Kufa and Al-Manathera.

**Economy**

The city of Najaf hosts the shrine of Ali Ibn Abi Talib, making it a holy place for both Shia and Sunni Muslims. The governorate is also the location of the Wadi Al-Salam (valley of peace), an important Shia burial ground and the city of Najaf is a prominent center of Shia learning. These holy sites draw a lot of pilgrims and religious tourists to the governorate, making the tourism sector one of the most important components of Najaf's economy, contributing almost 30% to the governorate's GDP.

Najaf also hosts a number of industrial activities, including the production of cement and other building materials, mineral and hydrocarbon extraction and agribusiness. The governorate's farmers mainly produce wheat, rice dates and vegetables. The University of Kufa is located in the governorate's capital of Najaf, which also hosts an international airport. The governorate's economic development is hindered by poor infrastructure and a lack of private investment. A lot of jobs in agriculture and trade are also unwaged.

The Imam Ali Mosque in Najaf. Source image: Wikimedia Commons

During the past few years the governorate of Najaf has remained relatively peaceful. The governorate of was also spared from the onslaught of the IS conquest in 2014, which swept over large parts of northwestern Iraq.

**Human Development Issues**

| | Population under the poverty line | Unemployment | Enrollment primary education | Enrollment secondary education | Literacy |
|---|---|---|---|---|---|
| **Najaf Governorate** | 8,1% | 10,4% | 90,3% | 39,3% | 76,4% |
| **National Averages** | 11,5% | 11,3% | 90,4% | 48,6% | 79% |

The governorate of Najaf scores above average on a number of humanitarian parameters. The number of people living below the poverty line of $2,5 a day is lower than the national average, and so are the unemployment figures. The poverty level also decreased from 15,4% in 2007 to 8,1% in 2011.Regarding illiteracy and education enrollment rates Najaf however compares poorly

to most other governorates of Iraq. Enrollment rates for female students are also below the enrollment rates of their male counterparts.

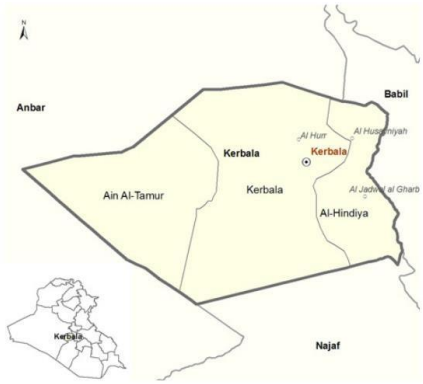
90,3% of the households in Najaf have sustainable access to an improved water source and 97,8% is connected to the public water network, figures that are higher than the national average. However, just like in other regions of Iraq, the availability of drinking water, both in quality and quantity, is deemed to be insufficient by the bigger part of the governorate's inhabitants. The greater majority of Najaf's inhabitants thus also rely on bottled water or other sources of water to fulfill its water needs. The percentage of households with access to an improved sanitation facility (92,5%) is slightly lower than the national average. The governorate scores worse than other governorates in terms of waste water management, as only 12,5% of Najaf's inhabitants use the public sewage system as their first method for disposing of waste water. 61,8% of Najaf's households use a septic tank with almost twenty percent relying on a covered canal.

As in most other governorates of Iraq, the public electricity network is unreliable, forcing more than 90% of Najaf's households to supplant or replace the network with a private or shared generator.

Following the IS conquests in 2014 the governorate of Najaf attracted a large number of internally displaced persons (IDPs). Najaf also received new IDPs who fled the violence which broke out in Anbar in April 2015. A lot of IDPs in Najaf are residing in informal settlements, where access to food, water and health and sanitary services are not guaranteed. IDPs staying in religious buildings or other forms of Informal or vulnerable settlement like schools or unfinished and abandoned buildings also risk eviction. Smaller groups of IDPS are staying in rented housing or with the host community (friend, relatives or unrelated families). For an up to date overview of the numbers and locations of IDPs, refugees and camps in the governorate please consult.

## 4.7 KARBALA

### Kerbala Governorate Profile




Source map: IAU

### Kerbala at a Glance

**Fast Facts**

| | |
|---|---|
| Area: 5034 km$^2$ | Capital City: Kerbala |
| Average High Temperatures: 14°C (January) to 43°C (August) | Average Low Temperatures: 6°C (January) to 30°C (July) |
| Population: 1,012,356 | Population Distribution Rural-Urban: 33,5%-66,5% |

### Geography and Climate

The governorate of Kerbala is one of Iraq's smallest governorates and is located in the south west of the country. Irrigated farmland stretches along the Euphrates River in the east of Kerbala, while the western parts of the governorate are made up of desert plains. The saline Razazah Lake is located a few kilometers to the west of the city of Kerbala, the governorate's capital. Kerbala shares internal boundaries with the governorates of Anbar, Babil and Najaf.

Kerbala has a typical dry, desert climate. The temperatures easily reach 40°C or more in summer, while rainfall is very limited and concentrated in the winter months.

### Population and Administrative Division

Shia Arabs are the dominant ethnic-religious group in Kerbala. A small Sunni community is also residing in the governorate. Kerbala is divided in three districts: Kerbala, Ain Al-Tamur and Al-Hindiya.

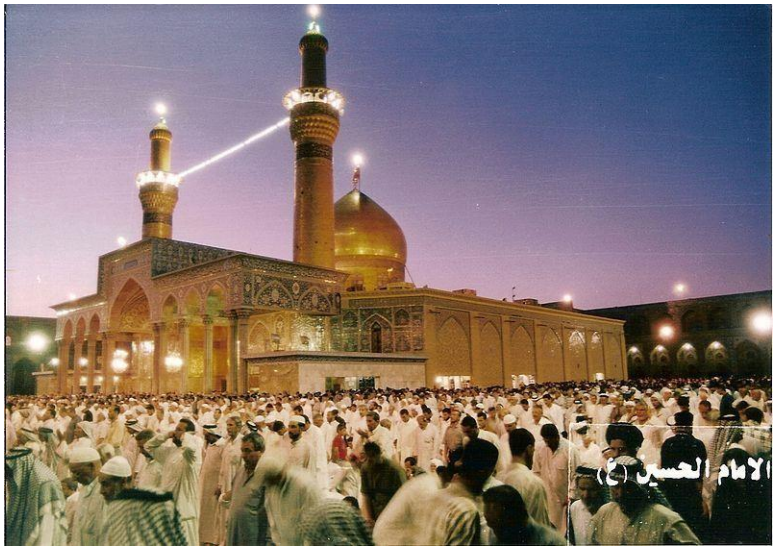
**Economy**

The economy of Kerbala is based around two main sectors: agriculture and (religious) tourism. Kerbala's agricultural businesses grow a variety of fruits, vegetables and orchard produce. The shrine of Imam Hussain in Kerbala is one of the holiest sites for Shia Muslims worldwide, and every year millions of pilgrims from inside and outside Iraq visit the governorate. Other religious and archeological sites, as well as natural attractions like the Razazah Lake, also attract tourists.

Sand quarries in Kerbala have the potential to be developed into important suppliers of resources for the construction industry. The governorate's capital hosts the University of Kerbala.

Insecurity and attacks on pilgrims have had a negative impact on the number of pilgrims visiting Kerbala. The IS conquests in 2014 and the ongoing confrontation between militants and the Iraqi security forces are also scaring away many visitors, especially those coming from countries outside Iraq, like Iran. The dwindling numbers of visitors are leading to a loss of jobs in the tourism sector.

Outdated machinery and the wide availability of cheap imported products are also slowly pushing Kerbala's once famous food canning factories out of business.



The Imam Hussain shrine in Kerbala. Source: Wikimedia Commons

The governorate of Kerbala escaped the onslaught of ISIS which swept large parts of northwestern Iraq in 2014.

**Humanitarian Issues**

Despite the string of bomb attacks on pilgrims, Kerbala is one of the safer governorates of Iraq with a relatively low number of security incidents.

| | **Population under the poverty line** | **Unemployment** | **Enrollment primary education** | **Enrollment secondary education** | **Literacy** |
|---|---|---|---|---|---|
| **Kerbala Governorate** | 11,4% | 9,6% | 88,7% | 43,3% | 79,4% |
| **National Averages** | 11,5% | 11,3% | 90,4% | 48,6% | 79% |

The number of people living under the poverty line of $2,5 a day in the governorate of Kerbala is almost equal to the national average. It should however be noted that both poverty and food insecurity drastically decreased over the past few years. Despite a significant increase in the enrollment rate for secondary education recently, Kerbala still scores below the Iraqi average enrollment rates for both primary and secondary schooling. Even though unemployment is somewhat lower than in most other governorates of the country, the employment rate for women (10,8%) is among the lowest of all Iraq.

92,7% of Kerbala's inhabitants are connected to the public water network. Less than 60% of the governorate's households however rely on the public network as their first source of drinking water, with the others using bottled water or water tankers to satisfy their water needs. For waste water disposal only 27% of Kerbala's population relies on the public sewer network, with the remainder using septic tanks or covered canals outside their houses.

The public electricity network is the first source of power for 91% percent of Kerbala's households, but as almost 95% of the population reports daily power cuts of twelve hours or more it is no surprise that the majority of people also use private or shared generators to provide electricity.

Following the ISIS conquest of large swaths of northwestern Iraq in 2014, the country witnessed a wave of internal displacement.

A large number of IDPs are staying in so called vulnerable settlements, which include religious buildings, schools and unfinished buildings which often lack crucial amenities like water and electricity, and IDPs staying there often lack access to food and health services. IDPs staying in these forms of settlement are also at risk of eviction, while others renting housing face difficulties paying for the rent.

## 4.8 AL- QADYSIYA

### Qadissiya Governorate Profile


Source map: IAU

### Qadissiya at a Glance

### Fast Facts

Area: 8153 $km^2$

Capital City: Diwaniya

Average High Temperatures: 15°C (January) to 42°C (July-August)

Average Low Temperatures: 6°C (January) to 27°C (July)

Population: 1,076,658

Population Distribution Rural-Urban: 43,5%-56,5%

### Geography and Climate

The governorate of Qadissiya, alternatively spelled as Qadisiyah or Kadissiya, is located in the plains of south central Iraq. Qadissiya borders the governorates of Muthanna, Najaf, Babil, Wassit and Thi-Qar. The Euphrates and one of its major tributaries, the Shamiya River, both run through the governorate. This abundance of water and rich soil make the governorate one of the most fertile areas of the country.

Qadissiya has a typical desert climate, with hot, dry summers and cooler winters. Rainfall is limited to the winter season and averages at 110 mm yearly.

**Population and Administrative Division**

The majority of Qadissiya's inhabitants are Arab Shias. The governorate is divided in the following districts: Diwaniya, Afaq, Al-Shamiya and al Al-Hamza.

**Economy**

Thanks to its fertile farmland, agriculture is one of the main components of the governorate's economy. Rice, wheat and barley are the main crops cultivated in Qadissiya, while hibiscus and melon are also grown on a smaller scale. A number of factories producing tires, dairy and cotton textiles are located in Qadissiya. Diwaniya, the governorate's capital, hosts the University of Qadissiya. A number of archeological and religious sites are located in the governorate, and could be developed into major touristic attractions. Qadissiya's economy is hampered by a number of factors. A large number of jobs provided by the agricultural sector are informal and unwaged. Other economic sectors like industry remain underdeveloped. The informality and underdevelopment of Qadissiya's labor market is one of the explanations for the high number of unemployment and child labor in the governorate.

Ruins of a temple in the ancient Sumerian city of Nippur, located in the modern governorate of Qadissiya. Source: Jasmine N. Walthall

Over the past few years the governorate of Qadissiya remained relatively peaceful. The governorate also escaped the onslaught of the 2014 ISIS conquest of large parts of northwestern Iraq. As in other governorates, calls for more local autonomy for the southern - Shia dominated - region of Iraq have also been heard in Qadissiya.

**Humanitarian Issues**

| | **Population under the poverty line** | **Unemployment** | **Enrollment primary education** | **Enrollment secondary education** | **Literacy** |
|---|---|---|---|---|---|
| **Kerbala Governorate** | 19,2% | 13,7% | 86,6% | 43,5% | 71,5% |
| **National Averages** | 11,5% | 11,3% | 90,4% | 48,6% | 79% |

Qadissiya scores below average on all development parameters. Even though the rate of people living under the poverty line of $2,5 a day decreased greatly from 38,2% in 2007 to 19,2% in 2011, the governorate is still one of the poorest of Iraq. Poverty differs significantly among the various districts of the governorate. Connected to the high level of poverty is the above average rate of unemployment. Food insecurity and child malnutrition decreased significantly over the past few years, with the rate of food insecurity (3%) being only half of the national average of 6% in 2011. Child malnutrition for children under the age of five dropped from 16,7% in 2000 to 7,1% in 2011.

Qadissiya's enrollment rates for both primary and secondary education are below the country's average level. Not unsurprisingly the literacy rate is also below the national average. It should be noted that enrollment rates did improve in recent years: enrollment in primary education rose from 73,2% in 2006 to 86,6% in 2011, while the enrollment in secondary education reached 43,5% in 2011 compared to30,3% IN 2006.

Only 77% of the inhabitants of Qadissiya have sustainable access to an improved source of water, which is one of the lowest figures of Iraq. As only 72% of the households in the governorate is connected to the public water network it is no surprise that approximately 40% of the population relies on another source, like bottled water or rivers and lakes, as its primary source of drinking water. The majority of the people who are connected to the public network only have water for a few hours every day. The management of waste water is another problem for the inhabitants of

Qadissiya: only 15% relies on the sewage network for the disposal of waste water, while the rest of the population uses a covered canal outside the house, or a septic tank. The proportion of households with access to an improved sanitation facility (84,3%) is also below the national average of 93,8%.

Following the IS onslaught in northwestern Iraq, Qadissiya has attracted a considerable number of internally displaced persons (IDPS). The majority of these IDPs fled Ninewa, with smaller groups coming from Kirkuk, Anbar and other governorates. As in other governorates, rented housing or the host community (relatives, friends or unrelated families) are the main shelter arrangement for IDPs in Qadissiya. A considerable number of IDPs is also residing in religious buildings, or other vulnerable settlements like unfinished or abandoned buildings, where they lack access to basic services and risk eviction. For an up to date overview of the numbers and locations of IDPs, refugees and camps in the governorate please consult.

## I. Agriculture

There is little arable land in southern Iraq, but date production represents the majority of the production of the agricultural sector. Historically, Iraq is one of the world's leading producers and exporters of dates, as dates are an essential component of the diet in Iraq. Palm cultivation is economically prevalent in Iraq in 13 of the 18 governorates, and these governorates include: Basra, Maysan, Wasit, Dhi Qar, Muthanna, Qadisiyah, Najaf, Karbala, Babil, Anbar, Baghdad, Diyala, and Salahuddin. In 2014, there were 16,823,052 palm trees in Iraq. There are other products such as wheat, barely, rice, and some fruits and vegetables.

