

Ministry of Health of Ukraine

**Serving People Improving Health
Additional Financing Project**

Environmental and Social Management Framework (ESMF) *

Kyiv, 2020

*This document is an update of the Environmental Management Framework of the parent SPIH project.

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Acronyms

AF	Additional Financing
CMU	Cabinet of Ministers of Ukraine
DBN	In Ukrainian: <i>Derzhavni budivelni normy</i> (State Construction Norms)
EA	Environmental Assessment
EIA	Environmental Impact Assessment
EMF	Environmental Management Framework
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
MENR	Ministry of Ecology and Natural Resources
MEEP	Ministry of Energy and Environmental Protection
GRM	Grievance Redress Mechanism
MOH	Ministry of Health
OP	Operational Policy of the World Bank
OVD	In Ukrainian: <i>Otsinka vplyvy na dovkillya</i> (Environmental impact assessment)
MCTD	Ministry for Communities and Territories Development
OVNS	In Ukrainian: <i>Otsinka Vplyvu na Navkolyshnie Seredovysche</i> - process and document of environmental impact assessment
NGO	non-governmental organization
PIU	Project Implementation Unit
SPIH	Serving People Improving Health
SSUFSCP	State Service of Ukraine on Food Safety and Consumer Protection
UKB	In Ukrainian: <i>Upravlinnya Kapitalnogo Budivnytstva</i> (Department of Capital Construction)
WB	World Bank
HCF	Healthcare Facility

1. EXECUTIVE SUMMARY

1. This ESMF, prepared for SPIH AF project is an updated version of the Environmental Management Framework for parent SPIH project that was prepared and approved in 2014 and updated in February 2020.

2. **Project objective.** The proposed “Serving People, Improving Health” AF Project seeks to improve the quality of health services in selected oblasts, with special focus in primary and secondary prevention of non-communicable diseases, and enhance efficiency and governance of the health care system.

3. **Project description. Component 1 of the Additional Financing** will support upgrades of service delivery in selected healthcare facilities (HCF) and outpatient facilities. The Project will support procurement of the necessary equipment for the emergency departments, surgical departments, and stroke units in the selected HCF. As a precondition to receive the procured equipment, these HCF will need to complete the refurbishment and reconstruction works financed by the state program foreseen for the upgrade of the HCF and local co-financing funds. Preparation for Additional Financing to support Ukraine’s health sector reforms was already well-advanced when an outbreak of coronavirus disease (COVID-19) started to spread rapidly across the world, threatening to pose significant challenges to Ukraine health system. The Government’s capacity to prevent, detect, and respond to epidemics on the scale of COVID-19 needs strengthening. With WHO and other partners, Ukraine has prepared a COVID-19 Emergency Response Plan (CERP), which identifies areas that need support.

Component for COVID-19 emergency response activities will finance the procurement of the needed materials and equipment for the COVID-19 response through the UN agencies (WHO, UNICEF, and UNDP). These contracts will also include the essential capacity-building and communications assistance related to COVID-19 activities and will be used to reimburse the expenditures of service providers for interventions for suspected or confirmed COVID-19 cases. The Borrower and implementing agency for the project is the Government of Ukraine (represented by the Ministry of Health), and in each oblast, the implementing agency is oblast State Administration and its Department of Health Care. Technical aspects of construction work in oblasts will be managed by Departments of Capital Construction of oblast State Administrations.

4. **Location and project activities.**

The HCF which will be selected for procurement of equipment for the emergency departments, surgical departments, and stroke units from AF, will carry on refurbishment and reconstruction works of their premises. These works, in spite of being financed not from the WB loan, are considered by the WB as associated activities, and thus WB safeguards policies fully apply to them.

Selection of the HCF will be done at later stages of the SPIH AF project.

Reconstruction usually will involve various works inside the building, windows/doors replacement, roofing (if needed), facade works and necessary improvement of existing

infrastructure on the site. There will be no infrastructure works outside the facility site (power, water, sewerage lines) carried out in the framework of this project.

5. ***Project category.*** The World Bank has established its social and environmental safeguard policies in order to prevent and mitigate potential adverse impacts associated with the Bank's lending operations to people and their environment. These policies are triggered if a project is likely to have potential adverse environmental risks and impacts on the natural environment (air, water and land); human health and safety; physical cultural resources; social environment.

Potential negative impacts of the proposed Project are predictable, medium-scale and manageable. These potential impacts are associated with rehabilitation and reconstruction of existing premises of hospitals, polyclinics, and primary care centers. Both parent and SPIH AF projects are assigned a Category “B” rating.

According to category B, subprojects described above require environmental and social assessment procedure which should be in compliance with Ukrainian legislation and World Bank policies. The scope of environmental and social assessment may vary from subproject to subproject. The Borrower is responsible for carrying on environmental and social assessment and providing information to the public through public consultation.

Any activities that may cause any permanent or temporary physical or economic displacement would be excluded from the project. Therefore, the Involuntary Resettlement Policy OP4.12 is not triggered.

6. ***Potential negative environmental and social impacts are predictable, small-scale and manageable.*** These potential impacts are associated with rehabilitation and reconstruction of existing premises of HCF. The subprojects to be supported under the project (reconstruction and refurbishment activities) might cause some environmental impacts that can be summarized as follows:

During construction phase:

- soil and air pollution; acoustic, aesthetics impacts, etc. Overall, all these impacts will be site-specific and mostly temporary, and can be easily mitigated through good project design and implementation practices.

During operation phase:

- health care facilities will generate household waste and medical waste, which will be disposed of through existing practices (collection and processing by licensed waste collection companies).

The major areas of environmental and social risks of COVID-19 component are:

1. Risks related to medical waste management and disposal;
2. Risks related to spread of the virus among healthcare workers.

If environmental policies of the World Bank are more stringent than the requirements of Ukrainian regulations, the World Bank requirements should be applied.

7. Potential **social impacts** can be summarized as follows

- Positive: better access to health care services; higher level of satisfaction with the provided services due to better ventilation, sanitary and heating conditions; higher level of services provided with modern equipment. The social impact of the proposed Project is expected to be benefiting disproportionately the rural and more disadvantaged population.
- Negative: changes in functionality of existing HCF; during potentially long period of reconstruction people will have limited access to locally provided health care.

8. ***Environmental and social screening.*** All subprojects to be supported under SPIH AF project will be subject to environmental and social screening, which will be conducted by implementing agencies (MOH and oblast State Administrations). All of the refurbishing sub-projects will fall under Category B, which will require ESMP.

9. ***Environmental Management Framework.*** In order to address safeguard issues, the Borrower (Ministry of Health) has developed the ESMF. In accordance with this ESMF, all participating oblasts will develop site-specific ESMPs for every refurbishment subproject to be implemented in each oblast. These ESMP will specify potential adverse environmental and social impacts and mitigation measures. Within the ESMP, the Environmental and Social Monitoring Plans will be prepared for each subproject, where monitoring indicators, timing, methods, and institutional responsibilities will be specified.

10. ***Environmental and Social Management Framework disclosure and consultation.*** The Project Implementation Unit (PIU) will post information on draft Environmental and Social Management Framework for SPIH AF project on a MOH website (www.moz.gov.ua) for broad public access before approval of AF. Later, the PIU will organize public consultations on ESMF for SPIH AF project and more comprehensive public hearings if required. After the consultation, the draft ESMF document will be reviewed to consider inputs from consulted parties. The final version of the ESMF will be re-disclosed on the website of the Ministry of Health and in the World Bank website upon completion of public consultations.

2. DESCRIPTION OF PROJECT ACTIVITIES WHICH REQUIRE ENVIRONMENTAL AND SOCIAL ASSESSMENT

Following the WB Safeguards Policies and Procedures, the original Environmental Management Framework that was prepared and approved in 2014 for parent SPIH project has been updated in 2020 for SPIH AF project to (a) cover social impact assessment and update the template for the Environmental and Social Management Plan with social mitigation measures; (b) reflect the AF-supported activities (including associated activities); (c) address safeguards issues during AF implementation; (d) address changes in management arrangements and necessary capacity building; (e) detail requirements of the new law “On Environmental Impact Assessment (*Pro otsinku vplyvu na dovkillu*)”; (f) reflect reporting requirements under the Environmental and Social Incident Reporting Tool; and (g) provide guidelines on GRM-handling procedures for subprojects’ implementers; (h) reflect changes in the structure of Ukrainian Government organs; (i) provide guidance on COVID-19 component safeguards issues.

Within Component 1 of the Additional Financing there are activities which will support upgrades of service delivery in selected HCF and outpatient facilities. The Project will support procurement of the necessary equipment for the emergency departments, surgical departments, and stroke units in the selected hospitals. The budget allocated in 2020 for the upgrade of the emergency departments could cover 30-50 hospitals. The selection of the hospitals will be completed before the effectiveness of the Project. No acquisition of new land plots for these sub-projects is envisaged.

As a precondition to receive the procured equipment, these HCF will need to complete the refurbishment and reconstruction works of their premises, financed by the state program foreseen for the upgrade of the HCF and local co-financing funds. These works, in spite of being financed not from the WB loan, are considered by the WB as associated activities (i.e. they are directly related to the project and necessary for the project to be viable), and thus WB safeguards policies fully apply to them.

Reconstruction usually will involve various works inside the building, windows/doors replacement, roofing (if needed), facade works and necessary improvement of existing infrastructure on the site. Sub-project implementers (oblasts) clearly indicated that there will be no infrastructure works outside the facility site (power, water, sewerage lines), because all this infrastructure objects are owned and managed by municipalities.

Technical aspects of construction work in oblasts will be managed by Departments of Capital Construction (*Upravlinnia kapitalinogo budivnytstva*) of oblast State Administrations. These departments organize construction of all public buildings in oblast (school, hospitals, government offices etc.) They have sufficient staff to manage several large and many small construction projects at one time.

COVID-19 component

Preparation for Additional Financing to support Ukraine's health sector reforms was already well-advanced when an outbreak of coronavirus disease (COVID-19) started to spread rapidly across the world, threatening to pose significant challenges to Ukraine health system.

The Government's capacity to prevent, detect, and respond to epidemics on the scale of COVID-19 needs strengthening.

With WHO and other partners, Ukraine has prepared a COVID-19 Emergency Response Plan (CERP), which identifies areas that need support.

These include improvements in the existing surveillance systems (e.g. testing for COVID-19), national laboratory system, infection prevention and control systems, case management, logistics and supply management, among others.

Implementing the Government's COVID-19 Emergency Response Plan will require additional resources to support hospitals, ambulatories and emergency care providers. The health care providers engaged in the COVID-19 will require additional resources to mobilize staff and organize proper shifts of medical personnel, organize transportation, and implement COVID-19 case identification and treatment. In addition to the services in the current benefit package, the NHSU will contract providers of emergency services, inpatient and outpatient care to provide additional services related to COVID-19 response. Additional resources are also needed for testing, PPE as well as upgrading of ICU beds (6-beds and 12-beds units) in designated hospitals. Component for COVID-19 emergency response activities will finance the procurement of the needed materials and equipment for the COVID-19 response through the UN agencies (WHO, UNICEF, and UNDP) (more detailed description of medical supplies to be purchased under COVID-19 component is provided in Annex 9). These contracts will also include the essential capacity-building and communications assistance related to COVID-19 activities and will be used to reimburse the expenditures of service providers for interventions for suspected or confirmed COVID-19 cases.

