



OFFICE OF SAFEGUARDS



ESS1

Environmental & Social Standard 1

ESF Training – 1.5 Hour Clinic

Session Outline



- Objectives
- Scope of application
- Key requirements
- Mitigation hierarchy
- Associated Facilities and Existing Facilities
- Common Approach
- ESCP/ESAP
- Cross referenced requirements
- ESS1 risk screening questions
- Q&A

ESS1 Objectives



- **Screen, scope, assess, manage, and monitor** the E&S risks and impacts as per ESS1 and other applicable ESSs
- Apply the **mitigation hierarchy**
- Support **integration of E&S considerations into project decision-making** to promote E&S sustainability and soundness
- Ensure that the **disadvantaged or vulnerable** are provided with differentiated means to be engaged during the project and receive project benefits, and are not disproportionately affected adversely by projects
- **Improve E&S performance** in ways that recognize and enhance borrower/client capacity

Scope of application



Applies to:

- ✓ All ADB-financed /administered projects (sovereign & non-sovereign)
- ✓ All financing modalities (loans, grants, equity, guarantees)
- ✓ Associated & existing facilities, and cofinanced components



Does not apply to:

- ✗ Activities outside the project scope
- ✗ Post-project activities without ADB financing



Requirement:

Borrower/client must not use project funds for items on the **Prohibited Investment Activities List**

Key requirements of ESS1 – Borrower/client responsibilities



Provide information for
ADB **risk classification**



Define scope of **E&S assessment**
(screening, assessment,
management and monitoring)



Address **all E&S risks/impacts**
(direct, indirect, cumulative,
contextual)