## II. Biodiversity

The combination of rain shortage and extreme heat makes much of Iraq a desert. Some areas, however, although arid, do have natural vegetation in contrast to the desert. The majority of sites important for biodiversity conservation have no protected area status, although many have been recommended for designation. Over 400 species of birds have been recorded in the northern Gulf Region (comprising Kuwait, Iraq, eastern Saudi Arabia and western Iran). The region is especially important as part of the intercontinental flyways used by huge numbers of birds moving between Africa and Eurasia. It has been estimated that some two to three billion migrant birds move south across Arabia each autumn.

## General Economy and infrastructure status

Private consumption and investment in Iraq remain subdued due to an unstable security and political situation, and a poor business environment. Poverty, as estimated by the Iraqi government reached 22.5 % in 2014 nationwide, and in the ISIS-affected governorates, the direct impact of economic, social and security disruptions is estimated to have doubled poverty rates to 44 %. In the South, where poverty rates have always been high, the macro level shocks have increased estimated poverty rates to above 30 %.

## Water, Sanitation Services and Health in Iraq

Overall, Iraq has wide access to water and sanitation services because the government built large hydraulic infrastructure (dams and barrages), mainly in the 1980s. The poor have less access to improved water services than the non-poor, but the access gap between poor and non-poor is declining (World Bank 2017).

## Youth status

Iraq's population is among the youngest in the world. Nearly 50 % of its population is younger than 19 years old and approximately one-third are between 15 and 29 years old. Responsible for this large youth population is a high rate of early marriages and a low-level of female educational enrollment, both of which have a direct impact on fertility rates. Iraq has one of the highest adolescent birth rates in the region with 59 births per 1,000 women, compared to 46 in Egypt, 39.2 in Turkey, and 29.5 in Iran (World Bank, 2015).

## Women status

Women with low levels of education and skills are often self-employed and concentrated in private sector activities. These are usually informal, low-paying jobs with almost no access to benefits such as health insurance, maternity leave, or pensions. Women working in the informal economy or private sector are generally excluded from the protections of the labor code as these do not apply to women "who are engaged in a family enterprise in which only family members work, and which is under the authority and supervision of the woman's spouse, father, mother, or brother" (UNDP Iraq, 2012).

Female labor force participation, at 15 %, is low even relative to rates in the rest of the MENA region, which are themselves, at 20 to 25 %, significantly low by global standards.

Ninety % of Iraqi women of working age are not in the labor force and those who work are often working part-time jobs. Labor force participation rates in Iraq differ according to the education level of women. Parity with men in employment opportunities and pay is reached only if women earn a university or college diploma (UNDP Iraq, 2012). Labor force participation for adult women with intermediate or lower levels of education is less than 10 %, while for those with a secondary education, rates double to 24 %. For women with a secondary and tertiary education, participation reaches 67 %, compared to male participation rates of 70 to 75 %. However, there has been an 8 % decline in employment among the most highly educated women between 2007 and 2012 (World Bank 2017).

**Post-conflict situation and social cohesion in Middle and Southern Iraq**

The 2019–2020 Iraqi protests, also called the October Revolution are an ongoing series of protests that consisted of demonstrations, marches, sit-ins and civil disobedience. They started on 1 October 2019, a date which was set by civil activists on social media, spreading over the central and southern provinces of Iraq; to protest corruption, unemployment and inefficient public services. The protest then escalated into full-scale calls to overthrow the administration. The Iraqi government has used live bullets, marksmen, hot water, hot pepper gas and tear gas against protesters, leading to many deaths (over 600 deaths) and thousands of injuries.

The protests stopped on 8 October (for the religious holydays) and resumed on 25 October. Prime Minister Adil Abdul-Mahdi announced on 29 November that he would resign.On 26 December, President Barham Salih submitted a letter of resignation after refusing to appoint the governor of Basra, Asaad Al Eidani, who was nominated by the al-Binaa alliance, an Iran-backed parliamentary bloc, as the new Prime Minister, stating that Al Eidani would not be approved of by the demonstrators.

According to the BBC, the protestors called for the end of the corrupted political system which has existed since the US-led invasion ousted Saddam Hussein and has been marked by sectarian divides. The protests are the largest incident of civil unrest since 2003.

The southern governorates remain relatively stable compared to Iraq´s other governorates. However, they still witness tribal clashes and disputes since 2003, due to social conflicts. Governmental and non-governmental organizations have launched several initiatives in the past to

encourage rival tribesmen to sign petitions to stop their fighting, which claimed the lives of many people over the years.

Tribal struggles in Iraq are weakening efforts to reconstruct the country following the defeat of Islamic State, which occupied large parts of the country since June 2014. The full extent of the fighting, numbers of casualties, and especially the identification of tribes involved is not comprehensively covered by local media sources. More is revealed on local social media outlets; however, this information is more difficult to corroborate.

**Iraqi Land Tenure**

The land tenure system in Iraq have a rooted background and clearly defined place in society, and an implicit acceptance by the population. Iraqi land institutional structures have powerful implications over land tenure arrangements and security. In fact, the institutional framework for land administration in Iraq shows varied levels and functions. In fact, groups of ministries and commissions manage and monitor the land tenure administration in Iraq, which respectively are financially and administratively governing the Iraqi land system seeking to provide the elements of a secure environment for land policies, planning and producing end-user's rights.

According to the Iraqi Ministry of Planning (2016), there are currently (4) ministries, and (2) independent agencies playing various roles in the Iraqi land sector[7].

At the national council level, the four ministries mentioned below represent the Iraqi land authorities (ILAs) interconnected organizations at the national urban planning sectors in Iraq:

1. The Ministry of Agriculture (MoA) merges several departments to supervise the application of agricultural legislation for the various activities related to the organization of farm ownership, farmlands transactions and land and patterns of agricultural possession rights.

2. The Ministry of Justice (MoJ) and according to the Ministry of Justice Law No. (18) for the year 2005, the ministry has emerged a new institution which holds the judicial activities of the Iraqi Supreme Judicial Council and the rest of the activities of the judicial competence. Moreover, real estate registration departments are supervised by the ministry as well, and later added the Iraqi corrections department.

[7] Al-Ossmi, L. H., & Ahmed, V. ("Land tenure administration: Towards a regulatory backdrop to land tenure in Iraq - *Land Use Policy 57*," 2016)

3. The Ministry of Construction & Housing (MoC&H) is responsible for the implementation of the national housing plans, and the general budget of the state related to public buildings sector projects. In other words, MoC&H is the Iraqi national housing authority, which coordinates with local governments units at the provinces level to implement housing programs. In fact, following MoC&H laws (decision 39 for the year 2001) Iraqi government has managed to develop national housing office to represent the MoC&H in the private housing sector activities and tasks.

4. The Iraqi Ministry of Municipalities & Public Works (MoM&PW) has a key role in developing national policy gathering all municipal aspects. In accordance to the Iraqi Law of Municipalities (No.44/year 1935) and its national duties, MoM&PW focuses on the implementation of the basic designs of cities facilities (MoM&PW, 2016). As part of the foundations of the MoM&PW, a Commission such as the General Directorate of Urban Planning (GDoUP) are required to handle the tasks and duties of the urban planning of the ministry for the Iraqi local level (Act No. 2, 2007; law No. 19, 2009). Therefore, the GDoUP directly supervises the performance of urban development plans for cities across the different urban planning bodies involved in provinces levels such as the Physical Planning Committee (PPC) and Municipalities Offices (MOs).

   In addition, at the city council level (or local level), the Physical Planning Commission (PPC) and the Municipalities Offices (MOs) are also taking part in the Iraqi land institutional structure, which embeds both land authority's and council's views:

   - The Physical Planning Commission (PPC) primary role is to supervise and monitor the implementation of local developments and land use regulations at the provinces/city urban councils, and coordination with MOs at the neibourhood's level. PPC is working under the control of GDoUP, as a local government and at provinces level (Iraqi resolution No.31 for the year 1948; law No.19, 2009).
   - The Municipalities Offices (MOs), which represents the local government department of MoM&PW, according to the Iraqi law of administration to municipalities (No.165 of 1964), MOs work to cooperate with the competent authorities to organize and coordinate the town services according to a regulatory scheme duly certified by the competent authorities. Thus, MOs work under the supervision of MoM&PW via the GDoUP and the PPC to ensure

implementation schemes inside the boundaries of city's master plan and the surrounding villages.

Figure 4 summarizes the interrelation of Iraq's multiple key stakeholders (6 agencies of the Iraqi Land Authorities (ILAs)) involved in the principal mechanism to foster an effective Land Tenure Administration (LTA) in the ILAs. In addition, the figure below showcases the land institutional prominent hierarchies, legitimately executed on a national level, province and city levels.

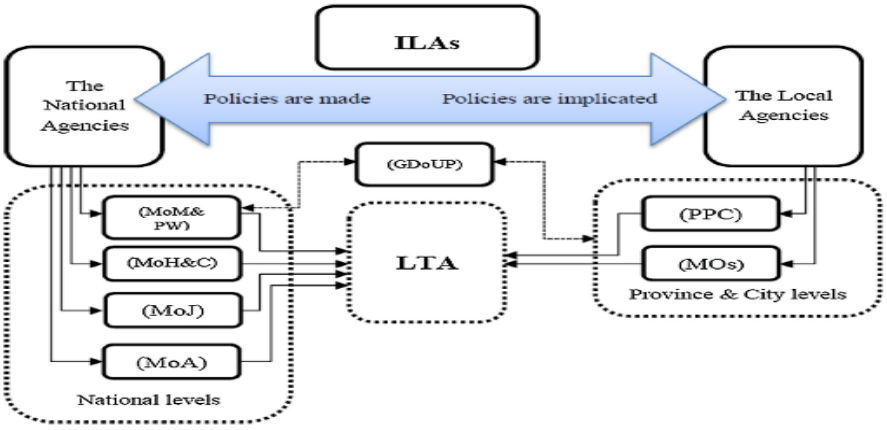



**Figure 4.** Overview of the ILAs Structure. (Source: Al-Ossmi, L. H., & Ahmed, V. (2016)/ *Land Use Policy 57*)

In practice, Iraqi authority's policies in relation to land tenure are devoted to land delivery, property, finance, building materials and standards; as regards policy reform and capacity building. According to Figure 4 above, the ILA's Organizational Structure reflects a primary problem in the completion of an effective implementation of a LTA as it does not ensure the institutional efficiency to monitor these planning and management policies, it only reflects the ILA's structure capabilities in setting these policies.

Thus, the ILA's structure lacks legislation and technologies promoting land tenure security operating between land users and land policies to ensure that individual and community land rights are documented and protected.

### The Iraqi historical background of LTA

The historical development of LTA has been influenced by the rapid transformation of the political, social and international spheres systems that could be traced starting from the contemporary history

of Iraq. The development the LTA in Iraq relies on Iraqi's administration shifts, which could be divided into four distinctive eras according to historical hierarchies and to the existing LTA forms:

- The Ottoman land reforms in Iraq (1534):
- British occupation (1914)
- Socialism influences in Iraq (1958-1963)
- Nationalism influences in Iraq (1970s)

# CHAPTER FIVE: ENVIRONEMNTAL AND SOCIAL MANAGEMENT FRAMEWORK

## 5.1 POSITIVE ENVIRONMENTAL AND SOCIAL IMPACT IDENTIFICATION

During the project's implementation phase, the following benefits are expected:

- Income generation through the creation entrepreneurship and employment opportunities to disadvantaged rural inhabitants in lagging areas of Iraq;
- Development of small businesses (food, shops, etc.);
- Increased income through the procurement of local and imported materials sold on the domestic market.
- Improve the livelihood of local population, and strengthen their entrepreneurial capacity

After the project implementation, the following positive impacts are expected:

- Improved access to markets, health centers and schools in these areas.
- Improved quality of traveling
- Improved safety, due to improved road condition
- Increased economic activities stemming from the development of businesses and commerce movement.
- Access to information services and remote villages.
- Reducing travelling time which might result in reducing gas expenses.
- Sustainable poverty reduction and local economic and social development.

## 5.2 NEGATIVE ENVIRONMENTAL AND SOCIAL IMPACT IDENTIFICATION

### 5.2.1 Implementation Phase

Table 4-1 entails safeguard issues and potential negative impacts that are associated with the project during the **implementation phase**. All the impacts listed below are largely of low to moderate significance. The anticipated impacts are limited to the specific routes and sites, hence localized. They are reversible and time limited. Mitigation hierarchy has been applied in order to avoid or minimize the impacts. Residual impacts are highlighted where applicable.

### Table 5-1: Environmental and Social Impact Identification during the Project Implementation Phase

| Environmental and Social Impact Identification during the Implementation Phase | |
|---|---|
| **Project Activity/aspect** | **Potential Negative Risk/Impact[8]** |
| Tender and Selection phase | Dissatisfaction among local residents who were not hired/selected |
| Tender and Selection phase | Risk of ERW (explosive remnants of war) presence in different project areas, including UXO (unexploded ordnance), and AXO (abandoned explosive ordnance) must be considered especially during selection of the 50 subprojects. |
| Implementation of general maintenance work: Cleaning of shoulders, drainage system and bridges, vegetation control, slopes and retaining walls, installation of simple protection measures, and/or minor surface repairs | Escalated concerns/complaints not managed properly from the community as well as the project's different types of workers |
| | Improper Management of solid, liquid, and hazardous wastes and hazardous materials (resulting in soil and surface water contamination. |
| | Improper disposal of wastewater from project's sites resulting in soil and surface water contamination. |
| | Unallowable noise emissions |
| | Unallowable air and dust emissions |
| | High consumption of water, energy and other resources |
| | Soil /groundwater/surface-water contamination from accidental fuel/engine oil spill refueling |
| | Occupational health & safety in relation to, but not limited to:<br>- Physical hazards from maintenance work and waste<br>- Physical hazards from equipment and vehicles<br>- Fire Hazard<br>- Slippage and Falling<br>- Manual handling and lifting<br>- Electrocution<br>- Contact with live power lines<br>- Heat exhaustion<br>- Increased risk of spread of communicable diseases in general and in specific COVID-19 |
| | Community health & safety in terms of car accidents or work-related incidents |
| | Traffic congestion and blockage of access |

[8] Impacts on biodiversity (flora and fauna), cultural heritage and those related to chance-finds and land acquisition, restriction on land use and involuntary resettlement are not expected to occur as the project entails simple maintenance work for already existing roads and it does not entail construction of new roads or extension of existing ones.

| | |
|---|---|
| | Poor Labor and working conditions |
| | Risk of child and forced labor |
| | Gender-based violence (sexual exploitation and abuse (SEA), and sexual harassment (SH))<br>Exclusion of the vulnerable/disadvantaged groups and/or by unconscious discrimination |
| Temporary Labor Influx[9] | Increased risk of illicit behavior and crime. |
| | Influx of Additional Population ("Followers") |
| | Increased burden on public service provision |
| | Gender-based violence ((SEA/SH)) |
| | Local inflation of prices and crowding out of local consumers |
| | Social conflicts within and between communities |
| | Increased risk of spread of communicable diseases in general and in specific COVID-19 |

### 5.2.2 Operation Phase

Following the maintenance work and during the project operation phase, it is expected that the speed of the vehicles on the roads may increase and the traffic volume may also increase due to the improved conditions of the road network. This might cause potential risks related to community safety (traffic accidents) and in particular the children and elderly.

