

AFRICAN DEVELOPMENT BANK

INTEGRATED ENVIRONMENTAL AND SOCIAL
IMPACT ASSESSMENT GUIDELINES

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TABLE OF CONTENTS

PART 1 GENERIC APPROACH

List of Acronyms.....	ii
Context	1
Guidelines Objective and Intended Users.....	2
Environmental and Social Impact Assessment Process	2
Crosscutting Themes	2
Mitigation Approach.....	4
Monitoring Approach	5
Organisation of the Guidelines	6
Bibliography and Further Readings	7

PART 2 SECTORAL GUIDELINES

Agriculture

Appendix 1	Irrigation
Appendix 2	Fisheries
Appendix 3	Forestry
Appendix 4	Livestock and Rangeland Management
Appendix 5	Crop Production

Infrastructure

Appendix 6	Water Supply
Appendix 7	Roads and Railways
Appendix 8	Hydropower Production, Transportation and Distribution
Appendix 9	Dams and Reservoirs

LIST OF ACRONYMS

AfDB	African Development Bank
AIDS	Acquired immunodeficiency syndrome
CIDA	Canadian International Development Agency
CSO	Civil Society Organisation
ESAP	Environmental and Social Assessment Procedures
ESIA	Environmental and Social Impact Assessment
ESMP	Environmental and Social Management Plan
HIV	Human immunodeficiency virus
IESIA	Integrated Environmental and Social Impact Assessment
RMC	Regional Member Country
STI	Sexually transmitted infection
TOR	Terms of Reference
WHO	World Health Organisation

PART 1 - GENERIC APPROACH

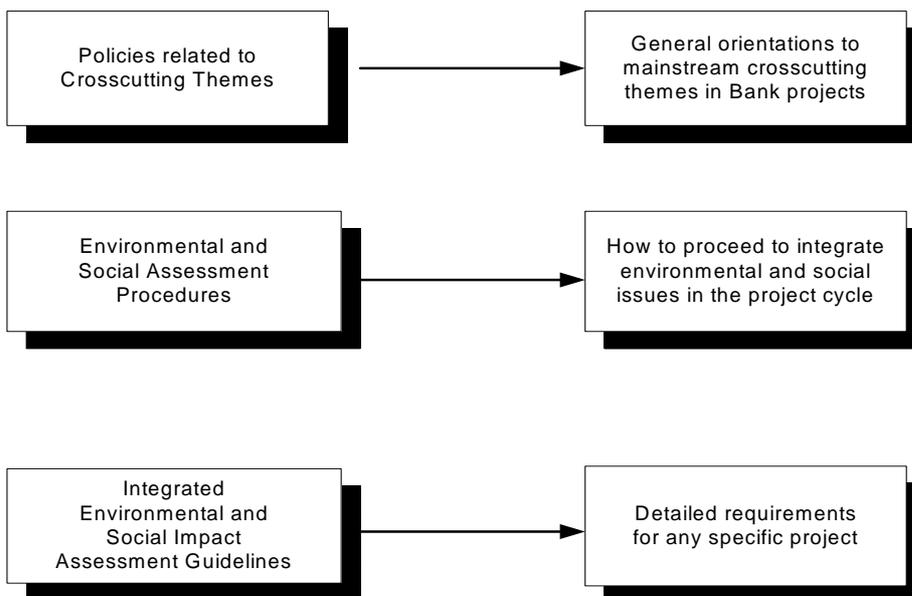
CONTEXT

The African Development Bank recently completed the review of its environmental assessment procedures in order to integrate the Bank's new Vision and emerging priorities, particularly crosscutting themes. The new Procedures, entitled Environmental and Social Assessment Procedures (ESAP), were adopted in June 2001. In addition, the Bank has several sector-specific environmental and gender assessment guidelines, which complement these procedures and provide detailed directives on project assessment. These are listed in ESAP Annex 3.

In order to facilitate the implementation of the revised procedures, the Bank decided to develop Integrated Environmental and Social Impact Assessment Guidelines (IESIA Guidelines). [Figure 1](#) summarises the links between these guidelines and the policies and procedures that were recently reviewed or developed.

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Figure 1 [Links between AfDB's Policies, Procedures and Guidelines](#)



GUIDELINES OBJECTIVE AND INTENDED USERS

The IESIA Guidelines' major objective is to provide reference material to the staff of the Bank and RMCs on how to adequately consider crosscutting themes while assessing the environmental and social impacts of a project. Moreover, the IESIA Guidelines can greatly assist in the project design, as many potential adverse impacts can be avoided or mitigated by modifying or adding certain project components to the initial design. As well, improvements in the project design can enhance several beneficial impacts at a minimal cost.