Identify and support **vulnerable/ disadvantaged groups** with
tailored measures

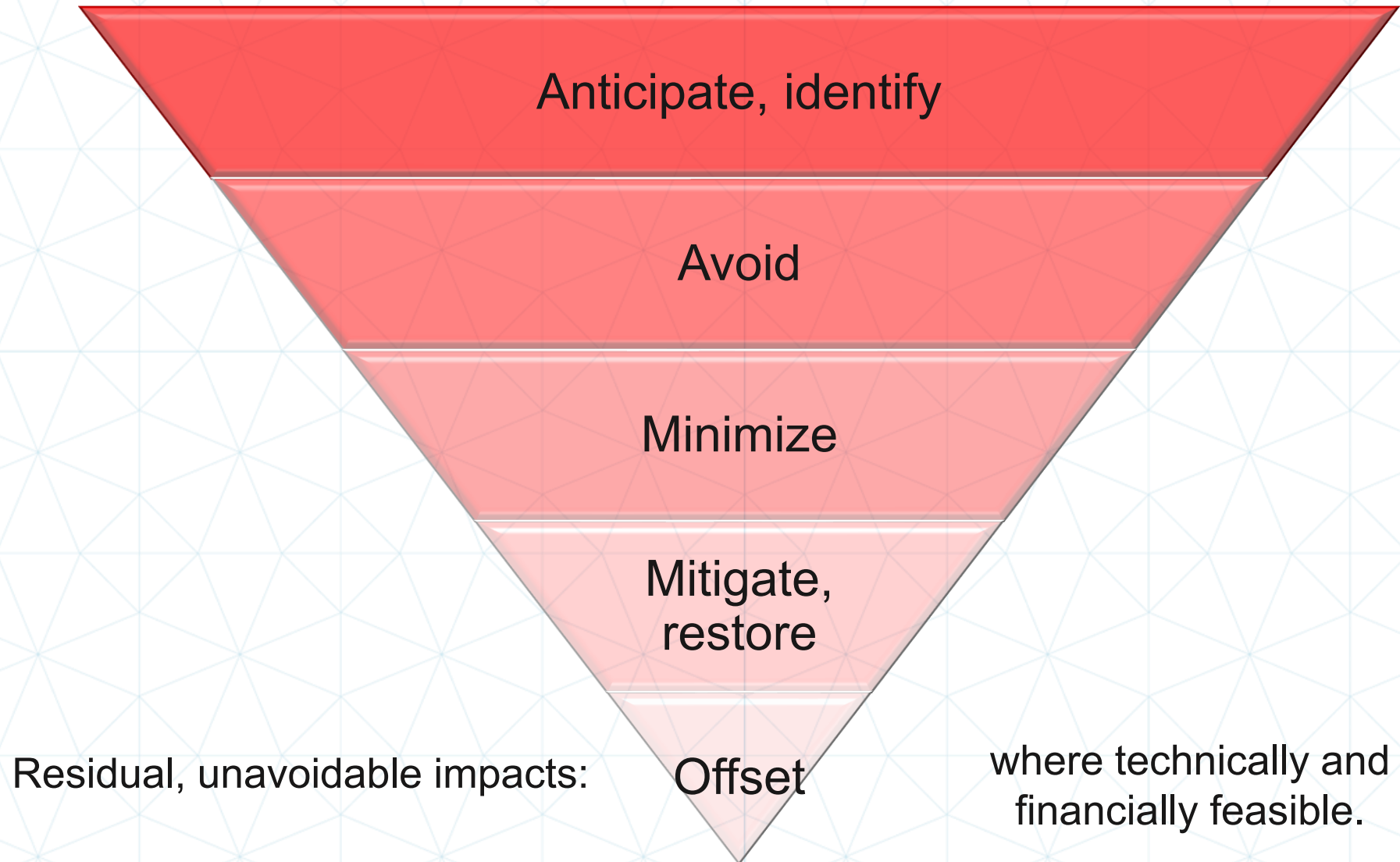


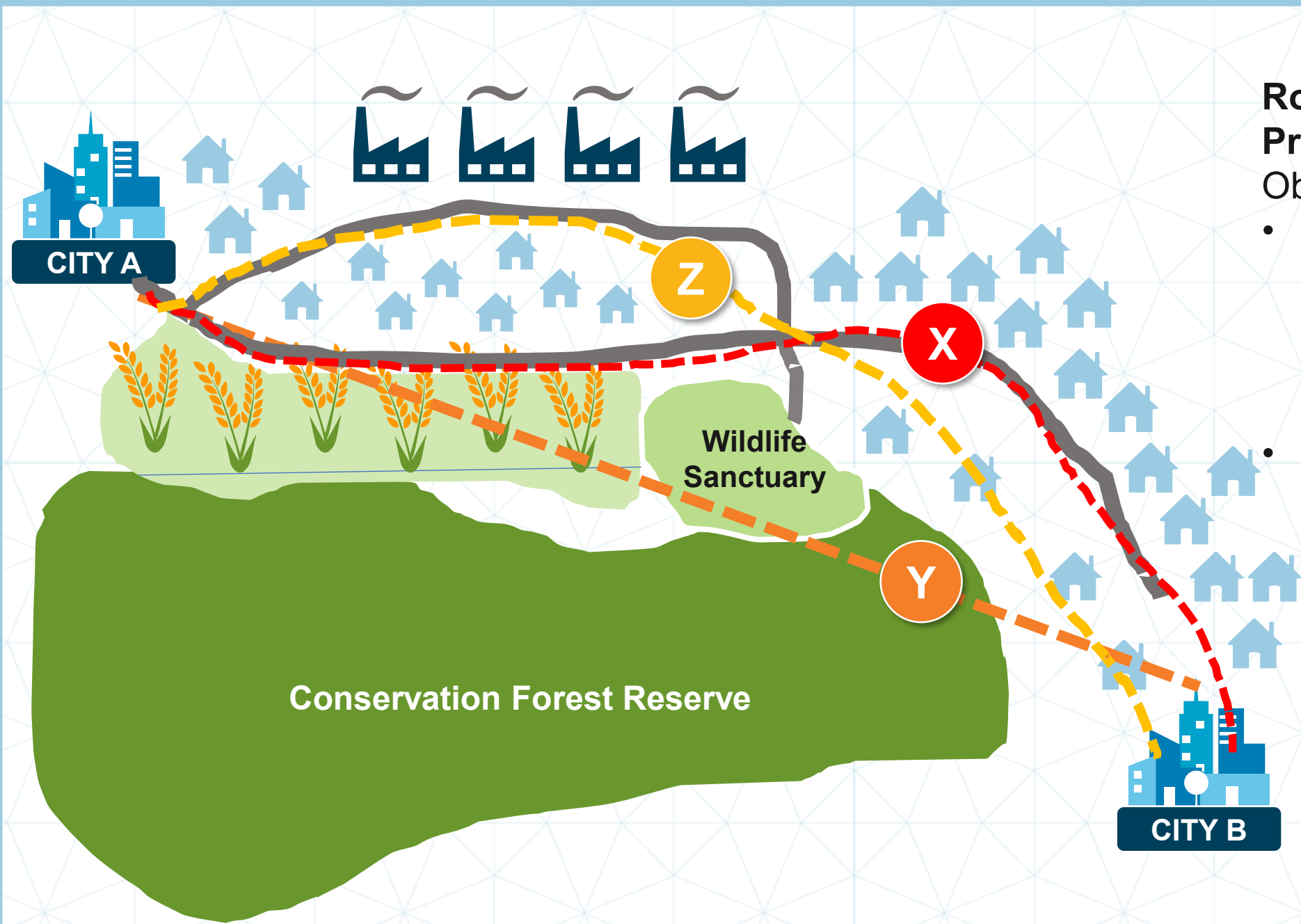
Comply with national laws and
apply **more stringent ESS/GIP**
(e.g., WB EHSG)