[9] The aim of the project is to employ local residents, so no workers should be employed from remote areas. However, the maintenance work will be implemented over a distance of about 20 km per subproject. This might lead to situations where 20-30 workers are interacting with communities residing near-by or adjacent to the road.

## 5.3 FRAMEWORK ESMF IMPLEMENTATION ARRANGEMENTS

### 5.3.1 Introduction

A well-defined institutional and implementation mechanism for identifying, appraising, managing and monitoring safeguards at all levels is a key necessity. This section lays out the roles, responsibilities of various parties and the due diligence process that will need to take place from the preparation of an investment through implementation completion.

### 5.3.2 Overall project institutional and implementation arrangements

The Project Implementing Entity will be the Ministry of Construction, Housing, Municipalities and Public Works (MOCHMPW), responsible for the overall implementation of the project overseeing the two implementing agencies mentioned below.

- Roads and Bridges Directorate (RBD) in Baghdad, responsible for the design, procurement, FM and social and environmental safeguards of the road network maintenance in all Governorates except Kurdistan. RBD is also responsible for the procurement of all consultancy services required for the project. It is responsible for submitting financial reports to the World Bank to components implemented by it.
- General Directorate for Roads and Bridges in GDRB in Erbil, responsible for design, procurement, FM and social and environmental safeguards of the road network maintenance in the Kurdistan governorate. It is responsible for submitting financial reports to the World Bank to components implemented by it.

Two PMTs will be responsible for project implementation in Baghdad and Erbil. Each PMT will include one Environmental, Social and health and safety (ESHS) specialist working under the supervision of the PMT Manager and supported by assigned ESHS focal point in each governorate. The ESHS specialists will be responsible for day-to-day planning, implementation and supervision of environmental/social safeguards specific to sub-projects in coordination with the focal points.

Each Road directorate in the 8 governorates will assign one ESHS focal points, who will conduct regular field supervision to ensure compliance of microenterprises, their workers and practices, to the ESMPs. The local focal points at the designated governorates will also be responsible for monitoring

and preparing monthly /noncompliance reports on which the PMTs will investigate and take action accordingly. This is not meant to replace the consulting services for field technical inspections, which will be procured under Component 1.2 and which will aim for independent quality control purposes to complement the implementing agencies and local stakeholders in ensuring that the preventive maintenance works are executed in accordance with internationally recognized best practices, including in terms of management of social and environmental matters and risks associated with the civil works of the project.

Implementation of the site-specific ESMPs will largely be the microenterprises' responsibility. The microenterprises' should assign a dedicated qualified ESHS supervisor for monitoring the environmental, social, health and safety issues, to ensure compliance with the ESMPs during the maintenance activities. The environmental, health, safety and social (EHSS) aspects should be made clear to the contractors by the PMTs during the tender/selection phase and they should be trained for the implementation and supervision of the ESMPs. It is the responsibility of the PMTs to ensure that the ESMPs will be integrated in the microenterprises' contracts and bids. If found feasible, the PMTs should develop a three-level penalty system that includes financial penalties, suspension of work and termination of contracts depending on the extent of the non-conformity/ noncompliance identified.

For the Income generating subprojects, the beneficiaries will be responsible to implement the agreed mitigation measures and the PMTs will ensure that these mitigation measures are fully implemented through regular field visits and periodic reports.

### 5.3.3 Environmental, Social and Health and Safety Monitoring

The MGP will focus on effective environmental and social monitoring. As majority of the anticipated environmental and social (E&S) impacts from the project are general in nature and related to the implementation of the preventive maintenance measures, site management, worker/public safety etc., monitoring will be largely carried out in the form of compliance monitoring through regular site supervision by the responsible EHSS staff as mentioned above. A general EHSS monitoring checklist is provided in the ESMP framework for guidance. This will be used during site supervision and should be updated and expanded to include impacts which are mostly case-specific and other site-specific EHSS impacts based on actions agreed in the ESMPs.

Monitoring of the different EHSS parameters will be conducted based on the requirements specified in the ESMPs. The overall project impacts will be monitored during project implementation through a number of selected indicators according to the project design, which reflect the project EHSS benefits. The project will support independent audits on an annual basis throughout project implementation, through the provision of consulting services.

### 5.3.4 Grievance Redress Mechanism

The project will establish both **Community (Project-GM))** and **Workers** grievance mechanisms. The latter has been described in details in the project Labor Management procedures (LMP). The community GM is described under this section.

***Raising public awareness***

Information about the grievance handling system described below will be distributed at an early stage of the project to all project affected people through regular information channels used by the project, including initiating meetings at the start of the project where feasible, public meetings during project implementation, brochures/pamphlets in Arabic Language, posting on notice boards and online when necessary. The process of raising a complaint should be explained by reaching out the community or by conducting a meeting with community representatives. It is important that community representatives include women at all times.

***Aim and objectives***

Transparency and accountability should be core elements of the Project. Comprehensive GRM will be set up for all subprojects to account for all potential complaints arising from the project's potential impacts. This will cover all types of complaints including those associated with gender-based violence (GBV) , sexual exploitation and abuse (SEA), and sexual harassment (SH) The latter complaints will be directed to a separate unit and handled separately.

The goal of the GRM will be to increase transparency and accountability and to reduce the risk of the project inadvertently affecting citizens and serves as an important feedback and learning mechanism that can help improve project impact. The objective will be to provide channels for project stakeholders to provide feedback on project activities via a mechanism that allows for the identification and

resolution of issues affecting the project, promptly and effectively in a culturally appropriate manner and at no cost. This includes safeguards-related complaints pertaining to this ESMF and the World Bank's ESSs as a whole.

The community GRM will be developed at the Road and Bridges Directorate/Project Management Team headquarters and regional branches/offices with dedicated personnel from local directorates and made accessible to all. The following types of grievances are anticipated:

- Damage to existing infrastructure
- Traffic and access-related impacts
- Road accidents related to project's traffic impacts
- Community health & safety
- GBV, SEA and SH
- Impacts associated with generated waste
- Noise and air quality impacts

As a minimum, the project will establish the following channels through which citizens/beneficiaries/PAPs can make complaints regarding project-funded activities:

a) A dedicated phone line[10]
b) A dedicated address[11] to send written letters
c) Feedback boxes located at project sites
d) Verbal or written complaints to community leaders, or to a dedicated local focal point , or project staff directly or through project meetings. If project stakeholders provide verbal feedback/complaint, project staff will lodge the complaint on their behalf, and it will be processed through the same channels.
e) Periodic project meetings, each of which shall include a fair representation of all project's stakeholders including women and the elderly.

***Procedures***

[10] Phone lines on the focal social and environmental focal points at the RBDs of the different governorates will be shared as soon as they are assigned.
[11] For each sub-project , the address of the nearest RBD will be identified and shared with the community.

The GRM will comprise of a set of operating procedures to ensure successful implementation. The procedures will include the following set of measures as a minimum:

- Receipt, acknowledgment and registration
- Grievance verification and assessment
- Conduct field inspections in order to verify and confirm the authenticity and eligibility of the reported grievance. The field inspection could include interviews with different parties involved.
- Response and Feedback including Referring cases to other GRMs, if necessary and/or to the courts and/or to a third party
- Agreement and implementation of the response
- Track, and evaluate the process and results

In case an agreement could not be reached, the borrower could play the role of a mediator via well-trained voluntary mediators following a pre-set time frame.

The borrower will include the GRM into the microenterprise's terms of references and contracts. Accordingly, the microenterprise will establish an external community GRM and an internal one for the workers. The respective microenterprise shall disclose both GRMs on a board that is easily legible and accessible at all worksites. For the community GRM, a multi-stage mechanism will be used comprising of but not necessarily limited to the stages listed below:

*1- Receipt, acknowledgment and registration*

As mentioned, the GRM will enable aggrieved stakeholders to communicate their grievances through a variety of accessible channels: phone, letter, fax, social media applications including sharing photos of the grievance site and location, in-person meeting, and others. It is proposed that complainants have the option to provide their names or keep it anonymous . However, only a reply contact is required in order to update the complaints of the status of his grievance. In certain situation this could also be optional as per the complainant's choice.

While recognizing that many complaints may be resolved" on the spot" and informally by the PMTs' Directorates-GRM staff. There are still opportunities to encourage these informal resolutions to be logged into a GRM database to (i) encourage responsiveness; and (ii) ensure that repeated or low-level

grievances are being noted in the system. The following describes the receipt, acknowledgment and registration process:

- The complainant submits the grievance through one of the dedicated channels indicated above.
- The complainant is requested to use to the extent possible a grievance template which will be shared in hard/soft copies and also available to download from the website
- If the complainant wishes to submit the grievance orally via phone or in person, the project staff will lodge the complaint on their behalf, and it will be processed through the same channels.
- Requests for confidentiality will be considered. This option shall be made clear to the complainant in the Grievance template and/or in cases of oral submissions.
- In case of confidentially option request, it is also important that the complainant chooses to provide contact details or any other suitable means for him/her to be updated on the status of their complaints/grievances.
- All received grievances shall be logged into the community grievance log.
- In all cases, the staff in charge should provide a timely communication back to the complainant(s) that their grievance has been received, will be logged and reviewed for eligibility and provide them with the registration number.

*2- Grievance verification and assessment*

- In order to verify the grievance, it should be discussed with the complainant, investigated and evidence gathered to the extent possible. This should include field inspections if needed in order to conduct interviews and gather information about the incident or the case.

The GRM staff will need to make a decision with regards to the eligibility of the grievance or whether it should be directed to other mechanisms such as the Workers GRM or to a different office within the Ministry and its Directorates, or to a different organization altogether . The following represents the proposed eligibility criteria:

- Does the complaint indicate that any of the programs' projects has caused a negative economic, social, or environmental impact on the complainant, or has the potential to cause such an impact?

- Does the complaint specify what kind of impact has occurred or may occur, and how the program has caused or may cause that impact?
- Does the complaint indicate that those filing the complaint are the ones who have been impacted, or are at risk of being impacted; or that those filing the complaint are representing the impacted or potentially impacted stakeholders at their request?
- Does the complainant provide enough information for GRM staff to decide on the first three questions?

*3- Response and Feedback*

- **As an initial response**, the complainant will be informed with the eligibility results as well as all the steps being taken to address his concerns. This initial response shall be provided via a formal letter; an email; or a phone call within 3 working days from the date of receipt of the grievance.
- **For eligible and straightforward grievances**, GRM staff will provide a response without further investigation within 10 days from the initial date of receipt of the grievance, where actions are proposed to resolve the complaint and agreement on the response is sought with the complainant.
- **For eligible grievances that require further assessment**, GRM staff will further engage with the complainant via a phone call or a formal meeting in order to collect further information. Based on this, they will provide a response within 14 days from the initial date of receipt of the grievance, where actions are proposed to resolve the complaint and agreement on the response is sought with the complainant.
- There will be a time limit of 7 days from the day of receipt **for fast track responses** in case of complaints alleging serious harm or violations. Immediate response will be taken where required.
- In all the above mentioned scenarios, the response should include a clear explanation of the proposed response including any alternative options, while clarifying to the extent possible the rights of the complainant, and the choices he has including the following: 1- to agree to proceed;

2- request for a second round of assessment; 3- to consider any other organizational, judicial or non-judicial possibilities.

- In case the grievance feedback is satisfactory to the complainant, the response should be implemented.
- In case the grievance feedback is not satisfactory to the complainant, he/she has the right to appeal within 5 working days. In such case, a second tier should be initiated where the GRM staff will attempt to propose alternative options and carry out additional investigation in order to meet the concerns of the complainant, and other stakeholders. The GRM staff should send their response within 7 days from the date of the appeal. The second tier response should also include a clear explanation of the proposed response including all alternative options and the choices the complainant has as described above.

*4- Agreement and implementation of the response*

- If the grievance has been resolved, the GRM staff will document the actions taken, time it took to resolve the grievance and satisfactory resolution.
- If the grievance has not been resolved, the GRM staff should document additional information including actions taken, communication with the complainant, and the final decisions made by the complainant and the organization with regards to any other alternatives.
- In general, confidentiality should be maintained in GRM documentation, if the complainant has requested so.
- In all cases, the total number of grievances should be recorded including time it took to resolve them, as well as the number of unresolved cases.

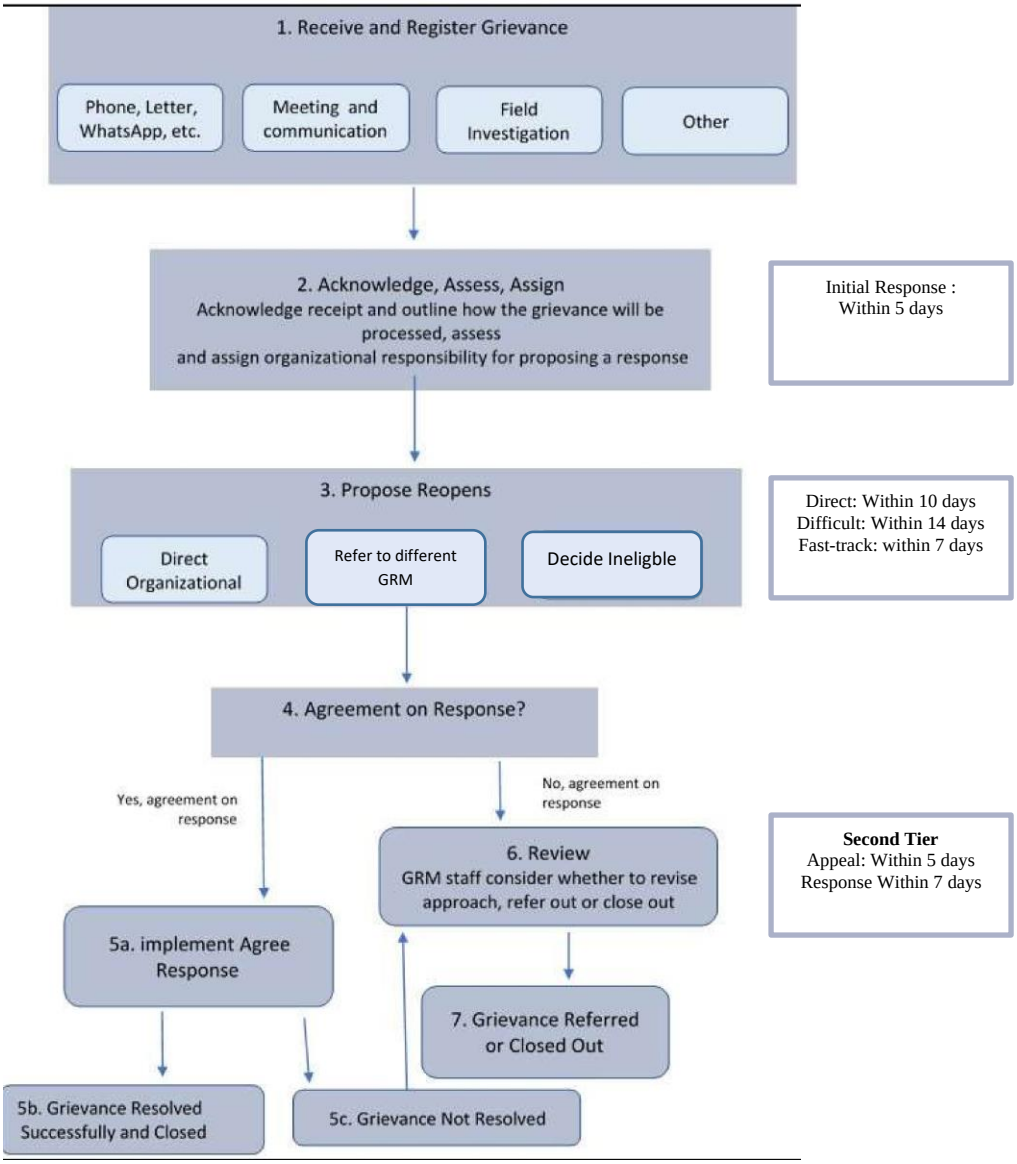



Figure 4-1: GRM Procedures

## 5.4 FRAMEWORK ESMP

### 5.4.1 General requirements for the implementation and operation phases:

Included in the mitigation measures and applicable to all impacts will be the development of a GRM as described above and the communication of its presence and the means to use it to the general public/community surrounding the project's area.