3. UKRAINIAN AND THE WORLD BANK ENVIRONMENTAL AND SOCIAL ASSESSMENT POLICIES, RULES AND PROCEDURES, INCLUDING OCCUPATIONAL HEALTH AND SAFETY

3.1. Ukrainian Legislation regulating environmental protection and environmental assessment.

A general overview of Ukrainian environmental legislative and regulatory base is presented in Annex 1. Here we will describe in detail only environmental impact assessment.

There was a special law "On Ecological *Expertyza* (Environmental Review)" of 1995, which specified several types of "Ecological *Expertyza*", of which the State ecological *expertyza* was mandatory and most important. Actually, the Law stipulated that design documentation should be reviewed and approved by the panel of environmental experts.

This Law became inoperative on 23.05.2017, when a new Law "On Environmental impact Assessment" (*Pro Otsinku vplyvu na dovkillya, OVD*) № 2059-VIII of 23 May 2017 was enacted. Parts 2 and 3 of Article 3 of this Law specify the list of activities which require EIA/OVD. Procedure of preparing environmental impact assessment (Ukrainian acronym OVNS) documentation is prescribed by the State Construction Norms DBN A.2.2-1-2003 "On Conducting Assessment of Environmental Impact", but this procedure is not applicable because none of sub-projects envisaged by SPIH AF requires EIA/OVD.

Since none of the subprojects under Component 1 of SPIH AF fall under requirements of OVD Law and EIA/OVNS, the key applicable Law is the Law which regulates all types of construction activities: "On Regulation of City Planning Activity" of 12 March 2011. This law prescribes what kind of documentation should be prepared for construction projects of different types, and how this documentation should be reviewed. Provisions of this law are specified in a number of State Construction Norms (see list in Annex 2), which also take into account requirements of other legislative acts.

Engineering survey, design and construction activities are regulated by the Ministry for Communities and Territories Development (MCTD). There exists a whole set of design and construction norms and standards, of these we will mention here DBN A.2.2-3-2012 "Composition and Content of the Design Documentation for Construction", which defines terminology, types of construction activities and objects etc.

The State Construction Norms DBN A.2.2-3-2012 "Composition and Content of the Design Documentation for Construction" (Annexes B.1.2 and D) requires mandatory section on "environmental impacts, measures for their minimization, mitigation and compensation" in all types of design documentation (feasibility study, detailed design etc.) When design documentation is reviewed by the State Civil Engineering *Expertyza* (*Derzhbudekspertyza*), this section is also analyzed and approved by the experts.

In the State Construction Norms DBN A.2.2-3-2012, mentioned above, there are also requirements to justify decision on the necessity to construct (reconstruct) particular object, as well as provision "to ensure accessibility for handicapped persons".

General guidance on how the public consultations must be organized in case of full-scale EIA are listed in Section 1 of the State Construction Norms DBN A.2.2-1-2003. However, as none of sub-projects envisaged by AF will require EIA, these requirements are not applicable for the SPIH AF project.

3.2. World Bank Safeguards Policies

The World Bank has established its social and environmental safeguard policies in order to prevent and mitigate potential adverse impacts associated with the Bank's lending operations to people and their environment. Taking into account the nature of the proposed sub-projects, of ten Operational Policies eight (OP-BP 4.04 - Natural Habitats; 4.09 - Pest Management; 4.10 - Indigenous People, 7.50 - International Waterways, 4.37 - Safety of Dams 4.12 - Involuntary Resettlement; OP-BP 4.36 - Forests and 7.60 Disputed Areas OP-BP) are not triggered.

OP 4.01: Environmental Assessment - is triggered for all sub-projects and one policy (OP-BP 4.11 - Physical Cultural Resources) apparently is not triggered also (this will be clarified during preparation of the location of subprojects. These two policies are described below, OP 4.01 in more detail and OP 4.11 in a general way.

OP/BP 4.01: Environmental Assessment

This policy is triggered if a project is likely to have potential (adverse) environmental risks and impacts in its area of influence, which is the case with our sub-projects. OP 4.01 covers impacts on the natural environment (air, water and land); human health and safety; physical cultural resources; transboundary and global environment concerns.

When OP 4.01 is triggered, the Bank classifies the project as category A, B, C, or FI according to the nature and magnitude of potential environmental impacts. For category B projects, the scope of the EA may vary and it is narrower than category A. Activities of all subprojects fall under the category B, for which an ESMP should be prepared.

Depending on the project and the nature of impacts, a range of instruments can be used: Environmental Impact Assessment (EIA), environmental audit, Environmental and Social Management Framework (ESMF) and Environmental and Social management plan (ESMP).

The Borrower is responsible for carrying out the EIA and preparing ESMF and ESMPs.

For Environmental Category B subprojects the Borrower consults project-affected groups and local non-governmental organizations (NGOs) about the project's environmental and social aspects and takes their views into account. The Borrower initiates such consultations as early as possible.

The Borrower provides relevant information in a timely manner prior to consultation and in a form and language accessible to the groups being consulted.

The Borrower makes the ESMF available in the country in the local language and at a public place accessible to project-affected groups and local NGOs prior to appraisal.

OP 4.11 – Physical Cultural Resources

It is not known yet whether any subproject will affect physical cultural resources (e.g. if a building which will be reconstructed is listed as a historic building). In case physical cultural resources are affected, the Action Plan for Physical Cultural Resources will be prepared by the Borrower.

The World Bank Group Environmental Health and Safety (EHS) Guidelines. The EHS Guidelines are technical reference documents with general and industry-specific examples of Good International Industry Practice (GIIP). The EHS Guidelines contain the performance levels and measures that are normally acceptable to the World Bank Group, and that are generally considered to be achievable in new facilities at reasonable costs by existing technology. The World Bank Group requires borrowers to apply the relevant levels or measures of the EHS Guidelines. When host country regulations differ from the levels and measures presented in the EHS Guidelines, projects will be required to achieve whichever is more stringent.

In the case of this Project, the General EHS Guidelines apply. The implementing agency will pay particular attention to the following General EHS Guidelines:

- a. EHS 1.5 – Hazardous Materials Management;
- b. EHS 2.5 – Biological Hazards;
- c. EHS 2.7 – Personal Protective Equipment (PPE);
- d. EHS 2.8 – Special Hazard Environments;
- e. EHS 3.5 – Transportation of Hazardous Materials;
- f. EHS 3.6 – Disease Prevention;
- g. WBG Environmental, Health, and Safety Guidelines for Health Care Facilities

3.3. Comparative review of the World Bank Safeguard Policies and Ukrainian Environmental Norms

The analysis of Ukrainian and the World Bank requirements on the Project's Environmental Assessment and Environmental Management Plan indicates that they are largely similar.

Environmental Assessment

The World Bank's EA policy and procedure is generally compatible with the EIA system and practice established in Ukraine, both terminologically and methodologically.

A key common requirement, articulated in both systems, relates to the mandatory character of the environmental impact assessment as an integral part of project preparation, design and development for any project activity that involves a new construction and/or upgrade of an existing facility. According to Ukrainian legislation and regulations, SPIH AF subprojects do not fall into category which require full-scale EIA, because project activities are not listed in Article 3 of the Law on OVD.

For other objects and activities, including those to be implemented by SPIH AF, a section on environmental protection in the design documentation will be developed and reviewed by the state *Dershbudexpertyza*. Both Ukrainian legislation and WB safeguard policies envisage that

provisions of EIA and of the section on environmental protection in design documentation must be implemented by the project proponent and contractors.

If environmental and social safeguard policies of the World Bank are more stringent than the requirements of Ukrainian regulations, the World Bank requirements should be applied, e.g. requirement of disclosure and public consultations on developed ESMPs for each reconstruction project.

Management of Cultural Heritage

There is close similarity in requirements and approaches adopted by the World Bank and Ukraine with regard to the management of cultural heritage.

A key common requirement, set out in the Bank's policy and Ukrainian legislation, is to ensure the preservation of cultural assets and historical heritage.

3.4. Occupational health and safety

The Law of Ukraine on Labor Safety defines the basic provisions for the implementation of the constitutional right of employed citizens to ensure occupational health in the course of their employment, as well as to proper, safe and healthy working conditions. In addition to many other provisions of the law, employees must receive training in occupational health and safety, as well as personal protective equipment. In the case of industrial accidents, the law provides that the employer is obliged to organize investigations and keep records in accordance with the procedure established by the CMU Resolution (No. 1232 of 30.11.2011). This Law must be observed during construction and operation phases of each sub-project.

The Law of Ukraine On Protection of Populations and Territories from Technogenic and Natural Emergencies defines the organizational and legal bases of protection of citizens of Ukraine, foreigners and stateless persons who are in the territory of Ukraine, protection of objects of industrial and social purpose, environment from of man-made and natural emergencies.

4. BASELINE DATA

The specific location of the subprojects (activity of the Project) is not known yet. Hospitals and health care facilities where Component 1 of SPIH AF activities requiring reconstruction/rehabilitation works will be carried out, will most likely be located in urbanized areas. When the subprojects are identified and their location is known, the PIU will support the subproject implementing organizations in developing ESMPs with subproject specific baseline data that would include the following:

- Location of the subproject (geographical location specifying names of towns/villages, community, etc.);
- Description of physical environment (climate), topography (geology, soils and hydrology);
- Biological environment nearby (ecosystems, protected areas);
- Socio-economic background.

5. POTENTIAL ENVIRONMENTAL AND SOCIAL IMPACTS OF SPIH AF PROJECT ACTIVITIES

Potential negative environmental impacts are predictable, small-scale and manageable. These potential impacts are associated with rehabilitation and reconstruction of existing premises of HCF. The subprojects to be supported under the project (reconstruction and refurbishment activities) might cause some environmental impacts that can be summarized as follows:

During construction phase:

- soil and air pollution; acoustic, aesthetics impacts, etc. Overall, all these impacts will be site-specific and mostly temporary, and can be easily mitigated through good project design and implementation practices.

During operation phase:

- health care facilities will generate household waste and medical waste, which will be disposed of through existing practices (collection and processing by licensed waste collection companies).

The major areas of environmental and social risks of COVID-19 component are:

1. Risks related to medical waste management and disposal;
2. Risks related to spread of the virus among healthcare workers.

Potential Social Impacts

Implementation of sub-projects will have various social implications. In general, successful implementation of the SRIH AF Project will have social benefits to the people, but there could be some negative impacts, real or perceived.

Potential Social Benefits

- Higher level of satisfaction with the provided services due to better ventilation, sanitary and heating conditions in the premises;
- Higher level of services provided with modern equipment.

Potential Negative Social Impacts of Reconstruction activities

- Changes of intended use of hospitals and health care facilities may meet with opposition from some groups of local people;
- If hospital or existing health care facility is reconstructed, people may fear that during long period they will have no access to locally provided health care;

Since the project will be funded eventually by the budget money, people may question the necessity of just this investment (there could be, in their opinion, more pressing issues).