Ensure **all relevant ESS requirements** are undertaken to
enhance project readiness

Mitigation Hierarchy





Road development Project

Objectives:

- Improve transport efficiency between City A and City B to support economic growth, trade, and mobility; and
- Facilitate access to markets, services, and employment



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Mentimeter

What are E&S issues avoided and minimized by choosing the option Z?



wildlife sanctuary
critical habitat
resettlement
sanctuary
wildlife
farmland
forest reserve
agricultural land
settlement
houses
land
farm-livelihood impacts
farm land
conservation forest
economic and livelihood
agri land
community
cost wise average
impact on wild life sanct
impact on wealthy populat
forest
ir
farms
forest area
biodiversity
wildlife human conflict
environmental
agriculture
biodiversity and wildlife
habitat fragmentation
less land acquisition
biodiversity impact
Impact on conservation ar
minimize resettlement
critical habitat
sensitive areas
ess10
avoid sensitive env impac
ess7
wildlife sanctuary
endangered species
lesser labor
rare species
less impact structure
communitu

ESCP/ESAP – purpose and content



- Sets out **how the borrower/client will meet the requirements** of ESS1 and applicable ESSs, including actions required following approval

ESCP – sets out how borrower will meet ESS1 & other ESSs

- Forward-looking E&S measures from assessment documents
- Future actions during project implementation

ESAP – actions to bring project into compliance (and set out how a non-sovereign client will meet ESS1 and other ESSs)

- Mitigation & performance improvements (from ESMP/other E&S assessment and management documents)
- Capacity building & system strengthening during implementation

Developing and updating ESCP/ESAP



Establish **timeframes** for all E&S actions to ensure ESS1 (and relevant ESSs) compliance



Deferral allowed only if: risks won't alter project E&S conclusions **and** readiness isn't compromised



Borrower/Client responsibilities:

Implement all actions & measures

Monitor & report on E&S performance vs. timeframe

For project changes:

- Share info & consult on new risks/mitigation
- Update ESCP/ESAP with additional actions
- Disclose updated plan

Content of the ESCP/ESAP



Institutional setup & resources – human/financial for implementation & monitoring



Measures & actions per ESS – proportionate to project risks impacts



Monitoring & reporting – SEP, GM, incidents/accidents, contractor/consultant reports