The mitigation and monitoring measures listed below are presented to guide the site specific instruments to be prepared. ESMP-checklist developed for each sub-project shall be included in the microenterprise' bid as well as the final contract. The screening of the sub-projects and suggested safeguard instruments are presented in the following section (figure 5.2). Table 4-2 shows the Framework ESMP during the implementation of the preventive maintenance work Mitigation measures for potential negative impacts during the implementation of the preventive maintenance work

**Table 4-2: Framework ESMP during the implementation of the preventive maintenance work**

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[12][13] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| **1** | **Waste Management** | • Coordinate with the local authorities to identify the location of the final disposal site during preparing the site-specific ESMPs<br>• Minimize waste generation on site and develop simple waste management plan for specific waste streams as indicated below.<br>• Waste collection and disposal pathways and sites will be identified for all major waste types expected from the maintenance works.<br>• Design a segregation system based on compatibility of different waste streams and based on the recycling services (if locally available).<br>• Inert wastes will be separated from general refuse, organic, and chemical wastes by on-site sorting and stored in appropriate storage areas, and disposed properly according to the legal and municipality requirements.<br>• General waste must be collected and transported to local council approved disposal sites. | • All mitigation measures have been implemented as described in the mitigation section<br>• Records of solid waste and sewage collection (if applicable) with date and amount of waste documented.<br>• Number of Environmental and OHS incidents related to solid and liquid waste.<br>• Number of complaints related to waste management and time it took to solve them as well as number of unresolved complaints | Contracted Microenterprise | Supervising Consultant<br>PMT/RBD Environmental and Social Officers |

[12] Refer to Section 4.3.3 for details about the monitoring methods, location and frequency
[13] Refer to Annex .. for the Monitoring Checklist to be used

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[1213] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| | | • Food wastes must be collected, and stored in closed waste containers located at each worksite, where practicable, considering health and hygiene issues, and disposed off-site through licensed contractors.<br>• Storage, transport and handling of all chemicals must be conducted in accordance with all legislative requirements, through licensed contractors and in coordination with the local authority<br>• Open burning of waste material is prohibited on site<br>• Sewage from workers rest areas will be collected in intact septic tanks, free of any leaks which design will be approved by the PMTs and the water shall be pumped and transferred by municipality or private contractor special trucks to the nearest authorized sewage treatment plant.<br>• Complete prohibition of solid and liquid waste dumping in any water body<br>• Complete prohibition of solid and liquid waste dumping in any adjacent or near-by agricultural land, occupied and/or unoccupied land.<br>• Provision of training for workers on sound environmental practices to manage solid wastes. | | | |
| **2** | Toxic / hazardous waste and | • Implement the clearance requirements according to governmental procedures for the risk of ERW (explosive remnants of war) presence in different | • All mitigation measures have been implemented as described in the mitigation section | Contracted Microenterprise | Supervising Consultant |

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[12][13] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| | material management | project areas, including UXO (unexploded ordnance), and AXO (abandoned explosive ordnance-<br>• Coordinate with the local authorities to identify the location of the final disposal site during preparing the site-specific ESMPs<br>• Temporarily storage on site of all hazardous or toxic substances in safe containers labeled with details of composition, properties and handling information<br>• The containers of hazardous substances shall be placed in a leak-proof secondary containers to prevent spillage.<br>• All hazardous wastes must be appropriately stored in bounded areas and should be clearly identified as "hazardous".<br>• The use of paints and solvents with toxic ingredients and/or lead-based paints will be prohibited<br>• Transportation and disposal of hazardous wastes should be done through licensed contractors and disposed in a licensed facility, in close coordination with the relevant local authority and in compliance with the legal requirements<br>• Hydrocarbon wastes, including lube oils, must be collected for safe transport off-site for reuse, recycling, transport or disposal at approved locations.<br>• In case of accidental spills of hydrocarbons, isolate and collect the contaminated soil and store as | • Number of Environmental and OHS incidents related to solid and liquid hazardous waste and substance management<br>• Number of complaints related to hazardous waste management and time it took to solve them as well as number of unresolved complaints | | PMT/RBD Environmental and Social Officers |

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[1213] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| | | hazardous waste to be disposed of in hazardous waste landfills.<br>• A hazardous materials inventory for the construction period must be prepared.<br>• Material Safety Data Sheets (MSDS) for hazardous materials must be available on-site during construction and made available and explained to workers.<br>• Accidents due to the hazardous waste dispersion response and cleanup plan must be presented by the contractor and approved latter as mitigated for impacts. | | | |
| **3** | **Air Quality and Emissions to air** | • During the implementation of maintenance work, dust control measures shall be employed, if feasible, e.g. by spraying and moistening the ground<br>• if to be used, Soil debris, aggregates and friable materials shall be kept in controlled area , covered where feasible and sprayed with water mist to reduce dust generation.<br>• During work generating dust, water spraying shall be used especially in areas close to sensitive receptors.<br>• The surrounding environment (sidewalks, roads, lands, etc) shall be kept free of soil and debris to minimize dust<br>• if used, All machinery will comply with Iraq emission regulations, shall be well maintained and serviced and there will be no excessive idling of construction | • All mitigation measures related to air quality and activity pollution prevention have been implemented<br>• Number of complaints received with regards to air quality and dust generation the time it took to solve them as well as number of unresolved complaints | Contracted Microenterprise | Supervising Consultant<br>PMT/RBD Environmental and Social Officers |

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[12][13] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| | | vehicles at sites<br>• Speed reduction for vehicles approaching the site to less than 40 km/hr. On site, speed should not exceed 20 km/hr.<br>• Covering of trucks carrying fine grade construction materials<br>• Electric small-scale mechanization and technical tools are used when available and feasible; | | | |
| 4 | **Noise[14]** | • Stop all noisy work at night (before 6 am after 6pm) , near sensitive receptors<br>Provision of speed limit signs (in the event of cars transporting materials to site – maximum speed allowed will be 20 km/hour<br>• Informing local population about noisy road works in advance (if any) | • All mitigation measures have been implemented<br>• Number of complaints received with regards to noise associated with the maintenance work and the time it took to solve them as well as number of unresolved complaints. | Contracted Microenterprise | Supervising Consultant<br>PMT/RBD Environmental and Social Officers |
| 5 | **Fauna and Flora Impacts** | • Implement all the measures related to waste management and pollution prevention as indicated in Sections 1,2 and 3 | Adopt same parameters as sections 1,2 and 3 | Contracted Microenterprise | Supervising Consultant<br>PMT/RBD Environmental and Social Officers |

[14] Based on the project's assumption of not using any mechanical equipment. Noise impacts have been therefore limited to those associated with manual tools.

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[12][13] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| **6** | Community Safety and Health and Accessibility | • Implement all the measures related to waste management and pollution prevention as indicated in Sections 1,2 and 3<br>• Adopt and implement the **Stakeholder Engagement Plan (SEP)** prepared for the project<br>• Clearly place a sign in Arabic/Kurdish language on each construction site stating the objective of the project, duration of the work and the phone number to receive grievances for both the microenterprise and RBD. The sign should also include a prominent warning to cross the fence boundaries.<br>• Securely surround the site with a solid fence when working adjacent to residential clusters or any area where children are suspected to be present. Only in desert areas, that this fence could be substituted with an open one.<br>• Adopt and implement a health management system for the workers, to ensure through medical check-ups, they are fit for work and that they will not introduce disease into local communities.<br>• Ensuring safe and continuous access to all adjacent office facilities, shops and residences during construction<br>• Provision of temporary alternative access roads/ by-passes<br>• Prohibit trespassing adjacent to the work site | • Stakeholder Engagement Plan adopted and implemented [L SEP]<br>• All mitigation measures have been implemented. [L SEP]<br>• Number of community health and safety- related complaints received and the time it took to resolve them [L SEP]<br>• Number of unresolved complaints [L SEP]<br>• Number of accidents [L SEP]associated with community, trespassers including serious injuries and fatalities | Contracted Microenterprise<br><br>For the SEP, Both RBD and Contracted Microenterprise | Supervising Consultant<br><br>PMT/RBD Environmental and Social Officers |

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[1213] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| | | • Instruct all vehicles drivers contracted by the project on safe driving guidelines.<br>• When working near residential clusters, photo-document the condition of the nearest residential building(s) to the site before beginning the construction work.<br>• Implement an Emergency Response Plan to manage major incidents if they should occur, such as train accidents in the vicinity of the construction site.<br>• Prepare adopt, and implement a project and workers **Grievance Redress Mechanism (GRM).**<br>• Carry on an Ongoing identification, evaluation and monitoring of potential community health and safety risks.<br>• No exposed, hot power cables should be left unattended at any time.<br>• Adjustment of working hours to local traffic patterns, e.g. avoiding major transport activities during rush hours or times of livestock movement.<br>• If required, there should be an active traffic management by trained and visible staff at the site for safe passage for the public | | | |

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[1213] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| | | • Guiding traffic into a single lane and meeting traffic needs to be regulated only allowing traffic to pass in one direction at the time. The most common method of regulating traffic on rural roads is to employ flagmen with stop/go signs at both ends of the diversion. | | | |
| 7 | Workers Influx/Workforce-Community Interactions | • Adopt and implement the **SEP** prepared for the project , as a framework for early and ongoing community consultation.<br>• Prepare adopt, and implement a project and workers **Grievance Redress Mechanism (GRM).**<br>• Develop work procedures, defining a **Code of Appropriate Conduct** for all workers, including acceptable behaviour with respect to community interactions and train workers on its content.<br>• Ensure the provision of information regarding Worker Code of Conduct in local language.<br>• Microenterprise/Contractor to avoid hiring "at the gate" to discourage spontaneous influx of job seekers.<br>• Train all workers on GBV risks and related sanctions.<br>• Ensure that management and security staff are adequately trained to identify and eradicate all forms pertaining to GBV and gender-based discrimination. | • All mitigation measures have been implemented (in<br>• specific those related to the code of conduct including GBV and other labour influx risks,)<br>• The Code of Conduct has been prepared and formally adopted<br>• Number of complaints received from the community with regards to workers' behavior in general and the time it took to solve them.<br>• Training records<br>• % of workers trained on Code of Conduct<br>• % of workers trained on GBV | Contracted Microenterprise | Supervising Consultant<br>PMT/RBD Environmental and Social Officers |

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[12][13] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| | | • Introduction of strict sanctions (e.g. dismissal) for workers involved in any form of abuse, inappropriate behavior or GBV<br>• Considering ways to minimize entry/exit to site or the workplace, and limiting contact between workers and the community/general public<br>• Implementing a communication strategy with the community, community leaders and local government in relation to COVID-19 issues on the site. | | | |
| **8** | **Labour and Working Conditions including Occupational health & safety** | • Implement all measures and procedures as indicated in the LMP prepared for the project including but not limited to:<br>o Prohibit child labour<br>o Prohibit forced labour, relating to any work or service not voluntarily performed that is exacted from an individual under threat of force or penalty. This prohibition covers any kind of involuntary or compulsory labor.<br>o Adhere to national law and LMP requirements with respect to working hours, rest periods, annual and sick leave, minimum wage, fair and clear contractual terms and conditions.<br>o Develop, adopt and implement the Worker GRM as detailed in the LMP.<br>o Implement GIIP relating to labor standards and working conditions (in line with ILO Core Conventions) and national law as applied to | • All mitigation measures have been implemented.<br>• Checks on workers right to work (including work permits, age etc.).<br>• Reports on any accidents, hazardous events, as well as records and reports on health, safety and welfare of workers<br>• Condition of fire extinguishing instruments<br>• Condition of flammable material containers & storage<br>• Availability & usage of PPEs<br>• Condition of Rest Facilities<br>• Workers right to work (including contracts, age etc.) and Inclusion of minimum labour standards in all workers | Contracted Microenterprise | Supervising Consultant<br>PMT/RBD Environmental and Social Officers |

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[12][13] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| | | equal opportunities and non-discrimination. The employment of Project workers will be based on the principle of equal opportunity and fair treatment, and there will be no discrimination with respect to any aspects of the employment relationship including but not limited to : recruitment requirements; training opportunities; termination of employment; inappropriate treatment or harassment including sexual harassment. Men and women will be given equal opportunities relating to all recruitment opportunities under the project. This will apply to hiring of all project workers.<br>○ The health and safety risk on the workers should be Coverage with appropriate insurance schemes for all the types of workers. In addition, the Insurance should be covering work related accidents (injuries and fatalities), as well as insurance for third party<br><br>SPECIFIC OHS MEASURES FOR THE SITE WORK<br><br>• Allocate a focal point to manage EHSS aspects and provide him/her with the necessary training.<br><br>• Place appropriate signs and instructional banners within the sites will inform workers of key rules and | contracts<br>• % of site employees trained on OHS, emergency procedures and GRM<br>• OHS statistics such as fatalities, injuries, lost time incidents, first aid cases.<br>• Contractor-workers' Contracts.<br>• Number of complaints<br>• received, number solved and the time it took to solve them.<br>• Number of unresolved complaints<br><br>• | | |