5.1. Planning and Design Stage

Rehabilitation work at existing HCFs. The PIU will screen each HCF for potential environmental and social risks per World Bank Group EHS Guidelines, WHO COVID-19 Guidelines, and the screening form provided in Annex 3. Screening will include:

- 1) Determination of any needed design changes in the facility or its operation such as ICUs, isolation facilities, structural and equipment safety, universal access, nosocomial infection control, medical waste disposal, etc.;
- 2) Identification of the scope of works expected (i.e. wards rehabilitated into ICUs, installation of box chambers, installation/augmentation of water supply and installation of sanitary stations, etc.);
- 3) Determination that utilities (power, water, heat, etc.) are adequate for planned works;
- 4) Identification of how such works might interfere with normal operation of the HCF;
- 5) Determination if works are eligible for financing - for example, activities excluded from financing under the project include those requiring the acquisition of land or works conducted in wards or areas where patients are being treated where asbestos insulation or pipe lagging was used in original construction;
- 6) Determination as to whether external or additional security personnel are needed;
- 7) Preparation of a site-specific ESMP based on the ESMP template found in Annex 4.

Medical waste management and disposal. The PIU will screen each HCF's medical waste management and disposal practices to determine if they are in keeping with the World Bank Group's EHS Guidelines and current WHO Guidelines for COVID-19. The screening will be conducted based on the screening form found in Annex 3 and include:

- 1) Identification of current methods of medical waste management and disposal at the HCF;
- 2) Identification of any on-site facilities for disposal of medical waste including incinerators, pits for burning medical waste, pits for burial of medical waste, etc.;
- 3) Identification of any off-site disposal of medical waste, including how material is gathered and stored, routes taken to the disposal facility, and disposal procedures;
- 4) Review of protocols for dealing with medical waste specifically related to infectious diseases like COVID-19;
- 5) Review of training procedures for healthcare workers and other relevant HCF employees for medical waste management and disposal;
- 6) Preparation of an ICWMP, based on the sample contained in Annex 8, for the HCF.

Protecting healthcare workers. The PIU will conduct a review of the HCF's protocol's for protecting healthcare workers from infectious disease based on current WHO Guidelines for COVID-19 and the Infection and Prevention Protocol contained in Annex 8. The review will include:

- 1) Determination if training given to healthcare workers and other HCF employees is adequate;
- 2) Determination if HCF staff are trained on how to deal with the remains of those who might die from COVID-19, including those conducting autopsies;
- 3) Determination if adequate stores of PPE are available on-site; and
- 4) Identification of supply lines for required PPE.

5.2. Construction Stage

Rehabilitation work at existing HCFs. The PIU will ensure that all rehabilitation work done under the project will be carried out in compliance with a site-specific ESMP prepared based on

the template found in Annex 4. The PIU will also ensure that the site-specific ESMP will be included in any works or supervision contracts entered into for a specific HCF. The site-specific ESMP will include:

- 1) Environmental risks and issues such as resource efficiency and material supply;
- 2) Construction related solid wastes, wastewater, noise, dust and emission management;
- 3) Hazardous materials management;
- 4) Occupational Health and Safety (OHS) issues;
- 5) Labor influx, security personnel management, GBV/SEA risks, gender issue; and
- 6) Labor and working conditions.

5.3. Operational Stage

Medical waste management and disposal. The PIU and HCF will ensure the following:

- 1) Each HCF is operated in accordance with the ICWMP prepared for the project;
- 2) Waste segregation, packaging, collection, storage disposal, and transport is conducted in compliance with the ICWMP and WHO COVID-19 Guidelines;
- 3) Onsite waste management and disposal will be reviewed regularly and training on protocols contained in the ICWMP conducted on a weekly basis;
- 4) The PIU will audit any off-site waste disposal required on a monthly basis and institute any remedial measures required to ensure compliance; and
- 5) Waste generation, minimization, reuse and recycling are practiced where practical in the COVID-19 context.

Protecting healthcare workers. The PIU and HCF will ensure the following:

- 1) Regular delivery and proper storage of goods, including samples, pharmaceuticals, disinfectant, reagents, other hazardous materials, PPEs, etc.;
- 2) Ensure protocols for regular disinfection of public rooms, wards, ICUs, equipment, tools, and waste are in place and followed;
- 3) Ensure handwashing and other sanitary stations are always supplied with clean water, soap, and disinfectant;
- 4) Ensure equipment such as autoclaves are in working order; and
- 5) Provide regular testing to healthcare workers routinely in contact with COVID-19 patients.

6. SPIH AF PROJECT ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK

6.1. Environmental and Social Management Framework Overview

The purpose of the project Environmental and Social Management Framework is to assist the PIU staff and sub-project implementing agencies (oblast state administrations) in determining the potential environmental and social impacts of subprojects, in preparing environmental and social management plans (ESMPs) that will summarize necessary mitigation measures to minimize or prevent them, in disclosing and organizing public consultations on these ESMPs and later in environmental monitoring and reporting. ESMP shall be included in tender documentation for reconstruction/refurbishing works and then implemented by contractors.

Each of subproject implementing agencies (Oblast Health Care Departments, with support from Departments of Capital Construction) will have to prepare and use ESMP for each of subprojects.

6.2. Procedures to Address Environment and Social Issues

MOH is responsible for the overall implementation of the project through the established PIU. The PIU will have day to day responsibility for project management and support, including ensuring that project implementation is compliant with the World Bank's Safeguard Policies; the World Bank Group's EHS Guidelines; WHO COVID-19 Guidelines; and this ESMF. The PIU will be adequately staffed to oversee the project's work nationally and ensure that each HCF complies with all project procedures and receive professional implementation and project management support, including for procurement. PIU staffing will include at least two core team members who have experience with implementation of medical waste management and disposal systems as well as some knowledge of general occupational health and safety issues for healthcare workers and minor works.

Each individual HCF where an activity is taking place will assign one staff member who will be responsible for liaising with the PIU on ESMF implementation throughout the life of the project at that specific HCF.

Implementation of this ESMF will include the following activities, to be undertaken by the PIU working closely with the individual HCFs:

- a. **Screening** – all activities undertaken by the project will be screened using the form found in Annex 3 in order to exclude certain risky activities, identify potential environmental and social issues, and classify the environmental and social risks. Copies of each of these screening forms will be kept at the PIU and individual HCFs. The PIU's quarterly report to the World Bank will include copies of each screening undertaken during the subject quarter.
- b. **Environment and Social Instruments** – The PIU and individual HCF will prepare and implement the necessary environmental and social instruments for each of the activities financed under the project. The instruments will be prepared in Ukrainian in order to ensure the widest degree of understanding by the concerned parties. The scope of this COVID-19 Emergency Project requires following two types of environmental and social instruments:
 - i. ESMPs – after the screening, ESMPs, based on the sample found in Annex 4, will be prepared for any small-scale works to be conducted at an associated HCF including the

creation or rehabilitation of ICUs, the rehabilitation of laboratories, etc. Once approved (see below), the ESMP will be included as an integral part of any works or supervision contract for the activity. If the HCF undertakes the works on its own, the ESMP will remain applicable for the activities being undertaken.

- ii. ICWMPs – each HCF will prepare and implement an ICWMP, based on the sample found in Annex 8.
- c. **Review and Approval** – the individual instruments will be prepared by the concerned HCFs and then reviewed and approved by the PIU before they are implemented. The first three of each of the instruments prepared will also be submitted to the World Bank by the PIU for review and approval before implementation. Thereafter, the World Bank will conduct a post-review of each instrument when it is received via the PIU’s Quarterly Report and provide comments when necessary. If, during post review, it is evident that instruments are not meeting World Bank standards, the Bank may change the procedures and require prior review of new instruments.
- d. **Implementation** – the individual HCF will be responsible for the implementation of the instruments. For ESMPs, this responsibility will be shared with contractors and supervising consultants when applicable. The PIU will provide implementation support and supervision.
- e. **Monitoring and Reporting** – there will be two types of reports, Monthly from the HCFs to the PIU and Quarterly from the PIU to the Bank;
 - i. Monthly Reports - individual HCFs will prepare monthly reports to the PIU on each activity being undertaken. These reports will include progress on any on-going small works, statistics related to the implementation of the ICWMP, any grievances received via the GRM and information on their resolution, and any other relevant information.
 - ii. Quarterly Reports – the PIU will submit an overall report of project implementation to the Bank every quarter the project is active. These reports will include statistics on national project implementation; a summary of grievances received and their resolution, a summary of activities for each individual HCF, and copies of screenings and individual HCF instruments prepared during the subject quarter. The template of the progress report is attached in Annex 5.

6.3. ESMP

In order to address safeguard issues, implementing agencies will develop ESMP for each subproject. These ESMP will provide guidance on potential site-specific impacts and mitigation measures to be undertaken for activities through the design to implementation phase, to the monitoring and evaluation of results. ESMP shall also provide a monitoring plan format that includes monitoring indicators, timing, monitoring methods, and institutional responsibilities.

ESMP for every subproject will consist of 4 parts:

- **Part 1:** description of subproject (for use by screener/approver)
- **Part 2:** identifies issues and associated mitigation measures (becomes part of construction contract)
- **Part 3:** monitoring/supervision plan to verify effective mitigation (for use by construction site supervisor and PIU)
- **Part 4:** Capacity Development and Training
- **Part 5:** Implementation Schedule and Cost Estimates
- **Part 6:** Integration of ESMP with subproject

Templates for these parts of ESMP could be found in Annex 4. These ESMP will be a streamlined, practical instrument, which would be standardized, easy to prepare, implement and monitor, specifically tailored to small scale reconstruction/rehabilitation projects.

6.4. Reporting on Environmental and Social Incidents

In order to fully comply with the WB Safeguard Policies, all subprojects, implemented under the Project, and associated facilities will be listed on the project progress report, template provided in Annex 5. The up-to-date project activity plan will be submitted to the World Bank ES specialists once every three months.

Despite significant efforts to manage environmental and social risks associated with project activities, incidents may always occur. An incident in this context is an accident or negative event resulting from failure on the part of the implementing party to comply with national legislation and bank safeguard requirements, or conditions that occur because of unexpected or unforeseen events during project implementation. Examples of incidents include: fatalities, serious accidents and injuries; social impacts from labor influx; sexual exploitation and abuse (sea) or other forms of gender-based violence (GBV); major environmental contamination; COVID-19 outbreak among workforce; loss of biodiversity or critical habitat; loss of physical cultural resources; and loss of access to community resources.

This environment and social incidents response toolkit (ESIRT) (Annex 6) is intended to assist implementing parties to address incidents that occur during implementation of the project and to advise implementing parties on their response to such incidents.

ESIRT does not replace regular project supervision and reporting but has been prepared to help implementing parties respond when they learn of incidents during supervision, or at any other time.

ESIRT is comprised of the following six steps under the incident management and reporting process:

- A. Step 1 initial communication
- B. Step 2 classification
- C. Step 3 investigation
- D. Step 4 response
- E. Step 5 follow up

The Implementing Agencies and MOH/PIU roles and responsibilities in incident response are outlined in each of the steps. This ESIRT also contains a section on responses and remedial actions, where examples of possible responses by implementing parties to incidents are provided. ESIRT detailed breakdown of steps is provided in Annex 6.