Capacity development–ongoing E&S performance improvement

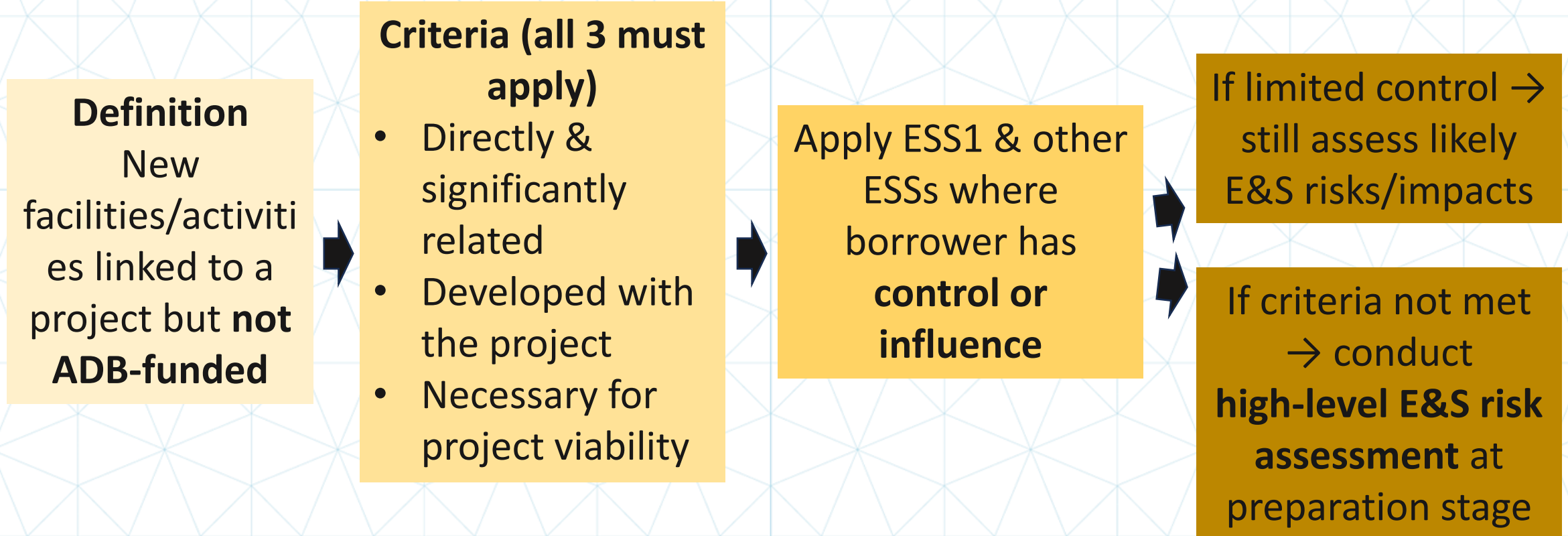


Completion dates – timeline for each action

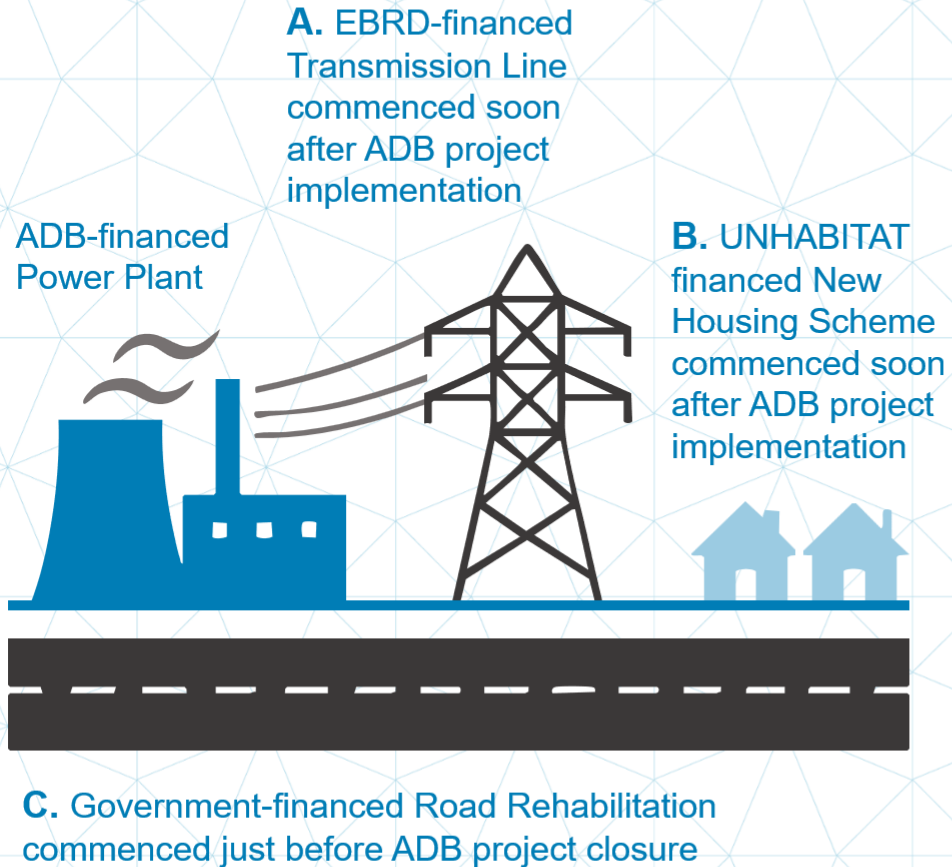


Responsible entities – accountability for delivery

Associated facilities

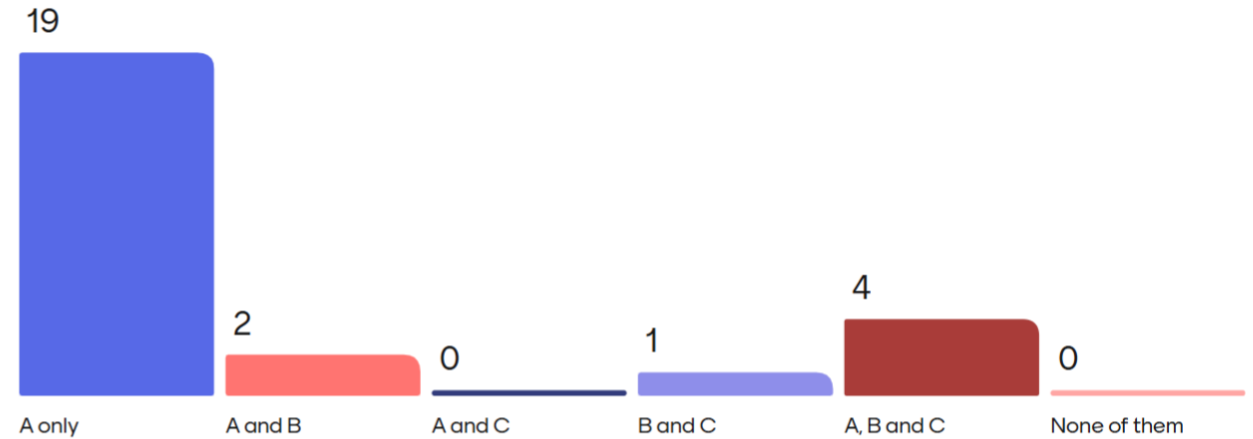


What constitutes as associated facilities for ADB project?



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Purpose:
Identify
past/present
E&S risks &
impacts
through an
E&S
compliance
audit (incl.
on-site
assessment)



Covers:

- Legal, governance & institutional framework
- Permits & licenses
- Existing E&S plans
- Financiers' E&S requirements (if applicable)



If risks identified:

- Propose corrective/mitigation measures
- Estimate costs & set implementation schedule

Common approach



- **Adaptive tool** for co-financed projects
- Borrower, ADB & co-financiers may agree on:
 - Applicable **E&S requirements**
 - **Roles & responsibilities** (incl. document review)
 - **Most stringent standards apply**
- Decision made **early in preparation** (no later than appraisal/credit approval)
- ADB considers **co-financiers' policies & procedures**
- Reflected in **ESCP/ESAP**; performance monitored against agreed approach
- If no common approach → pre-existing E&S assessment may be used **only if aligned with ESSs** (as agreed by ADB)