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[1213] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| | | regulations to follow.<br><br>• Ensure compliance with local and international guidance and codes of practice on Environmental Health and Safety (EHS) management.<br><br>• Provision of full PPE including suitable footwear to avoid slippage. Workers' Personal Protective Equipment (PPE) will comply with international standards and regulations (always hardhats, as needed masks and safety glasses, harnesses and safety boots).<br><br>• Provision of appropriate and enough first aid equipment, and fire extinguishers in good condition. Firefighting equipment will be placed in prominent positions across the site where it is easily accessible. This includes fire extinguishers, a fire blanket as well as a water tank<br><br>• Workers must be trained to recognize potential OHS hazards , use of proper work practices and procedures, recognize adverse health effects, understand the physical signs and reactions related to exposures, and are familiar with appropriate emergency evacuation procedures. They must also be trained to how to use the Personal Protective Equipment (PPE). Provision of appropriate training for Workers on health and safety issues shall be provided in their local language and considering the local culture and level of knowledge, during an induction session and refresher sessions every month | | | |

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[1213] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| | | • Workers exposed to noise exceeding permissible levels (e.g. ballast uploading) should wear hearing protection.<br>• Regular inspection of workers against pathogenic agents and provision of immunization when needed<br>• Limit speed of construction vehicles and provide road signage for drivers and local community.<br>• Preparation and adoption of an emergency response plan. Identify and provide contacts of closest authorities and emergency services to contact in case of emergencies<br>• Prohibit smoking on site, especially near residential buildings and other sensitive receptors.<br>• Strictly avoid excavations in areas with residential natural gas connections or works near natural gas piping<br><br>COVID-19 MEASURES<br>• Follow latest WHO and national measures on Covid-19 as relevant<br>• Provision of medical insurance for workers covering | | | |

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[1213] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| | | treatment for COVID-19, sick pay for workers who either contract the virus or are required to self-isolate due to close contact with infected workers and payment in the event of death<br><br>• Assessing the characteristics of the workforce, including those with underlying health issues or who may be otherwise at risk.<br><br>• Confirming workers are fit for work, to include temperature testing and refusing entry to sick workers<br>• Training workers on hygiene and other preventative measures, and implementing a communication strategy for regular updates on COVID-19 related issues and the status of affected workers.<br><br>• Treatment of workers who are or should be self-isolating and/or are displaying symptoms.<br><br>• Assessing risks to continuity of supplies of medicine, water, fuel, food and PPE, taking into account international, national and local supply chains.<br><br>• Adjustments to work practices, to reduce the number of workers and increase social distancing. | | | |

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[1213] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| | | • Establishing a procedure to follow if a worker becomes sick (following WHO guidelines)<br><br>EQUIPMENT (IF APPLICABLE)<br><br>• Inspection and testing of all equipment and machines (if any).<br><br>• Where there is a risk of mechanical contact with moving parts of work equipment, which could lead to accidents, those parts must be provided with guards or devices to prevent access to danger zones or to halt movements of dangerous parts before the danger zones are reached.<br><br>• Work equipment must bear the warnings and markings essential to ensure the safety of workers.<br><br>• All equipment is maintained in a safe operating condition.<br><br>• Pre-construction assessment of the EHS risks and hazards associated with construction and operation, including consideration of local cultural attitudes, education level of workforce and local work practices;<br><br>Maintenance of a high standard of housekeeping at all times. | | | |

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[1213] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| **9** | **Physical Cultural Resources** | Where applicable - as determined by site-specific ESMPs , implement the following "**Chance Find Procedure",**<br>• Stop the construction activities in the area of the chance find;<br>• Delineate the discovered site or area.<br>• Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be present until the responsible local authorities and the Ministry of Culture take over;<br>• Notify the supervisory Engineer who in turn will notify the responsible local authorities and the Ministry of Culture immediately (within 24 hours or less);<br>• Responsible local authorities and the Ministry of Culture would be in charge of protecting and preserving the site before deciding on subsequent appropriate procedures. This would require a preliminary evaluation of the findings to be performed by the archeologists from the Department of Antiquities and the Ministry of Culture (within 72 hours). The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage; those include the aesthetic, historic, scientific or research, social and economic values;<br>• Decisions on how to handle the finding shall be taken by the responsible authorities from DA and | • Chance finds reports | Contracted Microenterprise | Supervising Consultant<br><br>PMT/RBD Environmental and Social Officers |

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[1213] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| | | the Ministry of Culture. This could include changes in the layout (such as when finding an irremovable remain of cultural or archeological importance) conservation, preservation, restoration and salvage;<br>• Implementation for the authority decision concerning the management of the finding shall be communicated in writing by the Ministry of Culture; and<br>• Construction work could resume only after permission is given from the responsible local authorities and the Ministry of Culture concerning safeguard of the heritage.<br><br>• These procedures must be referred to as standard provisions in construction contracts, when applicable. During project supervision, the Site Engineer shall monitor the above regulations relating to the treatment of any chance find encountered are observed.<br><br>• An Archaeological inspector will be assigned by the Iraqi Ministry of Culture & Antiques / from the designated governorate Inspectorate to supervise over the cultural sites and will be expected to report in case of any violation to the PMT . | | | |

**Table 4-3: Framework ESMF during the operation of the rehabilitated roads**

| NO. | POTENTIAL IMPACT Category/Aspect | MITIGATION MEASURES | MONITORING PARAMETERS[15][16] | RESPONSIBILITY | |
|---|---|---|---|---|---|
| | | | | Implementation | Monitoring |
| **1** | **Community Health & Safety** | • Continue to adopt and implement the **Stakeholder Engagement Plan (SEP)** prepared for the project<br>• Clearly place speed limits signs on the roads<br>• Ensure pedestrian crossing points are reasonably spaced and available in front of key activities such as schools, hospitals, markets, etc. and consider the option of installing speed bumps.<br>• Continue to adopt and implement the project **Grievance Redress Mechanism (GRM).**<br>• Carry on an Ongoing identification, evaluation and monitoring of potential community health and safety risks. | • All mitigation measures have been implemented as described in the SEP mitigation section<br>• Number of traffic accidents/incidents<br>• Number of complaints related to traffic and time it took to solve them as well as number of unresolved complaints | PMT/RBD Environmental and Social Officers | PMT/RBD Environmental and Social Officers |

[15] Refer to Section 4.3.3 for details about the monitoring methods, location and frequency
[16] Refer to Annex .. for the Monitoring Checklist to be used

### 5.4.2 Sub-project Environmental and Social Screening and Approval Framework

A framework methodology is proposed and presented in this section for the screening, categorization, review, approval, safeguarding, and monitoring of sub-projects. Sub-projects are screened for potential ES impacts using the Eligibility Criteria/screening checklists included as **Annex 1**. The objective of the screening will be to exclude projects with high ES impacts and/or those which will entail:

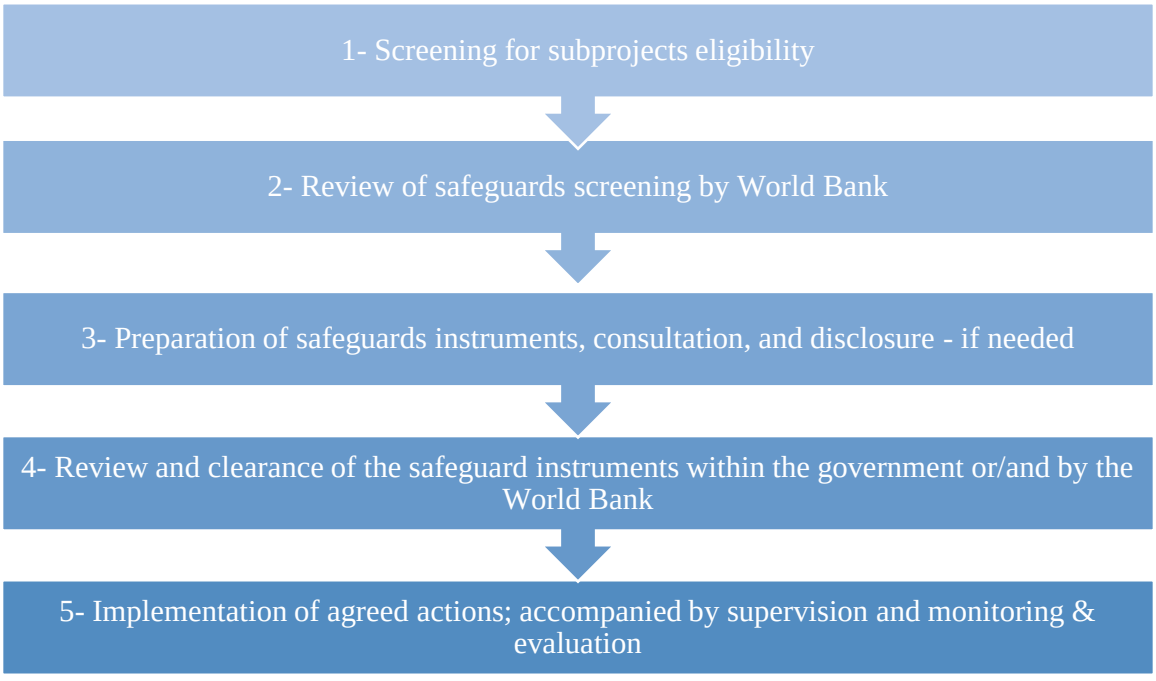
- Land restrictions, acquisition or involuntary resettlement;
- High/substantial risks on Cultural resources

A Simple **Checklist ESMP (Annex 2)**, based on the framework ESMP described under Section 5.4 serves as a guide for the project stakeholders when developing site-specific **Checklist ESMPs** during both the maintenance work and operation phases of the project**.**

**Environmental and Social Screening and Approval Framework**

The Bank will then review the screening results and accordingly the relevant instruments shall be confirmed, prepared, consulted with stakeholders and disclosed. Following clearance of the safeguards instruments by the Bank and/or government, the ESMPs shall be implemented, supervised and monitored. Figure 5-2 outlines the proposed methodology.

**Figure 5-2: Outline of the ES Screening and Approval Methodology**



### 5.4.3 Capacity building and training needs

Upon ESMF approval by the WB and adoption, it will be required that the following stakeholders undergo training on the ESMF requirements:

- ESHS specialists in PMT
- ESHS focal points in the Duhok,Nineveh,Diyala,Salah Al-din,Al-Najaf,Karbala,Al-Qadysia and Al-Muthana governorates.
- ESHS supervisor in each enterprise
- NGOs which could be associated with the implementation and monitoring of the ESMPs.
- Other project stakeholders - interested/potential MGP partners
- Contracted microenterprises

ESMF Training will be customized to the roles of the various stakeholders to include:

- Sub-project screening, ES instrument preparation, and disclosure
- Overview of the ESMF structure
- Implementation of mitigation measures
- Implementation of monitoring measures
- M & E templates, archiving and reporting
- Project data analysis, indicators and project improvements

In addition, worker training is needed to minimize incident risk and ensure compliance with ESMF/ESMP provisions. Relevant training topics to be delivered by the contracted microenterprise for the workforce include but are not limited to:

- Customized Occupational Health and Safety measures
- First aid & Emergency response
- Training on sub-project ESMP implementation
- Use of GRM
- Code of conduct

The above training programs could be implemented as follows:

- An environmental as well as a social development consultants are hired to prepare two virtual training materials covering all necessary topics for the successful implementation and monitoring of the ESMP, aimed for: 1- The PMT & governmental staff; and 2- The contracted microenterprises.
- The focal points of the contracted microenterprises should in turn provide the necessary training to their workers.

### 5.4.4 ESMF Cost Estimate

Table 5-4 below includes a preliminary cost estimate for the implementation of the project ESMF/ESMP

**Table 5-4: ESMF Budget**

| Activity | Unit | Unit Rate in US$ | Quantity | Total in US$ |
|---|---|---|---|---|
| ***1- E&S Screening Process*** | Included in the normal operation cost for the PMT | | | |
| ***2- Cost or preparing the Site-specific ESMPs*** | ESMP Study | 2,000 | 50 | 100,000 |
| ***3- Cost of implementation of site-specific ESMPs[17]*** | ESMP | 3,000 | 50 | 150,000 |
| ***4- Implementation of the GRM*** | Included in the normal operation cost for the PMT and RBDs in the different governorates | | | |
| ***5- Implementation of the SEP*** | | | | 50,000 |
| ***6- Implementation of the LMP*** | Included in the implementation costs of site-specific ESMPs | | | |
| ***7- Management & monitoring*** | Man Day (MD) | | | |
| - Environmental Consultant to develop two virtual training materials; one aimed for the PMT & governmental staff; and the second aimed for the contracted microenterprises.<br>- Social development consultant to develop two virtual training materials; one aimed for the PMT & | | 700 | 25 | 17,500 |

[17] Covers PPEs for 20 workers per site in addition to waste management measures

| | | | | |
|---|---|---|---|---|
| governmental staff; and the second aimed for the contracted microenterprises.<br>- | | 700 | 25 | 17,500 |
| **Sub-total (1)** | | | | **285,000** |
| 8- **Contingencies (approx. 10% of total costs)** | | | | **28,500** |
| **Total Cost** | | | | **US$ 313,500** |

# CHAPTER SIX: PUBLIC PARTICIPATION AND CONSULTATION

## 6.1 Approach and objectives of public participation and consultation

Public participation aims to involve, inform and consult the public in planning, management and other decision-making activities. The key focus of meaningful consultation is equity and inclusivity; namely, the approach taken needs to ensure that all groups (including those that are disadvantaged or vulnerable) are embraced within the consultation process on equal terms, and that all groups are given the capacity to express their views with the knowledge that these views will be properly considered. Furthermore, public consultation is considered an ongoing process, as was conducted throughout different stages of the ESMF preparation, through scoping sessions with …, key informant interviews via surveys and questionnaires. The public consultation process has the following aims:

- To inform Stakeholders about the proposed project and its objectives;
- Strengthen social acceptance of the project;
- Inform the concerned parties that the environmental and social impacts will be minimized to levels that are low as reasonably practical and achieve the balance between legitimate requirements for development and environmental protection;
- To inform stakeholders of Environmental and Social Impacts and their mitigation measures;
- To seek views, concerns and opinions of people in the area concerning the project;
- To integrate those opinions and concerns into the final alternative and mitigations measures, and;
- To establish if stakeholders foresee any positive or negative environmental impacts from the project and if so, how the impacts can be addressed.

## 6.2 Identification of stakeholders and methods of consultation

For the purposes of this consultation stakeholders were grouped into two categories. The first group comprised stakeholders who are likely to benefit from or be affected by the proposed development. (i.e affected parties). It includes people who would be directly served by the project or directly influenced by it, such as local residents among the rural community along the target roads. Due to the fact that target roads (i.e. subprojects) have not been yet identified , nor the road maintenance enterprises selected in addition to COVID-19 restrictions all over the country, it was decided that consultation with this stakeholder group will be best conducted at a later stage – once the sub-projects have been identified.

This study also identified a second group of other interested parties . this group comprises of government officers, entities responsible for implementing the project in the different governorates, NGOs, media, research institutes and universities, in addition to the PMT and its environmental, social and technical teams. This category has been consulted as key informants on the project to share their concerns, advise on mitigation measures to be put in place so as to minimize adverse impacts in respective sectors. Whenever possible , residents have been also consulted.