7. INSTITUTIONAL ARRANGEMENTS

Ministry of Health, and PIU created by the Ministry, are responsible for monitoring and reporting on implementation of ESMF/ESMPs and all related issues, such as reporting on incidents and complaints. The functions of PIU are described in more detail below.

According to the proposed institutional arrangements at oblast level, two departments of oblast State Administrations will be involved in project implementation: Department of Health Care and Department of Capital Construction (*Upravlinna kapitalnoho budivnytstva, UKB*). Of these two, UKB will be responsible for all technical issues, including supervision of contractors' works. Within each UKB there is a technical supervision division, properly staffed with qualified engineers. These engineers will be responsible for environmental monitoring of subproject construction activities in accordance with the ESMP and providing reports to PIU.

Institutional responsibilities of all parties could be summarized in this way;

World Bank	MOH/PIU	Oblast implementers
Defines Project ES Category	Develops ESMF	Prepares and Implements sub-project's specific ES/ESMP
Advises Borrower on the WB's requirements	Advices sub-projects' Implementers on the particular ES instrument	Consults project-affected groups and local NGOs
Reviews and gives "No Objection" for ES reports	Reviews ES documentation	Discloses draft/final documents in the country
Makes report available in InfoShop	Responds to Bank and public	Responds to Bank, PIU, PFI and public
Supervises implementation of ESMPs	Monitors implementation of ESMP	Monitors implementation of ESMP
Makes mutually agreeable changes during implementation		Ensures compliance under national laws

Since the PIU is responsible for ESMF preparation and implementation, the PIU will ensure that requirements of ESMPs are properly included in bidding documentation, and that bidders prepared plan for implementation of required mitigation measures and allocated budget for implementation of ESMPs.

PIU will provide operational and management support for the proposed Project for its full duration, so it needs to make sure that the position of the Environmental and Social Specialist of PIU is properly reflected on the budget of the Project. Also, the budget should include a budget line that would support targeted technical assistance to the PIU and oblast implementing agencies on Bank-specific processes related to procurement, financial management, and environmental and social risk management, and would support the project-specific Grievance Redress Mechanism (see below).

The MOH/PIU is responsible for revisiting and approving ESMF and monitoring its implementation as well as advising contractors on environmental and social issues.

The Environmental and Social Specialist at the PIU will monitor compliance with ESMF provisions. The tasks of the Environmental and Social Specialist may include the following:

- screening the subprojects and assisting subprojects in drafting of the ESMPs;
- providing support in ensuring compliance of ESMPs (renovation/rehabilitation and construction activities) with WB safeguards policies;
- ensuring, prior to the commencement of works, that all necessary permits are obtained;
- ensuring that all necessary measures for impact mitigation and monitoring are properly taken into account in the civil works budgets (procurement plans) of subprojects;
- monitoring implementation of mitigation measures, and informing the head of the PIU / WB / MOH on any identified non-compliance;
- ensuring implementation of the monitoring plan within each subproject;
- ensuring establishment and operation of a grievance redress mechanism (GRM) at the project level and submission of quarterly reports on consideration of complaints received in connection with implementation of the Project;
- ensuring the relevant updating of the ESMF and subproject ESMPs to reflect the needs of the Project and changes in the World Bank's environmental and social policy (if applicable);
- in case of an incident, insuring timely notification of the Bank, participation in development of a corrective action plan.

The Environmental and Social Specialist will report to the head of the PIU.

The PIU is in charge of overseeing the organization and conduct of public discussions on individual subprojects. The PIU will closely cooperate with oblast implementing agencies to ensure access to subprojects information for general public and stakeholders in accordance with the national legislation and the WB policies.

Capacity building activities (training workshops) shall be organized by PIU for the following groups:

- oblast implementing agencies – on the contents and purpose of ESMF/ESMP and importance of compliance with environmental requirements and safety in the period of construction works and in future operation of buildings in accordance with the developed ESMP;
- construction contractors – on required procedures for mitigating negative environmental impacts during construction and dismantling works, reporting on incidents and complaints etc.

Representatives of the World Bank will visit participating health care institutions to monitor implementation of the subprojects.

8. GRIEVANCE REDRESS MECHANISM

Addressing grievances raised by individuals affected by World Bank-funded projects is an important component of managing project risks. A GRM serves as an effective tool for early identification, assessment and resolution of grievances and therefore for strengthening accountability to beneficiaries. The GRM serves as an important feedback mechanism that can improve project impact and mitigate the undesirable ones.

The Project-level GRM mechanism will be available to project stakeholders and other affected parties to submit questions, comments, suggestions and/or complaints and provide any form of feedback on all project-funded activities. Each ESMP will include establishment of subproject-level GRM, as well as workers' GRM and will carry the same functionality as Project-level GRM but of local scale.

GRM shall establish mechanisms and procedures for:

- Channel(s) to make complaints;
- Registration of complaints and keeping logbook;
- Investigation of the event(s) and their consequences;
- Response to the complainant;
- Right of complainant to appeal.

9. DISCLOSURE AND CONSULTATIONS

SPIH AF project Draft Environmental Management Framework (ESMF) will be disclosed prior to appraisal by the MOH. ESMF will be posted at the MOH web-site, and public consultations will be organized by the MOH. After the consultation, the draft ESMF will be reviewed to consider inputs from consulted parties, and the final version of the ESMF will be re-disclosed on the website of the Ministry of Health and in the World Bank website. The minutes of the consultations with the list of considered issues and other relevant information will be attached to the final ESMF as an Annex 7.

At a later stage, ESMPs will be prepared by recipient implementing agencies in each oblast. Information on subprojects will be posted on the respective health care facilities and oblast State Administration's web-sites, and public consultations organized. Then draft ESMP prepared by local implementation agencies will be disclosed and consulted upon.

Draft ESMPs will be reviewed to consider inputs from consulted parties, information on public consultation added to ESMPs and the final versions of the ESMPs will be re-disclosed on the websites of the oblast State Administrations.

10. ANNEXES

Annex 1. General Overview of Ukrainian Environmental Legislation and Institutions

A1.1. Key legislative acts

Ukrainian legislative and regulatory base which governs environmental issues is quite comprehensive and sophisticated. It consists (in order of hierarchy) of: international conventions, treaties, protocols and agreements ratified by the Parliament (Verkhovna Rada); laws; resolutions (*Postanova*) and decrees (*Rozporiadzhennia*) of the Cabinet of Ministers of Ukraine (CMU); orders (*Nakaz*) of the Ministers. Various **norms, rules, standards and guidances**, often jointly referred to as regulations (*normatyvno-pravovi akty*) are approved by resolutions of the CMU and orders of the Ministers. To become legal, every piece of legislation has to be registered with the Ministry of Justice.

Of major importance are also by-laws (*Polozhennia*) of numerous government bodies (Ministries, State Agencies, State Inspectorates, State Services and other central government organs) which define authority of the respective government organ and its branches on regional (oblast and rayon) level. This section of legislation underwent very significant changes after the administrative reform of 2010, when the whole system of central government organs was changed.

The environmental aspects are also regulated by relevant legal provisions contained in other parts of the country's law (civil law, water code, land code, administrative legislation, criminal law, etc.). More specifically, these provisions specify the grounds and details of punitive actions/penalties of disciplinary, administrative, material and/or criminal nature, imposed on an environmental offender and related to the harm done by the offence, environmental risk, and severity of adverse impact produced.

Below is a list of key laws, which regulate environmental aspects of the SPIH project components that are under consideration:

- **On Environmental Protection (1992)**. The Law contains a general provision on the protection of the environment, ensuring the safety of human health and the environment.
- **On the Principles of Town Planning (1992)** "*Про основи містобудування*" - this Law defines various legal, economic, social and organizational provisions for urban building activities with the aim "to ensure provision of environmental protection, rational nature resource use and conservation of cultural heritage".
- **On sanitary and epidemiological wellbeing of population (1994)**. Comprehensive Law, accompanied by numerous regulatory acts, e.g. "State sanitary norms and rules for maintenance of territories of settlements", rules for urban planning etc. The State Sanitary Epidemiological Expertiza is carried out on the basis of this law.
- **On Environmental Impact Assessment (*Pro otsinku vplyvu na dovkillia*), 2017** - specifies general provisions for environmental assessment. It should be noted, however, that this Law covers only those activities for which EIA/OVD is required.

- **On local self-government (1997).** This Law defines responsibilities of local self-government, including elected (councils) and executive (administrations) organs.
- **On wastes (1998).** A law that covers the sphere of responsibility of MENR, MRDC, several other ministries and local authorities. It underwent serious amendments, especially when Ukraine joined the Basel Convention.
- **On provision of urban amenities (2005)** (*Про благоустрій населених пунктів*). The Law establishes authority of various levels of government (CMU, MRDC, Council of Ministers of Crimea, local state administrations, organs of local self-government).
- **On Regulation of City Planning Activity (2011)** (*Про регулювання містобудівної діяльності*) - the Law amended numerous regulations defining requirements for the civil engineering sector. The aim of this Law is "to establish legal and organizational principles of city planning activities which should be aimed at achieving sustainable development of territories taking into account state, public and private interests". This law is the key that regulates all types of construction work, specifies what documentation should be prepared for different types of construction projects by different classes of consequences (responsibility) and how the examination of such documentation is conducted.

Of course there are many media-specific and other environment-related laws (Land Code, Water Code, Laws like "On Air Protection", "On Protected Territories", "On Ecological Network" etc.), but they are not so relevant to the SPIH project activities. Annex "Be" (Ukrainian Be!) to DBN A.2.2-3-2012 lists those laws which should be taken into account during environmental assessment (see this list in Annex 2 to this document).

Due to the fact that expected environmental impacts of the proposed SPIH project component are very limited, we will give here only brief outline of environmental assessment regulations that are of major importance for the project activities.

A1.2. Ukrainian Environmental Enforcement Institutional System

Ministry of Energy and Environmental Protection plays the key role in defining national environmental protection policy. Technical and some business aspects in the area of civil engineering are regulated mainly by the Ministry for Communities and Territories Development (MCTD).

Recently the institutional system underwent significant changes: In September 2019 MENR was renamed as Ministry of Energy and Environmental Protection, and Ministry of Energy was merged with it.

Responsibility for enforcement of environmental legislation stays with the State Ecological Inspectorate (liquidated in August 2019 and re-instated in October 2019), a government organ under the MEEP. State Inspectorate and its oblast branches have the authority to conduct inspections, to issue mandatory warrants, to impose fines etc. Other government organs are also involved in compliance control and enforcement of environmental legislation in their areas of responsibility: State Geological Service, State Water Resources Agency.

Within the boundaries of the cities, the city administrations control the state of environment (waste removal, street cleaning, green zones etc.) through their departments of "urban amenities and nature protection" (*Departament miskogo blagoustroyu ta zberezhennia pryrodniogo seredovyscha*" - names of the departments could differ from city to city, but their functions are very similar).

Within the Ministry of Economic Development, Trade and Agriculture of Ukraine, the State Service of Ukraine on Food Safety and Consumer Protection is responsible for enforcement of sanitary-epidemiological legislation.