Therefore, the IESIA Guidelines provide guidance on how to adequately consider the Bank's priority crosscutting themes in both the preparation and assessment phases. Thus the staff of the Bank and RMCs should refer to the IESIA Guidelines from the beginning of the project cycle to the end.

ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT PROCESS

The various steps for conducting an environmental and social impact assessment (ESIA) are illustrated in Figures 1 and 2 of the Environmental and Social Assessment Procedures (ESAP). In addition, the following references provide further information to better understand the tasks to carry out under each ESIA step:

- The typical environmental and social issues to consider in the description of the project environment are outlined in ESAP Annex 2.
- The generic contents of the Terms of Reference (TOR) to carry out an ESIA is presented in ESAP Annex 10, Part A.
- The typical contents of an ESIA Report, as it shall be prepared for Category 1 projects and presented to the Bank for review and approval, is described in ESAP Annex 10, Part B.
- Finally, ESAP Annex 11 presents the minimal contents of an Environmental and Social Management Plan (ESMP), which is required for Category 1 and 2 projects financed by the Bank.

CROSSCUTTING THEMES

The crosscutting themes are defined as transversal issues that are critical to achieve sustainable development. The crosscutting themes prioritised by the Bank are the following: poverty, environment, population, gender and participation. In addition, the Bank has recently adopted health priorities that are transversal issues by nature: HIV/AIDS and Malaria control. Consequently, health outcomes are also considered as a crosscutting theme in the IESIA Guidelines.

Defining the Bank's priority crosscutting themes is difficult because of the nature of transversal issues. They tend to overlap as they are interrelated and to cover a multitude of aspects. For example, gender and poverty issues are closely linked as the poor and women often face the same constraints (restricted control over land, lack of education, limited access to health services, etc.). Consequently, the following definitions of the Bank's crosscutting themes are comprehensive and not mutually exclusive. On the other hand, key issues highlighted under each theme were selected for their relevancy as well as for avoiding repetitions from one theme to the other.

Poverty

Poverty is a multidimensional concept that covers income and non-income aspects. It is a state of livelihood characterised by material deprivation, food insecurity and lack of access to productive means. Major signs of poverty include malnutrition, high rates of infant and maternal mortality, poor health status, unemployment, inappropriate housing, inadequate access to infrastructures and services (education, health care, transport, etc.), social and physical insecurity, vulnerability to shocks, low self-confidence and powerlessness.

Consequently, ensuring that projects assist in reducing poverty requires considering the status of various social and economic components influencing poverty. Key components that are considered under poverty in these Guidelines are the economy; information, education and communication; and access to infrastructures and services.

Environment

The environment consists of the components of the biosphere in which all life exists. Therefore, it encompasses the air, water, soil and related ecosystems. It also includes the flora, fauna and landscape as well as the natural and cultural heritage. Mainstreaming the environment also involves considering the human interactions and impacts on the biosphere, both positive and negative. All these aspects are covered in the IESIA Guidelines.

Population

As a crosscutting theme, population refers to demographics and factors influencing population growth. It therefore covers a broad range of issues such as population characteristics and dynamics (size, density, age and gender structure, ethnies, life expectancy, internal and international migration, rural/urban migration, etc.), education and health, economic growth and employment as well as agricultural and natural resources. In fact, population is closely linked to the crosscutting themes of poverty, environment, health and gender.

In order to simplify the presentation and minimise repetitions, the IESIA Guidelines consider under population the following key issues: demographic trends, migration and resettlement, changes in natural resources and land management and quality of life.

Health

As with poverty, health is a multidimensional concept that is not limited to the absence of disease and infirmity. In fact it is a complete state of physical, mental, social, and spiritual well-being. Consequently many factors influence people's health, particularly economic opportunities, the social context and the natural environment.

In the IESIA Guidelines, health is distinguished from the Health Sector, which is mainly concerned with cure. Impact assessment focuses primarily on prevention. In order to make this distinction clear, the term Health Outcomes is used to refer to the positive and negative impacts of development projects. The spectrum of Health Outcomes considered is broad as it includes communicable diseases, non-communicable diseases, malnutrition, injuries, psychosocial disorders and well-being. These outcomes result from changes in the determinants of health, which are, themselves, the product of changes in other crosscutting themes.

Gender

Integrating a gender perspective in the environmental and social assessment process implies taking into account gender differences in roles, rights, priorities, opportunities and constraints. These differences are socially and culturally ascribed to men and women, they vary widely within and across cultures and they can change over time.

In order to mainstream gender issues in projects, the IESIA Guidelines cover gender inequalities or differences in the following key areas: division of labour (paid and unpaid work), income-generating activities, access to and control over productive factors, and involvement in societal organisation.

Participation

As a crosscutting theme, participation refers to the goal of actively involving the project stakeholders, particularly those who stand to gain or to lose from a project, into the development, implementation and evaluation of the Bank activities. This goal implies to share information and control over social, political and development initiatives, decisions and/or resources.