Consultations have been conducted using a questionnaire comprising of 13 questions which cover the different aspects of the project: environmental, social, health and safety aspects, and community health & safety. Participants were asked to give a score from 1 to 5 to each question/fact. A score of 5 indicates that they strongly agree and a score of 1 indicates that they strongly disagree. The survey questions are listed below:

1. The MGP will have multiple positive impacts on the residents of the area
2. The MGP will help providing job opportunities to local communities, and promoting entrepreneurship and the creation of microenterprises
3. The MGP will improve the road conditions, thus improving accessibility and improving the road safety.
4. ALL members of the local communities will benefit from the project
5. The expected environmental impacts of the project comprise of noise, dust generation and emissions to air, and generation of solid waste. The mitigation measures included in the ESMF are sufficient to mitigate those impacts.
6. The expected occupational health & safety impacts of the project are minimal due to the simple nature of maintenance work expected and could be easily mitigated by adopting the ESMF
7. The expected workforce-community interaction impacts of the project are minimal and could be easily mitigated by adopting the ESMF
8. The expected community health & safety impacts of the project are minimal and could be easily mitigated by adopting the ESMF
9. Establishing a GRM for the project is essential for both the community and workers
10. There will not be any damages whether permanent or temporary which would affect the livelihood of the residents or cause loss of income due to the maintenance work activities
11. From your understanding of the nature of the work, how far do you agree with that the project will not involve any permanent land acquisition? And/or any physical displacement of residents?
12. The project will not cause any social conflicts or changes in the demographics or social structure in the project area." How far would you agree?
13. The project will not cause any damages to the structures or houses

In addition to the response requested to the questions above, participants were given the chance to indicate any additional comments and/or concerns regarding the project. Annex 3a includes ta copy of the questionnaire used in the consultation and the non-technical project summary, which has been shared with the questionnaire. All tools have been translated into Arabic and send to participants via email/WhatsApp or physically shared with participants where digital communication was not possible/present.

**Table 6-1** shows the size of the sample interviewed and **Figure 6-1** shows the gender profile of participants. The list of participants and photo documentation are included in Annex 3b.

**Table 6-1:** Composition of population sample interviewed.

| | Governorate | Male | Female | Total |
|---|---|---|---|---|
| | Al Mousel | 9 | 12 | 21 |
| | Salah Eldin | 18 | 7 | 25 |
| | Karbala | 5 | 5 | 10 |
| | Almuthana | 6 | 1 | 7 |
| | Diyala | 5 | 5 | 10 |
| **Total sample** | | **43** | **30** | **73** |

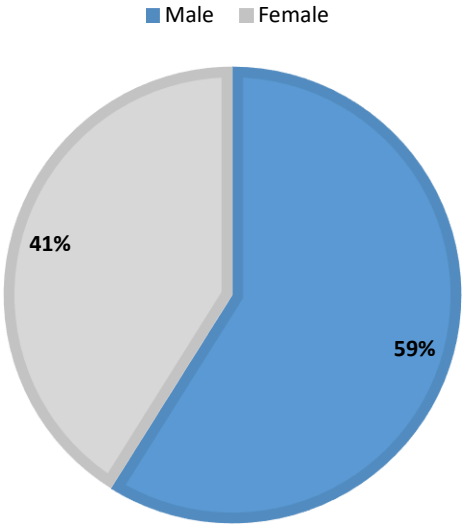



**Figure 6-1:** *Representation of women and men during the Consultation activities*

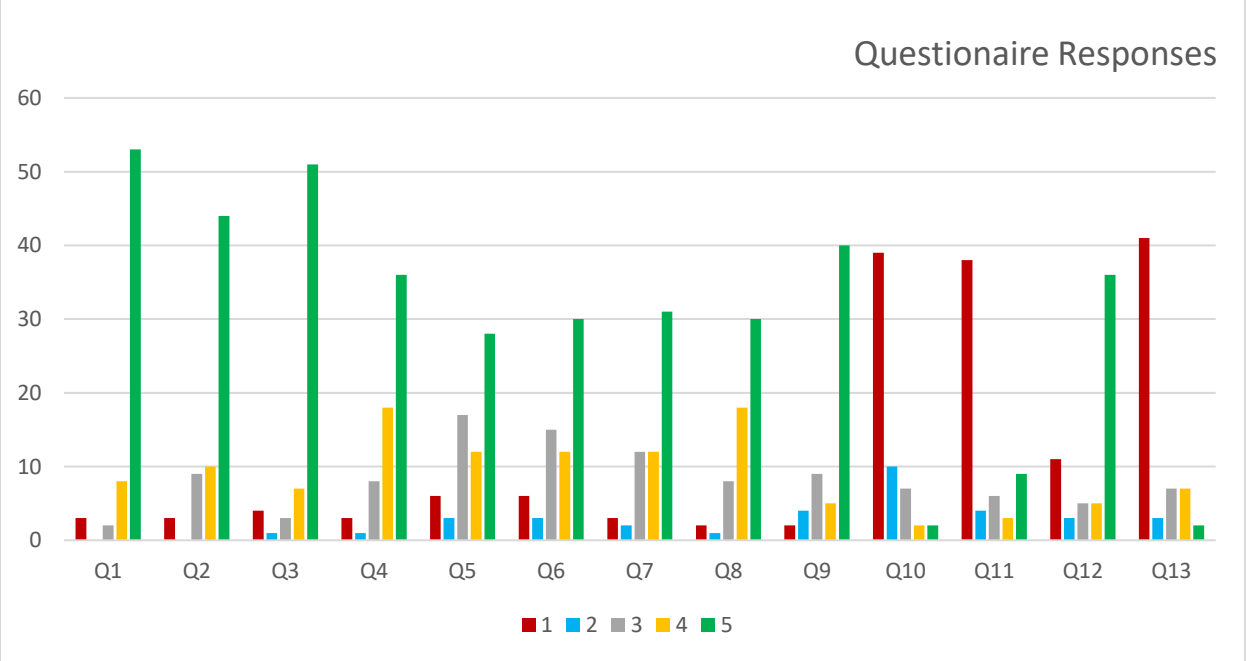
## 6.3 Response of participants

The response has been collected from the participants and analyzed, the actual response has been included in Annex 3c. The survey results (**Figure 6-2**) show the following:

| Number | Question | Comments of the response | | |
|---|---|---|---|---|
| | | Majority Strongly agree | Majority Strongly disagree | Distributed |
| 1 | Will the MGP have multiple positive impacts on the residents of the area? | x | | |

| | | | | |
|---|---|---|---|---|
| 2 | The MGP will help providing job opportunities to local communities, and promoting entrepreneurship and the creation of microenterprises | x | | |
| 3 | The MGP will improve the road conditions, thus improving accessibility and improving the road safety | x | | |
| 4 | Will ALL members of the local communities benefit from the project? | | | x |
| 5 | The expected environmental impacts of the project comprise of noise, dust generation and emissions to air, and generation of solid waste. The mitigation measures included in the ESMF are sufficient to mitigate those impacts, would you agree? | | | x |
| 6 | The expected occupational health & safety impacts of the project are minimal due to the simple nature of maintenance work expected and could be easily mitigated by adopting the ESMF, would you agree? | | | x |
| 7 | The expected workforce-community interaction impacts of the project are minimal and could be easily mitigated by adopting the ESMF | | | x |
| 8 | The expected community health & safety impacts of the project are minimal and could be easily mitigated by adopting the ESMF | | | x |
| 9 | Establishing a GRM for the project is essential for both the community and workers | x | | |
| 10 | Is it expected that the project will cause any damages whether permanent or temporary, which would affect the livelihood of the residents or cause loss of income due to the maintenance work activities? | | x | |
| 11 | From your understanding of the nature of the work, how far do you agree with that the project will not involve any | | x | |

| | | | | |
|---|---|---|---|---|
| | permanent land acquisition? And/or any physical displacement of residents? | | | |
| 12 | The project will not cause any social conflicts or changes in the demographics or social structure in the project area." How far would you agree? | x | Few disagree | |
| 13 | Will the project cause any damages to the structures or houses? | | x | |




## 6.4 Conclusions

Based on the responses received, some of the participants are still concerned with the project environmental, social, occupational health and safety and community health & safety. This will require a clearer presentation the project impacts and designed mitigation measures during the second round of consultations prior to the implementation of the project and after selecting the sub-projects.

## 6.5 Consultation Plan

Table below shows a summary of expected consultation activities during the different phases of the project (Refer to the project SEP for details)

| Project stage | Topic of Consultation | Methods proposed | Timetable: Locations/ dates | Target stakeholders | Responsibilities |
|---|---|---|---|---|---|
| Preparation | Overall project design, description of activities of the project including working hours – hiring process and addressing specific needs for women | Depending on stakeholders (and COVID-19 status and considerations), the methods will vary between workshops, focus group discussions, public consultations, surveys, and virtual meetings | Premises of different entities at the central and local levels, as well as in public places and local councils | Line ministries and agencies involved; Project affected and other interested parties | MOCHMPW /PMT |
| | Environmental and social instruments (ESMF/ESMPs) | | | | |
| | Environmental and Social commitment Plan, SEP, Labor Management Procedures | | | | |
| Implementation | Consultations on sub-project details, ESF instruments (site-specific ESMPs) and grievance redress details(channels) | Workshops, focus groups, surveys, and public consultations | According to the timetable of the project, close to local locations where the project activities are taking place. | Governmental entities involved; Project affected and other interested parties | MOCHMPW /PMT |
| | Updated SEP, ESCP, LMP as required | | When the documents get updated; at premises of different entities at the central and local levels, as well as in public places and local councils | Governmental entities involved; Line Ministries; and donors | MOCHMPW /PMT |
| | Training and capacity Building | Physical or Virtual Workshops(depending on COVID-19 considerations) | According to timetable of the project | Governmental entities involved and Road Maintenance Enterprises | MOCHMPW /PMT/Project Consultants |
| Monitoring and evaluation | Progress reports, identification of roadblocks | Participation to joint monitoring exercises<br>Use of apps or digital solutions for user feedback<br>Surveys<br>Workshops, press conference | Continuous user feedback<br><br>Progress review every 6 months; mid-term review and end of project cycle | Beneficiaries and affected population; larger public | PMT; M&E Specialists; and governorates focal points |

# ANNEXES

**Annex 1: Environmental & Social Eligibility Criteria/Exclusion Form**

**Annex 2: Environmental & Social Management Plan (ESMP) Sub-project Checklist.**

**Annex 3: Consultation Documentation**

## Annex 1: Environmental & Social Eligibility Criteria/Exclusion Checklists

**Objective : To identify projects with high ES impacts**
If any of the answers to the questions below is **Yes**, then the sub-project would be classified as High/Substantial Risk project and should be excluded from the project.

| Sub-project title: | |
|---|---|
| Sub-project brief description: | |
| Question | Answer (Yes/No) |
| Will the project: | |
| **1. Cause sensitive (direct and or cumulative) impacts?** Examples of Sensitive impacts are those, which may be irreversible, or those which raise issues related to natural habitats and or physical cultural resources. | |
| **2. Cause diverse (direct and or cumulative) impacts?** Diverse impacts are those impacting different media (air quality, water quality, noise level, risk to the community) at the same time. | |
| **3. Cause unprecedented impacts?** Unprecedented impacts are those, which have not been experienced before in the project's area of influence (i.e. those which occur for the first time in the area) | |
| **4. Have an area of influence that significantly exceeds its footprint?** | |
| **5. Cause significant residual impacts?** | |

## Annex 2: Subproject Environmental & Social Management Plan (ESMP) Checklist

**ESMP Checklist to be used during the implementation and monitoring of the preventive maintenance work**

| NO. | POTENTIAL IMPACT Category/Aspect | ☑ | MITIGATION MEASURES | ☑ | MONITORING PARAMETERS | KPIs, comments or notes |
|---|---|---|---|---|---|---|
| 1 | Waste Management | ☐ | Minimize waste generation on site and develop simple waste management plan for specific waste streams as indicated below. | ☐ | All mitigation measures have been implemented as described in the mitigation section. | |
| | | ☐ | Waste collection and disposal pathways and sites will be identified for all major waste types expected from the maintenance work. | | | |
| | | ☐ | Design a segregation system based on compatibility of different waste streams and based on the recycling services (if locally available). | | | |
| | | ☐ | Inert wastes will be separated from general refuse, organic, and chemical wastes by on-site sorting and stored in appropriate storage areas, and disposed properly according to the legal and municipality requirements. | ☐ | Records of solid waste and sewage collection (if applicable) with date and amount of waste documented. | |
| | | ☐ | General waste must be collected and transported to local council approved disposal sites. | | | |
| | | ☐ | Food wastes must be collected, and stored in closed waste containers located at each worksite, where practicable, considering health and hygiene issues, and disposed off-site through licensed contractors. | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| | | ☐ | Storage, transport and handling of all chemicals must be conducted in accordance with all legislative requirements, through licensed contractors and in coordination with the local authority | ☐ | Number of Environmental and OHS incidents related to solid and liquid waste. | |
| | | ☐ | Open burning of waste material is prohibited on site | | | |
| | | ☐ | Sewage from construction offices and rest areas will be collected in intact septic tanks, free of any leaks which design will be approved by the PMT and design consultant and the water shall be pumped and transferred by municipality or private contractor special trucks to the nearest authorized sewage treatment plant. | ☐ | Number of complaints related to waste management and time it took to solve them as well as number of unresolved complaints. | |
| | | ☐ | Complete prohibition of solid and liquid waste dumping in any water body | | | |
| | | ☐ | Complete prohibition of solid and liquid waste dumping in any adjacent or near-by agricultural land, occupied and/or unoccupied land. | | | |
| | | ☐ | Provision of training for workers on sound environmental practices to manage solid wastes. | | | |

| NO. | POTENTIAL IMPACT Category/Aspect | ☑ | MITIGATION MEASURES | ☐ | MONITORING PARAMETERS[18][19] | KPIs, comments or notes |
|---|---|---|---|---|---|---|
| **2** | **Toxic / Hazardous Waste Management** | ☐ | Temporarily storage on site of all hazardous or toxic substances in safe containers labeled with details of composition, properties and handling information. | ☐ | All mitigation measures have been implemented as described in the mitigation section. | **KPIs, comments or notes** |
| | | ☐ | The containers of hazardous substances shall be placed in a leak-proof secondary container to prevent spillage. | | | |