A1.3. Access to Information and Public Participation

In Ukraine, access to environmental information was ensured when the Parliament ratified the Aarhus "Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters" in 1999. Several regulatory acts were developed by the MENR which specify provisions of this Convention.

Detailed requirements to organization of public consultations on environmental matters exist only for two activities: objects of radiation hazard (Resolution of CMU of 1998 with amendments of 2006) and development of master plans of cities and territories (Resolution of CMU of 2011). These are not applicable in our case.

General guidance on how the public consultations must be organized in case of full-scale EIA are listed in Section 1 of the State Construction Norms DBN A.2.2-1-2003. However, when EIA/OVNS is not required by the Law on OVD, there are no provision on public consultations on construction and other business activities. So, the requirements of OP4.01 shall be followed.

The project proponent and EIA developer are responsible for organizing public consultations.

PLEASE REVISE

Annex 2. List of State Construction Norms relevant for SPIH AF project and ESMF

DBN A.2.2-1-2003 "State Construction Norms on Conducting Assessment of Environmental Impact"

DBN A.3.2-2-2009 OSBP "Occupational Safety and Industrial Safety in Construction. Substantive provisions";

DBN B.2.6-33:2008 Construction of buildings and structures. Construction of Envelope with exterior heat insulation. Requirements for Design, Installation and Operation

DBN B.2.6-31:2006 Construction of buildings and structures. Thermal Insulation of Buildings

DBN A.2.2-3: 2013 "Composition and content of project documentation for construction";

DBN B.1.2-7-2008 «Basic requirements for buildings and structures. Fire Security";

DBN B.1.2-9-2008 «Basic requirements for buildings and structures. Safety of operation »;

DBN B.1.2-10-2008 «Basic requirements for buildings and structures. Noise protection »;

DBN B.1.1-31: 2013 "Protection of territories, buildings and structures from noise";

DSTU-N Б B.1.1-27: 2010 "Building climatology";

DSTU-N Б B.1.1-33: 2013 "Guidance on the calculation and design of noise protection of rural areas";

NAPS A.01.001-14 "Rules for fire safety in Ukraine";

DSN 3.3.6.039-99 "State sanitary standards of industrial general and local vibration";

Annex 3. Screening form for potential environmental and social issues

This form is to be used by the Ministry of Health (MOH) Project Implementation Unit (PIU) and relevant healthcare facilities (HCF) to screen potential environmental and social risk levels of a proposed subproject. The screening will determine the relevance of Bank environmental and social safeguard policies and propose the instrument to be prepared for the sub project.

Subproject Name	
Subproject Location	
Subproject Proponent (HCF)	
Estimated Investment	
Start/Completion Date	

Questions	Answer		Due diligence / Actions if “yes”
	yes	no	
Does the subproject involve civil works that include new construction or the expansion of the HCF?			Activity excluded
Does the subproject involve civil works including upgrading or rehabilitation of the HCF and/or associated waste management facilities?			ESMP, ICWMP
Does the subproject involve land acquisition and/or restrictions on land use?			Activity excluded
Does the subproject involve acquisition of assets to hold patients (including yet-to-confirm cases for medical observation or isolation purpose)?			Activity excluded
Is there sound regulatory framework, institutional capacity in place for HCF infection control and healthcare waste management?			ESMP, ICWMP
Does the subproject involve recruitment of workforce including direct, contracted, primary supply, and/or community workers?			ESMP
Is the subproject located within or in the vicinity of any ecologically sensitive areas (e.g. nature reserve, Emerald Sites), or critical habitats?			Activity Excluded
Are there any vulnerable groups present in the subproject area and are likely to be affected by the proposed subproject negatively or positively?			ESMP
Is the site chosen for these activities free from encumbrances and is in possession of the HCF /government/community land?			ESMP
Is there any possibility that relocation, closure of business/commercial/livelihood activities of persons during civil works?			Activity Excluded
Is there any physical or economic displacement of persons due to civil works?			Activity Excluded

Questions	Answer		Due diligence / Actions if “yes”
	yes	no	
Will subproject cause loss of employments/jobs			Activity Excluded
Will the site/subproject include/involve/take place near any of the following: <ul style="list-style-type: none"> • <i>Open water sources (e.g. rivers, lakes)</i> • <i>Drainage system</i> • <i>Cutting of trees/forest/vegetation</i> • <i>Earth works (excavation, removal of topsoil, etc.)</i> • <i>Vicinity of any historical buildings or areas</i> • <i>Usage of hazardous materials</i> • <i>Site in a populated area</i> 			ESMP

Annex 4. ESMP for Small and Medium-Scale Civil Works

Environmental and Social Management Plan (ESMP) for subprojects should outline the mitigation, monitoring and administrative measures to be taken during project implementation to avoid or eliminate negative environmental impacts. For projects of intermediate environmental risk (Substantial risk projects), ESMP may also be an effective way of summarizing the activities needed to achieve effective mitigation of negative environmental impacts.

Part 1 includes General information about the project that includes a descriptive part characterizing the project and specifying the institutional and legislative aspects, the technical project content, the potential need for capacity building program and description of the public consultation process.

Part 1: General Information about the subproject

INSTITUTIONAL AND ADMINISTRATIVE INFORMATION				
Country				
Title of the subproject				
Area and scope of application of the subproject				
Institutional mechanisms (WB)	World Bank	Subproject management	Beneficiary of Investments	
Implementation arrangement (name and contact information)	Supervision of execution of ESSs	Local supervision by the district educational department	Supervision of construction works	Contractor

DESCRIPTION OF THE ACTIVITY	
Describe location, include map of the location	
Who is the owner of the land plot?	
Description of geographical, physical, biological, geological,	

hydrographical and socio-economic background	
Description of geographical, physical, biological, geological, hydrographical and socio-economic impacts of project activities	
Indicative need of construction for raw produce and materials	
LEGISLATION	
Determine national and regional legislation & permits applicable to the subproject activities	
PUBLIC CONSULTATION	
Indicate when/ where did/will public discussions take place	

Part 2: Environmental and Social Mitigation Measures

The Environmental and Social Management Plan (ESMP) identifies feasible and cost-effective measures that may reduce potentially significant adverse environmental impacts to acceptable levels. The plan includes compensatory measures if mitigation measures are not feasible, cost-effective, or sufficient. Specifically, the ESMP (a) identifies and summarizes all anticipated significant adverse environmental impacts (including those involving indigenous people or involuntary resettlement); (b) describes – with technical details – each mitigation measure, including the type of impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, equipment descriptions, and operating procedures, as appropriate; (c) estimates any potential environmental impacts of these measures; and (d) provides linkage with any other mitigation plans (e.g., for involuntary resettlement, indigenous peoples, or cultural property) required for the project.

The ESMP template attempts to cover typical core mitigation approaches to civil works contracts with moderate, localized impacts. It is accepted that this format provides the key elements of an Environmental and Social Management Plan (ESMP) or Environmental and Social Management Framework (ESMF) to meet World Bank Environmental and Social Assessment requirements.

Project Activities and Subprojects Impacts	Measures for Impact Mitigation	Responsible
DESIGN PHASE		
Without proper screening of proposed subprojects, subprojects with activities which cannot be financed under this Project may be selected which would impede on Project implementation	<p>The PIU will screen each HCF for potential environmental and social risks per World Bank Group EHS Guidelines, WHO COVID-19 Guidelines, and the screening form provided in Annex 3. Screening will include:</p> <ol style="list-style-type: none"> 1) Determination of any needed design changes in the facility or its operation such as ICUs, isolation facilities, structural and equipment safety, universal access, nosocomial infection control, medical waste disposal, etc.; 2) Identification of the scope of works expected (i.e. wards rehabilitated into ICUs, installation of box chambers, installation/augmentation of water supply and installation of sanitary stations, etc.); 3) Determination that utilities (power, water, heat, etc.) are adequate for planned works; 4) Identification of how such works might interfere with normal operation of the HCF; 5) Determination if works are eligible for financing - for example, 	PIU

Project Activities and Subprojects Impacts	Measures for Impact Mitigation	Responsible
	<p>activities excluded from financing under the project include those requiring the acquisition of land or works conducted in wards or areas where patients are being treated where asbestos insulation or pipe lagging was used in original construction;</p> <p>6) Determination as to whether external or additional security personnel are needed</p>	
<p>Neglect of environmental and social aspects during the preparation of road renovation design and bidding documents;</p> <p>Neglect of environmental and social aspects, and pest management during the preparation of the feasibility studies;</p> <p>Neglect of stakeholders;</p> <p>The overall design/technical plan on renovation/rehabilitation includes outdated techniques, engineering solutions and hazardous components in construction materials</p>	<p>Technical/engineering design for subprojects is resource efficient, focused on preventing environmental pollution, envisages climate change adaptation measures, sustainable and environmentally-sounds, accessible and inclusive based on best available techniques/good industrial practices in the sector; considers location and technology alternatives; accounts for required setting up sanitary-protection zone (SPZ)</p> <p>Stakeholders are identified and consulted as per SEP requirements;</p> <p>ESMP is developed for each subproject prior tendering of civil works;</p> <p>If the national legislature requires, the EIA should be developed for selected subprojects;</p> <p>Local departments of architecture and construction and territorial authorities of the Ministry of Energy and Environmental Protection are informed about the forthcoming works.</p>	PIU
<p>Medical waste management and disposal</p>	<p>The PIU will screen each HCF's medical waste management and disposal practices to determine if they are in keeping with the World Bank Group's EHS Guidelines and current WHO Guidelines for COVID-19. The screening will be conducted based on the screening form found in Annex 3 and include:</p> <ol style="list-style-type: none"> 1) Identification of current methods of medical waste management and disposal at the HCF; 2) Identification of any on-site facilities for disposal of medical waste including incinerators, pits for burning medical waste, pits 	PIU

Project Activities and Subprojects Impacts	Measures for Impact Mitigation	Responsible
	<p>for burial of medical waste, etc.;</p> <ol style="list-style-type: none"> 3) Identification of any off-site disposal of medical waste, including how material is gathered and stored, routes taken to the disposal facility, and disposal procedures; 4) Review of protocols for dealing with medical waste specifically related to infectious diseases like COVID-19; 5) Review of training procedures for healthcare workers and other relevant HCF employees for medical waste management and disposal; 6) Preparation of an ICWMP, based on the sample contained in Annex 8, for the HCF. 	
Protecting healthcare workers	<p>The PIU will conduct a review of the HCF’s protocol’s for protecting healthcare workers from infections disease based on current WHO Guidelines for COVID-19 and the Infection and Prevention Protocol contained in Annex 8. The review will include:</p> <ol style="list-style-type: none"> 1) Determination if training given to healthcare workers and other HCF employees is adequate; 2) Determination if HCF staff are trained on how to deal with the remains of those who might die from COVID-19, including those conducting autopsies; 3) Determination if adequate stores of PPE are available on-site; and 4) Identification of supply lines for required PPE. 	PIU
CONSTRUCTION		
Overall Management of Environmental and Social Risks		
Failure to follow requirements of national environmental and social legislation may result in project implementation delays, reputational risks etc.	All environmental and OHS permits, clearances, approvals (such as OVD Approval etc.) and licenses (such as licenses for specific types of works etc.) are obtained in due time as per legislation requirements of Ukraine.	Contractor
Labor and Working Conditions		