This crosscutting theme is mainstreamed by carrying out consultations along the assessment process with the various stakeholders. In particular, the Bank favours intensifying consultations with civil society organisations (CSOs) in its guidelines and action plan to increase the civil society involvement. The approach to follow to ensure meaningful consultations is presented in the Bank's *Handbook on Stakeholder Consultation and Participation*.

MITIGATION APPROACH

The mitigation approach adopted in the IESIA Guidelines focus on enhancing positive impacts and, in the following order, on preventing, minimising, mitigating or compensating adverse impacts. This approach implies that most of the measures proposed in the Guidelines target preventive actions mainly related to project design, location and implementation rather than curative interventions that handle adverse outcomes after the emergence of the anticipated problems.

This approach is well illustrated in the health and environmental areas. The prevention of negative health outcomes means proposing measures favouring a safe working and living environments as well as health promotion. The following Box provides an illustration of an essential health preventive measure in Africa. In the environmental area, preventive actions rely on avoiding interventions in a sensitive milieu and respecting the carrying capacity of ecosystems.

Disease vector control – An essential prevention measure

Disease vector control is of special importance because malaria kills over a million children per year in Africa and causes extensive morbidity. Other vector borne diseases include onchocerciasis, filariasis, trypanosomiasis, leishmaniasis, and schistosomiasis.

There are a number of characteristics of the bio-physical environment that affect the abundance of disease vectors and their contact with people. The design, operation and maintenance of the project can enhance or reduce the problem. For example, the prevalence rate of schistosomiasis in some lower stretches of the Senegal River Valley changed from less than 10% to about 90% as result of the construction of dams.

Disease vector control – An essential prevention measure (continued)

Focal application of residual insecticides has proved to be the most cost-effective method of vector control but has many problems and should be integrated with other measures. Means for vector control by environmental management can be incorporated in new projects, and may reduce economic costs. There are three major categories in environmental management:

- Environmental modification includes permanent changes to the environment to stop vectors breeding such as ground levelling, lining canals, steep banks and self-draining structures.
- Environmental manipulation includes repeated changes to the environment such as deweeding drainage ditches and alternate wet and dry rice production.
- Contact reduction includes the provision and social marketing of bednets, house screens, repellents and the location and design of human settlements.

Under a preventive mitigation approach, mitigation measures shall include, as example, appropriate domestic water supplies, sanitation and housing; the design and regulation of project components; the design and location of settlements and construction camps; the avoidance of disease vectors; social measures such as empowerment, literacy, food security, stability, rule of law and good governance; as well as information, education and communication, and distribution of preventive and protective means.

Compensation measures, which are equivalent to curative measures, shall be the last line of action, although they are important in certain cases. To address health outcomes, as example, curative measures include improvements to the capacity of medical services through increased staffing and budgets, diagnostic and referral systems and better infrastructure and transport. Increased capability to deliver services may also require improvements in staff skills, essential drug supply and revolving drug funds.

MONITORING APPROACH

In these guidelines, the proposed monitoring approach aim to document impacts that were anticipated and to estimate the efficiency of some of the enhancement and mitigation measures proposed. The monitoring results shall also be used to improve the enhancement and mitigation measures. For example, monitoring the impacts of a project on water quality shall assist in determining if the proposed mitigation measures to reduce water borne diseases are sufficient and appropriate. As well, monitoring vector breeding sites shall establish the level of efforts required to prevent vector contact among the population.

The Guidelines propose monitoring indicators that can assist in evaluating the real impacts associated with the project and the extent to which the mitigation measures respond to the observed impacts. These do not represent all potential monitoring indicators, but rather those that can measure impacts on the most sensitive environmental or social components, and provide valuable information to adjust the project mitigation measures accordingly.

ORGANISATION OF THE GUIDELINES

These Guidelines include two parts, namely this introduction (Part 1), followed by the sectoral IESIA Guidelines (Part 2).

The second part consists of a series of independent appendices providing detailed guidelines, each one being related to a specific sub-sector. These sectoral guidelines provide information tailored to the particularities of the considered sub-sector, focusing on the crosscutting themes prioritised by the Bank.

Each sectoral appendix is structured the same way. First, the main types of intervention in the considered sub-sector are presented, followed by the specific characteristics of a typical project of the sub-sector. Section 3 identifies the major issues related to the sub-sector by crosscutting theme. The main component of the sectoral guidelines is Section 4 that presents the most frequent potential impacts and enhancement/mitigation measures for the considered sub-sector. The following two sections briefly summarise the external factors and the main hazards that can influence a sectoral project. Section 7 outlines indicators that could be useful for monitoring the considered project. Finally, each sectoral appendix concludes with a series of references for further readings.

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