Cross-referenced requirements



Para. 33 - requires the E&S assessment to assess **health and safety risks** incl. SEAH risks to project workers and project-affected people to prevent and mitigate such risks in accordance with ESS2 and ESS4

Para. 35 - requires the borrower/client to **undertake stakeholder engagement as an integral part** of the E&S assessment in accordance with ESS10

Para. 36 - requires the E&S assessment to also consider risks and impacts associated with **primary suppliers** as required by ESS2 and ESS6

Para. 38 - requires the borrower/client to **prepare a livelihood restoration plan**, in accordance with the principles set out in ESS5, where the E&S assessment identifies project-related **environmental impacts** creating **loss of assets or access to assets or resources** resulting in **losses in incomes or livelihoods**

Cross-referenced requirements contd.



ESS2	ESS4	ESS5	ESS6
- Prevent violence, harassment, bullying, intimidation, exploitation - Address SEAH risks for project workers - Integrate requirements into contractor agreements - Consider primary supplier's related risk - child & forced labor, migrant workers, serious safety issues & introduce procedures and mitigation measures to address these issues	- Borrower/client responsible for managing health, safety & security risks - Pay special attention to disadvantaged/ vulnerable groups - Develop project-specific HSMP(stand-alone or integrated into ESMP/ CESMP)	- Required when environmental impacts cause loss of assets/resources → income/livelihood loss (outside LA/LUR scope) - Applies to all affected people, regardless of legal rights: - Consider disadvantaged & vulnerable groups (esp. those without legal rights) - Provide tailored livelihood opportunities for disadvantaged groups	- Assess risks from primary suppliers that may cause adverse impacts on ecosystems & biodiversity - Apply procurement, management & verification measures - Procure only from legal & sustainable sources & monitor & document sourcing of supplies - Limit procurement to suppliers who can demonstrate: no significant adverse impacts and supplies not from restricted areas

ESS1 – Risk screening questions



#	Question
1.1	Is there a risk of the project towards disadvantaged or vulnerable persons or groups?
1.2	Is there a risk of cybersecurity, data privacy, and/or data management associated with the use of digital technology?
1.3	Is there a risk that the project will result in income and livelihood losses due to environmental impacts that are not direct result of land acquisition/land use restrictions?
1.4	Is there a risk that the borrower/client does not have capacity (human and financial) to screen and scope, assess, manage, and monitor the E&S risks and impacts of the project in a manner consistent with ESS1 and other applicable ESSs?
1.5	<i>Are there any significant contextual risk factors related to the ESS1 that would impact the project?</i>

The logo of the Asian Development Bank (ADB) is a dark blue square with the letters "ADB" in white, serif, uppercase font.

ADB

Thank you!

Pre-identified questions

- 1. How does ESS1 ensure flexibility for projects with uncertainty, low capacity such as in FCAS countries or phased design?**
- 2. How does ESS1 handle cumulative and transboundary impacts?**
- 3. Why does ESS1 no longer list “induced impacts” as a type of impact?**
- 4. Why is digital risk included in ESS1?**

Open Q&A

Questions and discussions from the participants

The ADB logo consists of the letters 'ADB' in a white, serif font, centered within a dark blue square. The background of the entire slide is a light blue color with a subtle, repeating geometric pattern of interconnected triangles.

Thank you!

AskESF@adb.org



ESS1
Assessment and
Management
of Environmental and
Social Risks and
Impacts



ESS5
Land Acquisition and
Land Use Restriction



ESS9
Climate
Change



ESS2
Assessment and
Management
of Environmental
and Social Risks
and Impacts



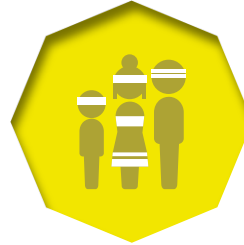
ESS6
Biodiversity
Conservation and
Sustainable Natural
Resources
Management



ESS10
Stakeholder
Engagement and
Information
Disclosure



ESS3
Resource
Conservation
and Pollution
Prevention



ESS7
Indigenous
Peoples



ESS4
Health, Safety,
and Security



ESS8
Cultural
Heritage