Project Activities and Subprojects Impacts	Measures for Impact Mitigation	Responsible
<p>Workers and visitors may be injured at the construction and demolition sites if necessary, safety and occupational health rules/standards are not followed.</p>	<p>PPE (Personal Protective Equipment) of all workers will meet the requirements of international standards (hard hats are always used, respirators and protective glasses, protection harnesses and special footwear are used where necessary). Where and when feasible unskilled or semi-skilled workers from local communities recruited to the extent possible, worker skills training, provided to enhance participation of local people. Raise awareness of workers on overall relationship management with local population, establish the code of conduct in line with international practice and strictly enforce them, including the dismissal of workers and financial penalties of adequate scale. Training is conducted on OHS standards, protective equipment use, etc.</p>	<p>Contractor</p>
<p>Resource Efficiency and Pollution Prevention and Management: Air Pollution Prevention</p>		
<p>Air pollution will be increased locally due to machinery used, handling of materials at the sites, and due to increased traffic connected with construction and demolition works. Negative impacts on atmospheric air quality take place mainly in the vicinity of the construction and demolition sites</p>	<p>During excavation works the methods of dust control are applied, e.g. water spraying or land wetting. Debris-chutes are used during interior demolition above the first floor. Construction waste (demolition debris), removed ground and non-metallic construction materials are stored at specially designed sites with timely wetting and dust control. During pneumatic drilling or removal of the surface layer of the pavement and foundation, dust is suppressed by constant irrigation and / or protective screens should be installed at the facility. The surrounding pavements (sidewalks) and roads are kept clean from dust and construction waste to reduce dust. All machinery undergoes timely technical inspections at maintenance stations with regard to CO emissions and smoke, idle construction equipment with engines turned on at the sites is not allowed. During pneumatic drilling or breaking of pavement and foundations dust is suppressed by ongoing water spraying and installing dust screen enclosures at the site. Dust and traffic emissions are minimized by good operation management and site supervision.</p>	<p>Contractor</p>

Project Activities and Subprojects Impacts	Measures for Impact Mitigation	Responsible
	The modern construction techniques and energy efficient technologies are applied.	
Resource Efficiency and Pollution Prevention and Management: Soil Pollution Prevention		
Spills of oil from heavy machinery, paint, other chemicals (during renovation works)	Technical compliance of machinery; compliance with operation instructions, wastewater stored properly and disposed at approved sites, etc.	Contractor
Resource Efficiency and Pollution Prevention and Management: Ground and Surface Water Pollution		
Surface water can be contaminated by accidental spills and leaks from the machinery, by debris during bridge's construction, and can be contaminated with suspended particles during the works on/near the river. Ground water can be polluted by accidental spillages, leakages from temporary oil and fuel storage and leakages from the machinery during a construction phase.	<p>There is no unregulated extraction of groundwater, nor uncontrolled discharge of process waters, cement slurries, or any other contaminated waters into the ground or rivers. The contractor will receive necessary permits for water use and drainage.</p> <p>Sewerage systems are organized at the site and measures are taken to prevent pollution, blocking or other possible negative impacts on natural ecosystems by construction works at the facility.</p> <p>Measures are taken to prevent spills of fuels and lubricants and other toxic or hazardous substances.</p> <p>Cleaning of construction vehicles and machinery is carried out only in specially designated areas to prevent getting polluted wastewater into surface waters</p> <p>Proper management of all areas of the construction site to ensure contamination from all construction activities does not occur.</p> <p>Slope protection structures are regularly maintained.</p> <p>Drainage system and overflow pipes are provided.</p> <p>Disposal of excavated material into the nearest rivers is prohibited.</p> <p>Construction site chemicals such as oils, gasoline, degreasers, antifreeze, concrete and asphalt products, sealers, paints, and wash water associated with these products are stored, handled and disposed in a way that minimizes their entry into a runoff.</p> <p>Area of construction is regularly cleared from construction waste and temporary structures.</p>	Contractor
Resource Efficiency and Pollution Prevention and Management: Noise and Vibration		

Project Activities and Subprojects Impacts	Measures for Impact Mitigation	Responsible
<p>The primary sources of noise will be the work of demolition, construction equipment and trucks. The noise produced during construction will be temporary and localized.</p>	<p>Construction works are carried out only at the time indicated in a permit/bidding documents/contract. Works are carried out strictly during regular weekday working hours. The works are not planned during weekends and holidays. In case there is a need for carrying out works causing higher noise levels, the residents living nearby are notified 10 days in advance.</p> <p>For the period of works, the engine covers of generators, air compressors and other similar devices will be closed, the equipment are at the maximum distance from the places of residence of the population.</p> <p>Adequate soundproofing of all vehicles and equipment is carried out by the use of foam, rubber, and other soundproofing materials.</p> <p>Noise barriers are installed where appropriate. Workers are provided with individual protective gear to be used when performing high-level noise works.</p> <p>Reducing project traffic routing through vulnerable areas, wherever possible, is applied.</p> <p>Modern equipment that fulfill noise reduction norms is used, or equipment is retrofitted to meet the required standards</p>	
Resource Efficiency and Pollution Prevention and Management: Landslides and Erosion		
<p>Improper supporting structures of deep excavations may lead to landslides thus causing risks to workers and nearby structures. Bare ground is prone to landslides in case of heavy rainfalls.</p> <p>There is also a potential for wind and water erosion during the construction phase.</p>	<p>Borrow material is obtained from already existing and licensed borrow pits within Ukraine and possibly close to the project area to reduce the transportation distance.</p> <p>Anti-erosion and anti-landslide measures are taken at the facility, in particular, the laying of the construction site, construction of storm sewers or reclamation to prevent the displacement of the settled soil outside the construction site.</p> <p>Walls of deep excavations are enforced / supported according to relevant technical requirements. Unnecessary removal of vegetation and pavement are avoided, and bare ground planted or paved as soon as possible after the closure of the construction site. Reinforcement of slopes for prevention of soil erosion is carried out. Storm water drainage is arranged before excavation works have commenced</p>	
Resource Efficiency and Pollution Prevention and Management: Waste and Hazardous Materials		
<p>During the construction phase</p>	<p>For all major types of waste expected from the works on removal of fertile soil,</p>	

Project Activities and Subprojects Impacts	Measures for Impact Mitigation	Responsible
<p>some waste streams will be generated:</p> <ul style="list-style-type: none"> - Inert mineral materials such as excavated earth, sand and gravel; - Potentially noxious or dangerous substances such as waste from construction camps and workshops, concrete slurries from washing plants, barrels, and containers from fuels, lubricants and construction chemicals, scrap metal, and spent welding electrodes; - Wood waste from felled trees and other organic matter from the clearing of the alignment. <p>In case construction and demolition waste is not properly transported and disposed of, it may cause soil, surface and groundwater pollution at the disposal sites and health hazards along the transportation route.</p>	<p>dismantling and construction, collection sites and facilities for the use, neutralization and disposal of waste is identified.</p> <p>Construction waste is separated from municipal waste by collecting it in separate containers.</p> <p>Construction waste is collected and transferred to facilities for use, neutralization in accordance with the Register of objects for use, neutralization, storage and disposal of waste in Ukraine.</p> <p>Waste management documentation is kept as evidence of proper waste management.</p> <p>Temporary storage of all hazardous or toxic substances and waste of Hazard Classes 1 and 2 at the facility is organized in separate premises in accordance with the legislation of Ukraine (mercury-containing waste, lead batteries, intact with unused electrolyte batteries, etc.) without unauthorized access of people and with the respective marking/ labeling.</p> <p>The containers of hazardous materials are placed in a leak-proof container to prevent spillage.</p> <p>Waste is transported in accordance with the legislation of Ukraine on transportation of hazardous waste.</p> <p>Waste collection and disposal pathways and sites are identified for all major waste types expected from excavation, demolition and construction activities.</p> <p>Mineral construction and demolition wastes are separated from general refuse, organic, liquid and chemical wastes by on-site sorting and stored in appropriate containers.</p> <p>Construction waste is collected and disposed of properly by licensed collectors. Temporary collection of waste is not taking place in flood-prone areas.</p> <p>Whenever feasible, there is reused and recycled appropriate and viable materials (except when containing asbestos).</p> <p>If asbestos is located on the project site, it is marked clearly as a hazardous material. When possible, the asbestos is appropriately contained and sealed to minimize exposure.</p> <p>Asbestos is handled and disposed of by skilled & experienced professionals.</p>	

Project Activities and Subprojects Impacts	Measures for Impact Mitigation	Responsible
	<p>The removed asbestos is not reused.</p> <p>Temporarily storage on the site of all hazardous or toxic substances is in safe containers labeled with details of composition, properties and handling information.</p> <p>Regular transportation of construction materials is carried out without stockpiling of large batches of materials at construction sites.</p>	
Community Health and Safety: Transportation Roads, Traffic and accidents		
<p>Health and Safety of communities will be impacted by proximity to construction activities, change traffic pattern, etc.</p>	<p>OHS protocols following the World Bank Group Environmental Health and Safety Guidelines are established to ensure community safety during the works.</p> <p>The local construction and environment inspectorates and communities are notified for the project activities.</p> <p>All work is carried out in a safe and disciplined manner designed to minimize impacts on workers, citizens using the HCF and environment.</p> <p>Clear warning signs are displayed for the public and public transport about all potentially hazardous works.</p> <p>A traffic control system and staff training are organized, especially for providing access to the facility and nearby intensive traffic.</p> <p>Safe walkways and passages for pedestrians in places of public transport traffic and construction vehicles are provided.</p>	Contractor
Biodiversity Conservation and Sustainable Management of Living Natural Resources		
<p>Vegetation could be temporarily affected by the pollution from construction works, which could lead to disruption of growth and development and can accelerate the aging process.</p> <p>No regular or seasonal strong movement of animals is observed in the area.</p>	<p>Examination and inventory of large trees in the vicinity of construction works is carried out. Large trees should be marked and fenced for protection, their root system is protected and any damage to the trees is prevented.</p>	Contractor
Cultural and Historical Heritage		

Project Activities and Subprojects Impacts	Measures for Impact Mitigation	Responsible
Buildings of historical and cultural heritage and chance finds of artifacts	<p>If construction works are carried out in a building of historical and cultural value, the Ministry of Culture/Local department is notified and all necessary permits are obtained from designated authorities, and all construction works are planned and carried out in accordance with the requirements of the legislation of Ukraine.</p> <p>Rehabilitation of each such site is developed and managed in accordance with principles of good practice in the cultural heritage field.</p> <p>Chance Find Procedure for the artifacts or other possible “accidental finds” found during excavation or construction works is developed.</p>	Contractor
Operational Phase		
Workers’ employment conditions, occupational risks are worsened during operations of HCF.	Adopted OHS protocols following the World Bank Group Environmental Health and Safety Guidelines for operations, requirement to provide protective equipment.	PIU
Medical waste management and disposal	<ol style="list-style-type: none"> 1) Each HCF is operated in accordance with the ICWMP prepared for the project; 2) Waste segregation, packaging, collection, storage disposal, and transport is conducted in compliance with the ICWMP and WHO COVID-19 Guidelines; 3) Onsite waste management and disposal will be reviewed regularly and training on protocols contained in the ICWMP conducted on a weekly basis; 4) The PIU will audit any off-site waste disposal required on a monthly basis and institute any remedial measures required to ensure compliance; and 5) Waste generation, minimization, reuse and recycling are practiced where practical in the COVID-19 context. 	PIU and Implementing Agencies
Protecting healthcare workers	<ol style="list-style-type: none"> 1) Regular delivery and proper storage of goods, including samples, pharmaceuticals, disinfectant, reagents, other hazardous materials, PPEs, etc.; 2) Ensure protocols for regular disinfection of public rooms, wards, ICUs, 	PIU and Implementing Agencies

Project Subprojects	Activities and Impacts	Measures for Impact Mitigation	Responsible
		equipment, tools, and waste are in place and followed; 3) Ensure handwashing and other sanitary stations are always supplied with clean water, soap, and disinfectant; 4) Ensure equipment such as autoclaves are in working order; and 5) Provide regular testing to healthcare workers routinely in contact with COVID-19 patients.	

Part 3: Environmental and Social Monitoring Plan

To keep track of the requirements, responsibilities and costs for monitoring the implementation of environmental mitigation identified in the analysis included in an environmental assessment for subprojects, a monitoring should be used. Environmental and social monitoring during project implementation provides information about key environmental and social aspects of the project, particularly the environmental and social impacts of the project and the effectiveness of mitigation measures. Such information enables the borrower and the Bank to evaluate the success of mitigation as part of project supervision and allows corrective action to be taken when needed. Therefore, the ESMP identifies monitoring objectives and specifies the type of monitoring, with linkages to the impacts assessed and the mitigation measures described in the ESMP. Specifically, the monitoring section of the ESMP provides (a) a specific description, and technical details, of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions; and (b) monitoring and reporting procedures to (i) ensure early detection of conditions that necessitate particular mitigation measures, and (ii) furnish information on the progress and results of mitigation.

A Monitoring Plan format is provided in the table below. The project cycle is broken down into three phases (construction, operation and decommissioning). The format also includes a row for baseline information that is critical to achieving reliable and credible monitoring. The key elements of the Monitoring Plan are:

- What is being monitored?
- Where is monitoring done?
- How is the parameter to be monitored to ensure meaningful comparisons?
- When or how frequently is monitoring necessary or most effective?
- Why is the parameter being monitored (what does it tell us about environmental impact)?

In addition to these questions, it is useful to identify the costs associated with monitoring (both investment and recurrent) and the institutional responsibilities.

When a monitoring plan is developed and put in place in the context of project implementation, the PIU will request reports at appropriate intervals and include the findings in its periodic reporting to the World Bank and make the findings available to Bank staff during supervision missions.

Stage	Monitoring Parameter <i>Which attribute will be monitored?</i>	Location of monitoring activity <i>Specify the place for monitoring for each selected attribute</i>	Monitoring Procedure <i>How will the measurements be taken?</i>	Monitoring Timeline <i>What is the timeframe/ or it is regular?</i>	Monitoring Organization <i>Specify the responsible people for monitoring of each attribute</i>	Cost of monitoring <i>Specify costs related to monitoring if not included in the project budget</i>
Design						
Construction						
Operation						

Part 4: Capacity Development and Training

To support timely and effective implementation of environmental and social project components and mitigation measures, the ESMP draws on the EA's assessment of the existence, role, and capability of environmental and social units on site or at the PIU level. Specifically, the ESMP provides a description of institutional arrangements – who is responsible for carrying out the mitigatory and monitoring measures (e.g., for operation, supervision, enforcement, monitoring of implementation, remedial action, financing, reporting, and staff training).

Part 5: Implementation Schedule and Cost Estimates

For all three aspects (mitigation, monitoring, and capacity development), the ESMP provides (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the ESMP. These figures are also integrated into the total project cost tables.

Part 6: Integration of ESMP with subproject

The borrower's decision to proceed with a project, and the Bank's decision to support it, are predicated in part on the expectation that the ESMP will be executed effectively. Consequently, the Bank expects the plan to be specific in its description of the individual mitigation and monitoring measures and its assignment of institutional responsibilities, and it must be integrated into the subproject's overall planning, design, budget, and implementation. Such integration is achieved by establishing the ESMP within the subproject so that the plan will receive funding and supervision along with the other components.

Annex 5. Project Activity Report Template

Name of the subproject/brief description of activity	Status of preparation of design documentation In progress/ Completed/ Cleared by State Expertyza	Status of ESMP/ /public consultations	Grievances received during reporting period, subject of grievances, resolution status (pending / in process / resolved)	Current status of works (timeline for design work and start/completion of construction works, outstanding issues)	Site visits or other actions by government agencies (ecological, labor safety, fire safety etc.) (dates, findings, corrective action requests issued, follow-up actions)	Site visits during reporting period (dates, findings, corrective action requests issued, follow-up actions)	Next site visit planned (dates, specific issues to be checked)

Annex 6. ESIRT reporting requirements

1. Incident Management and Reporting Process

A. Step 1 – Initial Communication

In case of the accident on any of the project sites, the Contractors will inform the PIU and/or the Bank Team; inform appropriate authorities in compliance with local regulations; secure the safety of workers, public, and provide immediate care.

As soon as any member of the Contractor’s or PIU team member becomes aware of an alleged or actual incident, the team member will notify the PIU and/or the Bank Team. This initial communication will be sent regardless of the severity of the incident. The most crucial element of this communication is speed. When an incident is reported, the following questions are a guide to the type of information to be gathered quickly:

- What was the incident? What happened? To what or to whom?
- Where and when did the incident occur?
- What is the information source? How did you find out about the incident?
- Are the basic facts of the incident clear and uncontested, or are there conflicting versions?
- What were the conditions or circumstances under which the incident occurred?
- Is the incident still ongoing or is it contained?
- Is loss of life or severe harm involved?
- How serious was the incident? How is it being addressed? How are the MOH/PIU and Implementing Agencies responding?
- What, if any, additional follow up action is required, and what are the associated timelines?
- Are any Bank staff involved in the incident?

The requirement to report will be defined in the Project’s ESCP. As required by the contracts, the Contractor will report incidents to the PIU – the MOH/PIU and Implementing Agencies will ensure that reporting obligations on compliance with ESHS requirements are incorporated into works and other relevant contracts. MOH/PIU and Implementing Agencies will monitor the reports for incidents.

B. Step 2 – Classification (done by the Bank Team)

Based on information received, the Bank Team will classify the incident based on several factors, including the nature and scope of the incident, as well as the urgency in which a response may be required. There are three levels of classification: Indicative, Serious and Severe. Overview of different levels is provided in the box below.

Incident Classification Guide:

Indicative
<ul style="list-style-type: none"> • Relatively minor and small-scale localized incident that negatively impacts small

<p>geographical areas or small number of people</p> <ul style="list-style-type: none"> • Does not result in significant or irreparable harm • Failure to implement agreed E&S measures with limited immediate impacts
Serious
<ul style="list-style-type: none"> • An incident that caused or may potentially cause significant harm to the environment, workers, communities, or natural or cultural resources • Failure to implement E&S measures with significant impacts or repeated non-compliance with E&S policies incidents • Failure to remedy indicative non-compliance that may potentially cause significant impacts • Is complex and/or costly to reverse • May result in some level of lasting damage or injury • Requires an urgent response • Could pose a significant reputational risk for the Bank
Severe
<ul style="list-style-type: none"> • Any fatality • Incidents that caused or may cause or may cause great harm to the environment, workers, communities, or natural or cultural resources • Failure to remedy serious non-compliance that may potentially cause severe impacts complex and/or costly to reverse • May result in high levels of lasting damage or injury • Requires an urgent and immediate response • Poses a significant reputational risk to the Bank

C. Step 3 – Investigation – What happened?

MOH/PIU and Implementing Agencies will:

- Promptly provide information requested by the Bank and facilitates incident site visits.
- Undertake or cause the Contractor to undertake a Root Cause Analysis (RCA) to understand and document the root cause(s) of the incident. The RCA will be based on existing country processes. The extent of the investigation (RCA) carried out by the MOH/PIU and Implementing Agencies' Contractor will be proportionate to the severity of the incident. The MOH/PIU and Implementing Agencies or Contractor will be responsible for funding the preparation of the RCA.
- An RCA will be completed as soon as possible, ideally within 10 days of the incident. The findings of the RCA will be used by the Contractor and MOH/PIU and Implementing Agencies to develop measures to be included in a Standards Corrective Action Plan (SCAP) as a complement to existing project safeguards instruments.
- Share the RCA with the Bank and provide complete information about the incident; facilitate additional site visit(s) if needed.

MOH/PIU and Implementing Agencies will ensure that incidents are investigated to determine what happened and why, so that processes and measures can be put in place to avoid reoccurrences and so that appropriate remedies are applied. The Bank Team may

support the MOH/PIU and Implementing Agencies in ensuring an appropriate RCA is conducted by the Contractor or the MOH/PIU and Implementing Agencies.

D. Step 4 – Response

MOH/PIU and Implementing Agencies will design the SCAP and discuss with the Bank, including actions, responsibilities and timelines for implementation, and MOH/PIU and Implementing Agencies monitoring program.

For *Indicative* incidents, documentation of the incident and the MOH/PIU and Implementing Agencies/Contractor response may be the only action required. For serious and severe incidents, where an RCA or other investigation is conducted by the MOH/PIU and Implementing Agencies/Contractor, the Bank and the MOH/PIU and Implementing Agencies will agree on a set of measures as appropriate to address the root causes to help prevent any recurrence of the incident. The measures determined as appropriate by the Task Team will be captured in a Standards Corrective Action Plan (SCAP).

Box 2 – Example of a MOH/PIU and Implementing Agencies’s Action Plan Following a Project Related Fatality

- 1) Monthly site meetings attended by PIU and covering safeguards updates
- 2) The supervision consultant monthly progress report will provide details on ESMP implementation status as well as accidents and grievances
- 3) PIU will send to the Bank monthly progress reports within 1 week of receipt from the supervision consultants
- 4) Accidents and grievance log books are placed in all construction sites
- 5) Any severe injury (requiring off-site medical care) or fatality incident shall be reported to the Bank within 48 hours with basic information and a detailed incident report including the following will be submitted as soon as possible, ideally within 10 working days:
 - a) root cause analysis and
 - b) corrective action plan on:
 - i) immediate mitigation measures in case of continuing danger (e.g. fencing, signboard, guards)
 - ii) compensation to the affected family based on a clear rationale
 - iii) risk assessment and correct application of ESHS management procedures, and
 - iv) medium- and long-term mitigation measures including enhancement of safety measures, audits, and additional training.
 - c) Progress monitoring and reporting

The SCAP will specify the actions, responsibilities, and timelines to be implemented by MOH/PIU and Implementing Agencies. MOH/PIU and Implementing Agencies will be responsible for implementation of the SCAP. The SCAP may include, for example, MOH/PIU and Implementing Agencies actions such as the design or upgrading and implementation of Environmental, Social, Health and Safety management systems, processes and training to support consistent safe performance, compensation for injuries or a fatality, pollution prevention and control remedies to be implemented over a few weeks or a multi-year period, according to the specific project circumstances. The SCAP might include requirements for community consultation, compensation payments relating to a resettlement program, or remediation of farmland damaged by contractors. The SCAP also may include or

request Bank actions such as provision of technical assistance by the Bank, and/or loan restructuring, including additional financing, if necessary.