[18] Refer to Section 4.4.3 for details about the monitoring methods, location and frequency
[19] Refer to Annex .. for the Monitoring Checklist to be used

| | | | | | | |
|---|---|---|---|---|---|---|
| | | ☐ | All hazardous wastes must be appropriately stored in bounded areas and should be clearly identified as “hazardous”. | | | |
| | | ☐ | The use of paints and solvents with toxic ingredients and/or lead-based paints will be prohibited. | ☐ | Number of Environmental and OHS incidents related to solid and liquid hazardous waste and substance management. | |
| | | ☐ | Transportation and disposal of hazardous wastes should be done through licensed contractors and disposed in a licensed facility, in close coordination with the relevant local authority and in compliance with the legal requirements. | | | |
| | | ☐ | Hazardous liquids, such as solvents, rust proofing agents and primer must be managed in accordance with the requirements of relevant legislation and industry standards. | | | |
| | | ☐ | Hydrocarbon wastes, including lube oils, must be collected for safe transport off-site for reuse, recycling, transport or disposal at approved locations. | ☐ | Number of complaints related to hazardous waste management and time it took to solve them as well as number of unresolved complaints. | |
| | | ☐ | In case of accidental spills of hydrocarbons, isolate and collect the contaminated soil and store as hazardous waste to be disposed of in hazardous waste landfills. | | | |
| | | ☐ | A hazardous materials inventory for the construction period must be prepared. | | | |
| | | ☐ | Material Safety Data Sheets (MSDS) for hazardous materials must be available on-site during construction and made available and explained to workers. | | | |
| | | ☐ | Accidents due to the hazardous waste dispersion response and cleanup plan must be presented by the contractor and approved latter as mitigated for impacts. | | | |

| NO. | POTENTIAL IMPACT Category/Aspect | ☑ | MITIGATION MEASURES | ☑ | MONITORING PARAMETERS[2021] | KPIs, comments or notes |
|---|---|---|---|---|---|---|
| 3 | Air Quality and Emissions to air | ☐ | During the implementation of maintenance work, dust control measures shall be employed, e.g. by spraying and moistening the ground. | ☐ | All mitigation measures related to air quality and activity pollution prevention have been implemented. | |
| | | ☐ | Soil debris, excavated soil, aggregates and friable materials shall be kept in controlled area, covered where feasible and sprayed with water mist to reduce dust generation. | | | |
| | | ☐ | During work generating dust, water spraying shall be used especially in areas close to sensitive receptors. | | | |
| | | ☐ | The surrounding environment (sidewalks, roads, lands, etc.) shall be kept free of soil and debris to minimize dust. | ☐ | Number of complaints received with regards to air quality and dust generation the time it took to solve them as well as number of unresolved complaints. | |
| | | ☐ | All machinery will comply with Iraq emission regulations, shall be well maintained and serviced and there will be no excessive idling of construction vehicles at sites. | | | |
| | | ☐ | Speed reduction for vehicles approaching the site to less than 40 km/hr. On site, speed should not exceed 20 km/hr. | | | |
| | | ☐ | Cleaning of vehicle tires. | | | |
| | | ☐ | Covering of trucks carrying fine grade construction materials. | | | |
| | | ☐ | Electric small-scale mechanization and technical tools are used when available and feasible. | | | |

[20] Refer to Section 4.4.3 for details about the monitoring methods, location and frequency
[21] Refer to Annex .. for the Monitoring Checklist to be used

| NO. | POTENTIAL IMPACT Category/Aspect | ☑ | MITIGATION MEASURES | ☑ | MONITORING PARAMETERS[22][23] | KPIs, comments or notes |
|---|---|---|---|---|---|---|
| 4 | Noise[24] | ☐ | Stop all noisy work at night (before 6 am after 6pm), near sensitive receptors. | ☐ | All mitigation measures have been implemented | |
| | | ☐ | Provision of speed limit signs (in the event of cars transporting raw materials to the site) – maximum speed allowed will be 20 km/hour. | ☐ | Number of complaints received with regards to noise associated with the maintenance work and the time it took to solve them as well as number of unresolved complaints. | |
| | | ☐ | Informing local population about noisy road works in advance (if any). | | | |

| NO. | POTENTIAL IMPACT Category/Aspect | ☑ | MITIGATION MEASURES | ☑ | MONITORING PARAMETERS[25][26] | KPIs, comments or notes |
|---|---|---|---|---|---|---|
| 5 | Fauna and Flora Impacts | ☐ | Implement all the measures related to waste management and pollution prevention as indicated in Sections 1,2 and 3 | ☐ | Adopt same parameters as sections 1,2 and 3 | |

[22] Refer to Section 4.4.3 for details about the monitoring methods, location and frequency
[23] Refer to Annex .. for the Monitoring Checklist to be used
[24] Based on the project's assumption of not using any mechanical equipment. Noise impacts have been therefore limited to those associated with manual tools.
[25] Refer to Section 4.4.3 for details about the monitoring methods, location and frequency
[26] Refer to Annex .. for the Monitoring Checklist to be used

| NO. | POTENTIAL IMPACT Category/Aspect | ☑ | MITIGATION MEASURES | ☑ | MONITORING PARAMETERS[27][28] | KPIs, comments or notes |
|---|---|---|---|---|---|---|
| 6 | Community Safety and Health and Accessibility | ☐ | Implement all the measures related to waste management and pollution prevention as indicated in Sections 1,2 and 3 | ☐ | Stakeholder Engagement Plan adopted and implemented. | |
| | | ☐ | Adopt and implement the **Stakeholder Engagement Plan (SEP)** prepared for the project | | | |
| | | ☐ | Clearly place a sign in Arabic language on each construction site stating the objective of the project, duration of the work and the phone number to receive grievances for both the microenterprise and RBD. The sign should also include a prominent warning to cross the fence boundaries. | | | |
| | | ☐ | Securely surround the site with a solid fence when working adjacent to residential clusters or any area where children are suspected to be present. Only in desert areas, that this fence could be substituted with an open one. | | | |
| | | ☐ | Adopt and implement a health management system for the workers, to ensure through medical check-ups, they are fit for work and that they will not introduce disease into local communities. | | | |
| | | ☐ | Ensuring safe and continuous access to all adjacent office facilities, shops and residences during construction.<br>A traffic plan should be developed inside and outside the site to provide the maximum safety to the population and project personnel. | | | |

[27] Refer to Section 4.4.3 for details about the monitoring methods, location and frequency
[28] Refer to Annex .. for the Monitoring Checklist to be used

| | | | | | | |
|---|---|---|---|---|---|---|
| **6** | **Community Safety and Health and Accessibility** | ☐ | Provision of temporary alternative access roads/ by-passes | ☐ | All mitigation measures have been implemented. | |
| | | ☐ | Prohibit trespassing adjacent to the work site | | | |
| | | ☐ | Instruct all vehicles drivers contracted by the project on safe driving guidelines. | | | |
| | | ☐ | When working near residential clusters, photo-document the condition of the nearest residential building(s) to the site before beginning the construction work**.** | | | |
| | | ☐ | Implement an Emergency Response Plan to manage major incidents if they should occur, such as train accidents in the vicinity of the construction site. | | | |
| | | ☐ | Prepare adopt, and implement a project and workers **Grievance Redress Mechanism (GRM).** | ☐ | Number of community health and safety-related complaints received and the time it took to resolve them. | |
| | | ☐ | Carry on an Ongoing identification, evaluation and monitoring of potential community health and safety risks. | | | |
| | | ☐ | No exposed, hot power cables should be left unattended at any time. | ☐ | Number of unresolved complaints. | |
| | | ☐ | Storage of track units or construction material should be allowed on ENR's storage yards in a way that will not affect traffic or pose any risk to communities adjacent to the railway. | | | |
| | | ☐ | Adjustment of working hours to local traffic patterns, e.g. avoiding major transport activities during rush hours or times of livestock movement.<br>Provide and identify alternative access routes, if necessary, with coordination between the local authorities and community leaders in the project area and inform the | ☐ | Number of accidents associated with community, trespassers including serious injuries and fatalities. | |

| | | | | | | |
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| | | | residents about the alternative routes before construction begins | | | |
| | | ☐ | If required, there should be an active traffic management by trained and visible staff at the site for safe passage for the public | | | |

| NO. | POTENTIAL IMPACT Category/Aspect | ☑ | MITIGATION MEASURES | ☑ | MONITORING PARAMETERS[29][30] | KPIs, comments or notes |
|---|---|---|---|---|---|---|
| 7 | Workers Influx/Workforce-Community Interactions | ☐ | Adopt and implement the **SEP** prepared for the project, as a framework for early and ongoing community consultation. | ☐ | All mitigation measures have been implemented (in specific those related to the code of conduct including GBV and other labour influx risks) | |
| | | ☐ | Prepare adopt, and implement a project and workers **Grievance Redress Mechanism (GRM).**<br>•Assign a telephone number for grievance related to GBV. | | | |
| | | ☐ | Develop work procedures, defining a **Code of Appropriate Conduct** for all workers, including acceptable behaviour with respect to community interactions and train workers on its content. | ☐ | The Code of Conduct has been prepared and formally adopted | |
| | | ☐ | Ensure the provision of information regarding Worker Code of Conduct in local language. | | Number of complaints received from the community with regards to workers' behaviour in general and the time it took to solve them. | |
| | | ☐ | Microenterprise/Contractor to avoid hiring "at the gate" to discourage spontaneous influx of job seekers. | ☐ | | |
| | | ☐ | Train all workers on GBV risks and related sanctions. | ☐ | Training records | |

[29] Refer to Section 4.4.3 for details about the monitoring methods, location and frequency
[30] Refer to Annex .. for the Monitoring Checklist to be used

| | | | | | | |
|---|---|---|---|---|---|---|
| | | ☐ | Ensure that management and security staff are adequately trained to identify and eradicate all forms pertaining to GBV and gender-based discrimination. | | | |
| | | ☐ | Introduction of strict sanctions (e.g. dismissal) for workers involved in any form of abuse, inappropriate behaviour or GBV | ☐ | % of workers trained on Code of Conduct | |
| | | ☐ | Considering ways to minimize entry/exit to site or the workplace, and limiting contact between workers and the community/general public | | | |
| | | ☐ | Implementing a communication strategy with the community, community leaders and local government in relation to COVID-19 issues on the site. | ☐ | % of workers trained on GBV | |

| NO. | POTENTIAL IMPACT Category/Aspect | ☑ | MITIGATION MEASURES | ☑ | MONITORING PARAMETERS[31][32] | KPIs, comments or notes |
|---|---|---|---|---|---|---|

[31] Refer to Section 4.4.3 for details about the monitoring methods, location and frequency
[32] Refer to Annex. for the Monitoring Checklist to be used

| | | | | | | |
|---|---|---|---|---|---|---|
| **8** | **Labour and Working Conditions including Occupational health & safety** | ☐ | • Implement all measures and procedures as indicated in the LMP prepared for the project including but not limited to:<br>○ Prohibit child labour<br>○ Prohibit forced labour, relating to any work or service not voluntarily performed that is exacted from an individual under threat of force or penalty. This prohibition covers any kind of involuntary or compulsory labor.<br>○ Adhere to national law and LMP requirements with respect to working hours, rest periods, annual and sick leave, minimum wage, fair and clear contractual terms and conditions.<br>○ Develop, adopt and implement the Worker GRM as detailed in the LMP.<br>○ Implement GIIP relating to labor standards and working conditions (in line with ILO Core Conventions) and national law as applied to equal opportunities and non-discrimination. The employment of Project workers will be based on the principle of equal opportunity and fair treatment, and there will be no discrimination with respect to any aspects of the employment relationship including but not limited to: recruitment requirements; training opportunities; termination of employment; inappropriate treatment or harassment including sexual harassment. Men and women will be given equal opportunities relating to all recruitment opportunities under the project. This will apply to hiring of all project workers<br>○ The health and safety risk on the workers should be Coverage with appropriate insurance schemes for all the types of workers. In addition, the Insurance should be covering work related | ☐ | All mitigation measures have been implemented. | |
| **8** | **Labour and Working Conditions including Occupational health & safety** | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| **8** | **Labour and Working Conditions including Occupational health & safety** | | accidents (injuries and fatalities), as well as insurance for third party.<br>○ | | | |
| | | **SPECIFIC OHS MEASURES FOR THE SITE WORK** | | ☐ | Checks on workers right to work (including work permits, age etc.). | |
| | | ☐ | Allocate a focal point to manage EHSS aspects and provide him with the necessary training. | ☐ | Reports on any accidents, hazardous events, as well as records and reports on health, safety and welfare of workers. | |
| | | ☐ | Place appropriate signs and instructional banners within the sites will inform workers of key rules and regulations to follow. | | | |
| | | ☐ | Ensure compliance with local and international guidance and codes of practice on Environmental Health and Safety (EHS) management. | ☐ | Condition of fire extinguishing instruments. | |
| | | ☐ | Provision of full PPE including suitable footwear to avoid slippage. Workers' Personal Protective Equipment (PPE) will comply with international standards and regulations (always hardhats, as needed masks and safety glasses, harnesses and safety boots). | | | |
| | | ☐ | Provision of appropriate and enough first aid equipment, and fire extinguishers in good condition. Firefighting equipment | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| **8** | **Labour and Working Conditions including Occupational health & safety** | | will be placed in prominent positions across the site where it is easily accessible. This includes fire extinguishers, a fire blanket as well as a water tank | | | |
| | | ☐ | Workers must be trained to recognize potential OHS hazards, use of proper work practices and procedures, recognize adverse health effects, understand the physical signs and reactions related to exposures, and are familiar with appropriate emergency evacuation procedures. They must also be trained to how to use the Personal Protective Equipment (PPE).<br><br>Provision of appropriate training for Workers on health and safety issues shall be provided in their local language and considering the local culture and level of knowledge, during an induction session and refresher sessions every month | ☐ | Condition of flammable material containers & storage. | |
| | | ☐ | Workers exposed to noise exceeding permissible levels (e.g. ballast uploading) should wear hearing protection. | ☐ | Availability & usage of PPEs. | |
| | | ☐ | Regular inspection of workers against pathogenic agents and provision of immunization when needed. | | | |
| | | ☐ | Limit speed of construction vehicles and provide road signage for drivers and local community. | ☐ | Condition of Rest Facilities. | |
| | | ☐ | Preparation and adoption of an emergency response plan. Identify and provide contacts of closest authorities and emergency services to contact in case of emergencies. | | | |
| | | ☐ | Prohibit smoking on site, especially near residential buildings and other sensitive receptors. | | | |
| | | ☐ | Strictly avoid excavations in areas with residential natural gas connections or works near natural gas piping. | ☐ | Workers right to work (including contracts, age etc.) and Inclusion | |

| | | | | | | |
|---|---|---|---|---|---|---|
| | | **COVID-19 MEASURES** | | | | |
| | | ☐ | Follow latest WHO and national measures on Covid-19 as relevant. | | | |
| | | ☐ | Provision of medical insurance for workers covering treatment for COVID-19, sick pay for workers who either contract the virus or are required to self-isolate due to close contact with infected workers and payment in the event of death. | | | |
| | | ☐ | Assessing the characteristics of the workforce, including those with underlying health issues or who may be otherwise at risk. | | | |
| | | ☐ | Confirming workers are fit for work, to include temperature testing and refusing entry to sick workers | | | |
| | | ☐ | Training workers on hygiene and other preventative measures, and implementing a communication strategy for regular updates on COVID-19 related issues and the status of affected workers. | | | |
| | | ☐ | Treatment of workers who are or should be self-isolating and/or are displaying symptoms. | | | |
| | | ☐ | Assessing risks to continuity of supplies of medicine, water, fuel, food and PPE, taking into account international, national and local supply chains. | | | |
| | | ☐ | Adjustments to work practices, to reduce the number of workers and increase social distancing. | | | |
| | | ☐ | Establishing a procedure to follow if a worker becomes sick (following WHO guidelines) | | | |
| | | **EQUIPMENT (IF APPLICABLE)** | | | | |
| | | | | | of minimum labour standards in all workers contracts. | |
| | | | | ☐ | % of site employees trained on OHS, emergency procedures and GRM. | |
| | | | | ☐ | OHS statistics such as fatalities, injuries, lost time incidents, first aid cases. | |
| | | | | ☐ | Contractor-workers' Contracts. | |

| | | | | | | |
|---|---|---|---|---|---|---|
| | | ☐ | Inspection and testing of all equipment and machines (if any). | | | |
| | | ☐ | Where there is a risk of mechanical contact with moving parts of work equipment, which could lead to accidents, those parts must be provided with guards or devices to prevent access to danger zones or to halt movements of dangerous parts before the danger zones are reached. | ☐ | Number of complaints received, number solved and the time it took to solve them. | |
| | | ☐ | Work equipment must bear the warnings and markings essential to ensure the safety of workers. | | | |
| | | ☐ | All equipment is maintained in a safe operating condition. | | | |
| | | ☐ | Pre-construction assessment of the EHS risks and hazards associated with construction and operation, including consideration of local cultural attitudes, education level of workforce and local work practices. | ☐ | Number of unresolved complaints. | |
| | | ☐ | Maintenance of a high standard of housekeeping at all times. | | | |

| NO. | POTENTIAL IMPACT Category/Aspect | ☑ | MITIGATION MEASURES | ☑ | MONITORING PARAMETERS[33][34] | KPIs, comments or notes |
|---|---|---|---|---|---|---|
| | | ☐ | In case of chance finds, implement the following "**Chance Find Procedure":**<br><br>Stop the construction activities in the area of the chance find. | ☐ | Chance finds reports | |
| | | ☐ | Delineate the discovered site or area. | | | |