E. Step 5 – Follow up

MOH/PIU and Implementing Agencies will implement SCAP; monitor progress; report on implementation to the Bank.

If the Bank considers that the SCAP measures will not be effective, or where MOH/PIU and Implementing Agencies has shown itself unwilling or unable to put corrective measures in place, the Bank may consider a decision to fully or partially suspend disbursements until such actions are in place, or, in some circumstances, may consider cancelling all or part of the project following the suspension.

2. Responses and Remedies

Illustrative examples of responses and remedies available for different types of incidents prior to and during project implementation are set out in this section for guidance of task teams and management.

Health and Safety Examples

Examples of **potential responses** by the Bank and MOH/PIU and Implementing Agencies to worker occupational health and safety incidents of varying severity are presented in Table 1.

Table 1 Potential Responses to Health & Safety Incidents of Different Severity

Health & Safety Issues	Potential MOH/PIU and Implementing Agencies actions
<p>Severe Any fatality, permanent disability, or outbreak of life-threatening project-related communicable disease</p>	<ul style="list-style-type: none"> • Improve barriers, alarms, signage, training, work processes and procedures • Address gaps in competence, expertise, numbers of project OHS team and/or project management team • Ensure that Health and Safety risk assessment has been conducted and appropriate management plans are put in place, implemented and enforced
<p>Serious Major (non-fatal) accident or near-miss</p>	<ul style="list-style-type: none"> • Review relevant sections of health and safety risk assessment for adequacy • Improve barriers, signage, training, working methods • Enforce use of personal protective equipment • Complement Project Implementation Unit (PIU) with adequate competencies and expertise with OHS specialist
<p>Serious Repeated observations of dangerous behavior or clear violations of safety protocols</p>	<ul style="list-style-type: none"> • Improve use of grievance redress mechanism • Review relevant sections of health and safety risk assessment for adequacy • Implement (revised) OHS management plan, including training
<p>Indicative Repeated failure to respond to notification to remedy safeguards issues (e.g., safety kit incomplete or not present)</p>	<ul style="list-style-type: none"> • Remedy the outstanding issues • Repeat awareness training and messaging • Improve work process or procedure

E&S Examples

Examples of **potential responses** by the Bank and the MOH/PIU and Implementing Agencies to Environmental and Social incidents of varying severity are presented in Table 2.

Table 2 Potential Responses to Environmental and Social Incidents of Different Severity

Environmental/Social	Potential MOH/PIU and Implementing Agencies actions
<p>Severe (Social) Forced resettlement without due process or compensation</p>	<ul style="list-style-type: none"> • Identify evicted people and provide compensation and support for identification of new housing/other facilities as relevant, in line with Bank safeguards requirements, including appropriate consultation • Clear instructions to project implementer(s) with respect to resettlement process, including sanctions for non-compliance with MOH/PIU and Implementing Agencies, as well as Bank requirements; • Implement all measures identified in SCAP
<p>Severe (Environmental) Poaching or trafficking in endangered species</p>	<ul style="list-style-type: none"> • Engage with law enforcement to halt the poaching • Anti-poaching training for project workers and community members to make clear incentives and penalties • Include sanctions for inappropriate worker behavior, including poaching, in Contractors' contracts • Develop an alternative livelihoods program for communities around protected areas
<p>Serious (Social) GRM not functioning</p>	<ul style="list-style-type: none"> • Review GRM and address issues (upgrade, improve access, publicize GRM in community/ies, better organize response process) • Train PIU staff on GRM management and monitoring • Assign responsibility to qualified PIU staff
<p>Indicative (Environmental) Hydrocarbon or chemical spills with low to medium environmental impact</p>	<ul style="list-style-type: none"> • Improve work process or procedures as necessary • Train project staff on spills and associated procedures • Increase on-site monitoring if necessary • Review contract language for appropriate sanctions language

Annex 7. Information on ESMF disclosure and Public Consultations

This annex shall be filled in after completion of consultations.

Annex 8. Infection Control and Waste Management Plan (ICWMP) Template

1. Introduction

1.1 Describe the project context and components;

1.2 Describe the targeted healthcare facility (HCF):

- Type: E.g. general hospital, clinics, inpatient/outpatient facility, medical laboratory;
- Special type of HCF in response to COVID-19: E.g. existing assets may be acquired to hold yet-to-confirm cases for medical observation or isolation;
- Functions and requirement for the level infection control, e.g. biosafety levels;
- Location and associated facilities, including access, water supply, power supply;
- Capacity: beds

1.3 Describe the design requirements of the HCF, which may include specifications for general design and safety, separation of wards, heating, ventilation and air conditioning (HVAC), autoclave, and waste management facilities.

2. Infection Control and Waste Management

2.1 Overview of infection control and waste management in the HCF

- Type, source and volume of healthcare waste (HCW) generated in the HCF, including solid, liquid and air emissions (if significant);
- Classify and quantify the HCW (infectious waste, pathological waste, sharps, liquid and non-hazardous) following WGB EHS Guidelines for Healthcare Facilities and pertaining GIIP.
- Given the infectious nature of the novel coronavirus, some wastes that are traditionally classified as non-hazardous may be considered hazardous. It's likely the volume of waste will increase considerably given the number of admitted patients during COVID-19 outbreak. Special attention should be given to the identification, classification and quantification of the healthcare wastes.
- Describe the healthcare waste management system in the HCF, including material delivery, waste generation, handling, disinfection and sterilization, collection, storage, transport, and disposal and treatment works;
- Provide a flow chart of waste streams in the HCF if available;
- Describe applicable performance levels and/or standards;
- Describe institutional arrangement, roles and responsibilities in the HCF for infection control and waste management.

2.2 Management Measures

- Waste minimization, reuse and recycling: HCF should consider practices and procedures to minimize waste generation, without sacrificing patient hygiene and safety consideration.
- Delivery and storage of specimen, samples, reagents, pharmaceuticals and medical supplies: HCF should adopt practice and procedures to minimize risks associated with delivering, receiving and storage of the hazardous medical goods.
- Waste segregation, packaging, color coding and labeling: HCF should strictly conduct waste segregation at the point of generation. Internationally

adopted method for packaging, color coding and labeling the wastes should be followed.

- Onsite collection and transport: HCF should adopt practices and procedures to timely remove properly packaged and labelled wastes using designated trolleys/carts and routes. Disinfection of pertaining tools and spaces should be routinely conducted. Hygiene and safety of involved supporting medical workers such as cleaners should be ensured.
- Waste storage: A HCF should have multiple waste storage areas designed for different types of wastes. Their functions and sizes are determined at design stage. Proper maintenance and disinfection of the storage areas should be carried out. Existing reports suggest that during the COVID-19 outbreak, infectious wastes should be removed from HCF's storage area for disposal within 24 hours.
- Onsite waste treatment and disposal (e.g. an incinerator): Many HCFs have their own waste incineration facilities installed onsite. Due diligence of an existing incinerator should be conducted to examine its technical adequacy, process capacity, performance record, and operator's capacity. In case any gaps are discovered, corrective measures should be recommended.
- Transportation and disposal at offsite waste management facilities: Not all HCF has adequate or well-performed incinerator onsite. Not all healthcare wastes are suitable for incineration. An onsite incinerator produces residuals after incineration. Hence offsite waste disposal facilities provided by local government or private sector are probably needed. These offsite waste management facilities may include incinerators, hazardous wastes landfill. In the same vein, due diligence of such external waste management facilities should be conducted to examine its technical adequacy, process capacity, performance record, and operator's capacity. In case any gaps are discovered, corrective measures should be recommended and agreed with the government or the private sector operators.

3. Emergency Preparedness and Response

Emergency incidents occurred in an HCF may include spillage, occupational exposure to infectious materials or radiation, accidental releases of infectious or hazardous substances to the environment, medical equipment failure, failure of solid waste and wastewater treatment facilities, and fire. These emergency events are likely to seriously affect medical workers, community, HCF's operation and the environment.

Thus, an Emergency Response Plan (ERP) that is commensurate with the risk levels is recommended to be developed.

4. Institutional Arrangement and Capacity Building

A clearly defined institutional arrangement, roles and responsibilities should be included. A training plan with recurring training programs should be developed. The following aspects are recommended:

- Define roles and responsibilities along each link of the chain along the cradle-to-crave infection control and waste management process;
- Ensure adequate and qualified staff are in place, including those in charge of infection control and biosafety and waste management facility operation.
- Stress the chief of an HCF takes overall responsibility for infection control and waste management;

- Involve all relevant departments in an HCF, and build an intra-departmental team to manage, coordinate and regularly review the issues and performance;
- Establish an information management system to track and record the waste streams in HCF; and
- Capacity building and training should involve medical workers, waste management workers and cleaners. Third-party waste management service providers should be provided with relevant training as well.

5. Monitoring and Reporting

Many HCFs in developing countries face the challenge of inadequate monitoring and records of healthcare waste streams. HCF should establish an information management system to track and record the waste streams from the point of generation, segregation, packaging, temporary storage, transport carts/vehicles, to treatment facilities. HCF is encouraged to develop an IT based information management system should their technical and financial capacity allow.

As discussed above, the HCF chief takes overall responsibility, leads an intra-departmental team and regularly reviews issues and performance of the infection control and waste management practices in the HCF. Internal reporting and filing system should be in place. Externally, reporting should be conducted per government and World Bank requirements.

Annex 9. Indicative list of planned procurements

The indicative list of planned procurements under the Component includes:

- **Pharmaceuticals to provide health care for patients with COVID-19**
Pharmaceuticals shall be administered in accordance with existing and approved protocols and guidelines. Medical waste disposal by HCFs shall be guided by current MoH Orders and other laws and regulations.
- **Antiseptics and disinfectants**
Solutions and gels shall be used for their intended purpose and stored in accordance with sanitary rules and regulations approved in Ukraine.
- **Medical devices for HCFs providing care for patients with COVID-19**

Reusable items shall be processed in accordance with rules and regulations approved in Ukraine. Disposal of supplies (consumables) shall be addressed.

- **PPEs, medical devices used in patient screening, supplies to provide health care for patients with COVID-19**

In addition to disposal of disposable plastic products, attention should be paid to safety rules when using oxygen cylinders.

- **Medical devices, laboratory equipment, supplies, laboratory reagents**

The list contains means for rapid tests and Covid-19 reagents for polymerase chain reaction as well as multiple auxiliaries, which are important to consider during use and disposal.

- **Medical devices (supplies) for the pathoanatomical departments**
Using and disposing of refrigerators, refrigeration chambers and autoclaves must be guided by current laws and regulations acting in Ukraine.