[33] Refer to Section 4.3.3 for details about the monitoring methods, location and frequency
[34] Refer to Annex .. for the Monitoring Checklist to be used

| | | | | | | |
|---|---|---|---|---|---|---|
| **9** | **Physical Cultural Resources** | ☐ | Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be present until the responsible local authorities and the Ministry of Culture take over. | | | |
| | | ☐ | Notify the supervisory Engineer who in turn will notify the responsible local authorities and the Ministry of Culture immediately (within 24 hours or less). | | | |
| | | ☐ | Responsible local authorities and the Ministry of Culture would be in charge of protecting and preserving the site before deciding on subsequent appropriate procedures. This would require a preliminary evaluation of the findings to be performed by the archeologists from the Department of Antiquities and the Ministry of Culture (within 72 hours). The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage; those include the aesthetic, historic, scientific or research, social and economic values. | | | |
| | | ☐ | Decisions on how to handle the finding shall be taken by the responsible authorities from DA and the Ministry of Culture. This could include changes in the layout (such as when finding an irremovable remain of cultural or archeological importance) conservation, preservation, restoration and salvage. | | | |

## Annex 3: Consultation Documentation

a. Consultation Tools
b. List of Participants and Photo Documentation

**Annex 3a - Consultation Tools**

## Iraq Road Maintenance Microenterprises Grant Project

**Project Beneficiaries:** The direct beneficiaries of the project will be disadvantaged inhabitants in the Project Area (around 4,000 individuals, including 25 percent of women, divided around 50 subprojects), resulting in the equivalent of a total of 350,000 workdays being directly created. Other beneficiaries of the project include the communities that will benefit from the maintained access to the targeted roads.

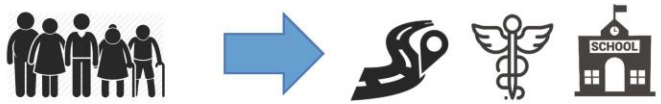
4,000 Individuals

25% Women

50% Subprojects

350,000 Workdays

**Project Development objectives:** The proposed Project Development Objective (PDO) is to provide entrepreneurship and employment opportunities to disadvantaged rural inhabitants in lagging areas of Iraq and improve their level of road access to markets, health centers and schools in these areas.




**Project Location:** The project will be implemented in the northern and mid region of Iraq (Diyala, Salah al-Din, Nineveh, and Dohuk) with a total population of 7,797,700 (2014 statistics) and area of (85,924 $km^2$ =19.6% of Iraq total area) and the southern of Iraq "Mid-Euphrates region" (Al-Qadisiyah, Al-Najaf, Karbala, and Al-Muthanna) with a total population of 4,716,300 and area of (93,751 = 21.3% of Iraq total area)

7,797,700 in northern and mid-region of Iraq

85,924 km2 Total area

19.6% Total area of Iraq

4,716,300 in southern of Iraq

93,751 km2 Total area

21.3% Total area of Iraq

## Iraq Road Maintenance Microenterprises Grant Project


**Project Main Activities**

- The type of works will consist of debris removal, cleaning of shoulders, drainage system and bridges, vegetation control, slopes and retaining walls, installation of simple protection measures, and/or minor surface repairs + cobblestone pavement if relevant + tree planting. The subprojects will be implemented by local enterprises employing the poor and disadvantaged
- All works shall be manually executed using tools, protective equipment, and small quantities of construction materials (Typically gravel, crushed stone, cement, gabions, and/or binding yarns) that are necessary for the works. Tools would include bicycles, wheelbarrows, hoes, picks, shovels, rakes, bush knives, manual compactors, and crowbars.

**Other complementary components –**

Technical inspection of the work through the provision of consulting services

Project management and administration

Capacity building including training on technical aspects and training on entrepreneurial and managerial aspects

Monitoring and evaluation

## Identified environmental and social impacts and designed mitigation measures

| Environmental & Social Impact | Mitigation measures |
|---|---|
| Waste generation | • Implement a waste management plan and disposal in authorized dumpsites |
| Dust generation | • Implement pollution prevention measures including covering friable materials and spraying water and reducing work-related emission near residential buildings |
| Noise | • Informing local population about noisy road works in advance (if any)<br>• Stop all noisy work at night (before 6 am after 6pm), near sensitive receptors |
| Community Health & Safety and Accessibility | • Adjustment of working hours to local traffic patterns,<br>• Securely surround the site with a solid/suitable fence when working adjacent to residential clusters or any area where children are suspected to be present.<br>• Ensuring safe and continuous access to all adjacent office facilities, shops and residences during construction |
| Workers Influx/Workforce-Community Interactions | • Develop work procedures, defining a Code of Appropriate Conduct for all workers, including acceptable behavior with respect to community interactions and train workers on its content<br>• Train all workers on the code of conduct<br>• Introduction of strict sanctions (e.g. dismissal) for workers involved in any form of abuse, inappropriate behavior |
| Labor and Working Conditions including Occupational health & safety | • Prohibit child labor<br>• Prohibit forced labor, relating to any work or service not voluntarily performed that is exacted from an individual under threat of force or penalty. This prohibition covers any kind of involuntary or compulsory labor.<br>• Adhere to national law and LMP requirements with respect to working hours, rest periods, annual and sick leave, minimum wage, fair and clear contractual terms and conditions.<br>• Implement all OHS measures according to national law and international best practices |

**Cross-cutting mitigation measures**

Adopt and implement the **Stakeholder Engagement Plan (SEP)** prepared for the project

Prepare adopt, and implement a project and workers **Grievance Redress Mechanism (GRM).**

## Iraq Road Maintenance Microenterprises Grant Project

The purpose of this consultation session is to present the project, its broader benefits, as well as the expected adverse environmental and social impacts together with the designed mitigation measures. Specifically, the objectives of the consultation session are:

1. To inform the stakeholders and the public about the project.
2. To disseminate information about the GRM system and obtain feedbacks
3. Identify special concerns and/or unidentified environmental and social risks and impacts

Please fill in the following questionnaire, indicating you strongly **Agree** (give score of 5) or strongly **Disagree** (give score of 1)

| | Required Response | | | | |
|---|---|---|---|---|---|
| | **1** | **2** | **3** | **4** | **5** |
| | Strongly **Disagree** | | | | Strongly **Agree** |

| | | | | | | |
|---|---|---|---|---|---|---|
| **1** | The MGP will have multiple positive impacts on the residents of the area? | ☐ | ☐ | ☐ | ☐ | ☐ |
| **2** | The MGP will help providing job opportunities to local communities | ☐ | ☐ | ☐ | ☐ | ☐ |
| **3** | The MGP will help promoting entrepreneurship and the creation of microenterprises | ☐ | ☐ | ☐ | ☐ | ☐ |

| | | | | | | |
|---|---|---|---|---|---|---|
| **4** | The MGP will improve the road conditions, thus improving accessibility and improving the road safety. | ☐ | ☐ | ☐ | ☐ | ☐ |
| **5** | ALL members of the local communities will benefit from the project | ☐ | ☐ | ☐ | ☐ | ☐ |
| **6** | The expected environmental impacts of the project comprise of noise, dust generation and missions to air, generation of solid waste. They could never the less be easily mitigated due to the simple nature of maintenance work expected. | ☐ | ☐ | ☐ | ☐ | ☐ |
| **7** | The expected occupational health & safety impacts of the project are minimal and could be easily mitigated due to the simple nature of maintenance work expected | ☐ | ☐ | ☐ | ☐ | ☐ |

| **Required Response** | | | | | |
|---|---|---|---|---|---|
| | **1** | **2** | **3** | **4** | **5** |
| | Strongly **Disagree** | | | | Strongly **Agree** |

| | | | | | | |
|---|---|---|---|---|---|---|
| **8** | The expected socioeconomic impacts of the project are minimal and could be easily mitigated | ☐ | ☐ | ☐ | ☐ | ☐ |
| **9** | Establishing a GRM for the project is essential for both the community and workers | ☐ | ☐ | ☐ | ☐ | ☐ |
| **10** | There will not be any damages whether permanent or temporary which would affect the livelihood of the residents or cause loss of income due to the rehabilitation activities? | ☐ | ☐ | ☐ | ☐ | ☐ |

| | | | | | | |
|---|---|---|---|---|---|---|
| **11** | From your understanding of the nature of the work, how far do you agree with that the project will not involve any permanent land acquisition? | ☐ | ☐ | ☐ | ☐ | ☐ |
| **12** | From your understanding of the nature of the work, how far do you agree with that the project will not involve any physical displacement of residents? | ☐ | ☐ | ☐ | ☐ | ☐ |
| **13** | Is there any usage by local residents of the facilities or land of the facilities by the local residents? | ☐ | ☐ | ☐ | ☐ | ☐ |
| **14** | "The project will not cause any social conflicts or changes in the demographics or social structure in the project area." How far would you agree? | ☐ | ☐ | ☐ | ☐ | ☐ |
| **15** | The project will not cause any damages to the structures or houses | ☐ | ☐ | ☐ | ☐ | ☐ |
| **16** | Is there any need for warning and directional signage during the rehabilitation activities? | ☐ | ☐ | ☐ | ☐ | ☐ |

**Annex 3b – List of Participants and Photo Documentation**

# Annex 4: World Bank Environmental and Social Standards (ESSs)

The World Bank Environmental and Social Standards (ESSs) are briefly described below,

**Environmental and Social Standard 1:** Assessment and Management of Environmental and Social Risks and Impacts

ESS1 sets out the Borrower's responsibilities for assessing, managing and monitoring environmental and social risks and impacts associated with each stage of a project supported by the Bank through Investment Project Financing, in order to achieve environmental and social outcomes consistent with the Environmental and Social Standards (ESSs)

**Environmental and Social Standard 2**: Labor and Working Conditions

ESS2 recognizes the importance of employment creation and income generation in the pursuit of poverty reduction and inclusive economic growth. Borrowers can promote sound worker-management relationships and enhance the development benefits of a project by treating workers in the project fairly and providing safe and healthy working conditions.

**Environmental and Social Standard 3**: Resource Efficiency and Pollution Prevention

ESS3 recognizes that economic activity and urbanization often generate pollution to air, water, and land, and consume finite resources that may threaten people, ecosystem services and the environment at the local, regional, and global levels. The cur- rent and projected atmospheric concentration of greenhouse gases (GHG) threatens the welfare of current and future generations. At the same time, more efficient and effective resource use, pollution prevention and GHG emission avoidance, and mitigation technologies and practices have become more accessible and achievable.

**Environmental and Social Standard 4**: Community Health and Safety

ESS4 recognizes that project activities, equipment, and infrastructure can increase community exposure to risks and impacts. In addition, communities that are already subjected to impacts from climate change may also experience an acceleration or intensification of impacts due to project activities.

**Environmental and Social Standard 5**: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

ESS5 recognizes that project-related land acquisition and restrictions on land use can have adverse

impacts on communities and persons. Project-related land acquisition or restrictions on land use may cause physical displacement (relocation, loss of residential land or loss of shelter), economic displacement (loss of land, assets or access to assets, leading to loss of income sources or other means of livelihood), or both. The term "involuntary resettlement" refers to these impacts. Resettlement is considered involuntary when affected per- sons or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement.

**Environmental and Social Standard 6**: Biodiversity Conservation and Sustainable Management of Living Natural Resources

ESS6 recognizes that protecting and conserving biodiversity and sustainably managing living natural resources are fundamental to sustainable development. Biodiversity is defined as the variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species, and of ecosystems. Biodiversity often underpins ecosystem services valued by humans. Impacts on biodiversity can therefore often adversely affect the delivery of ecosystem services.

**Environmental and Social Standard 7**: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities

This ESS applies to a distinct social and cultural group. The terminology used for such groups varies from country to country, and often reflects national considerations. ESS7 uses the term "*Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities,*" recognizing that these groups may be referred to in different countries by different terms . Such terms include "Sub-Saharan African historically underserved traditional local communities," "indigenous ethnic minorities," "aboriginals," "hill tribes," "vulnerable and marginalized groups," "minority nationalities," "scheduled tribes," "first nations" or "tribal groups." ESS7 applies to all such groups, providing they meet the criteria set out in the ESS paragraphs 8 and 9.

**Environmental and Social Standard 8**: Cultural Heritage

ESS8 recognizes that cultural heritage provides continuity in tangible and intangible forms between the past, present and future. People identify with cultural heritage as a reflection and expression of their constantly evolving values, beliefs, knowledge and traditions. Cultural heritage, in its many manifestations, is important as a source of valuable scientific and historical information, as an economic

and social asset for development, and as an integral part of people's cultural identity and practice. ESS8 sets out measures designed to protect cultural heritage throughout the project life cycle.

**Environmental and Social Standard 9**: Financial Intermediaries

ESS9 recognizes that strong domestic capital and financial markets and access to finance are important for economic development, growth and poverty reduction. The Bank is committed to supporting sustain- able financial sector development and enhancing the role of domestic capital and financial markets.

**Environmental and Social Standard 10**: Stakeholder Engagement and Information Disclosure

This ESS recognizes the importance of open and transparent engagement between the Borrower and project stakeholders as an essential element of good international practice. Effective stakeholder engagement can improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation.