

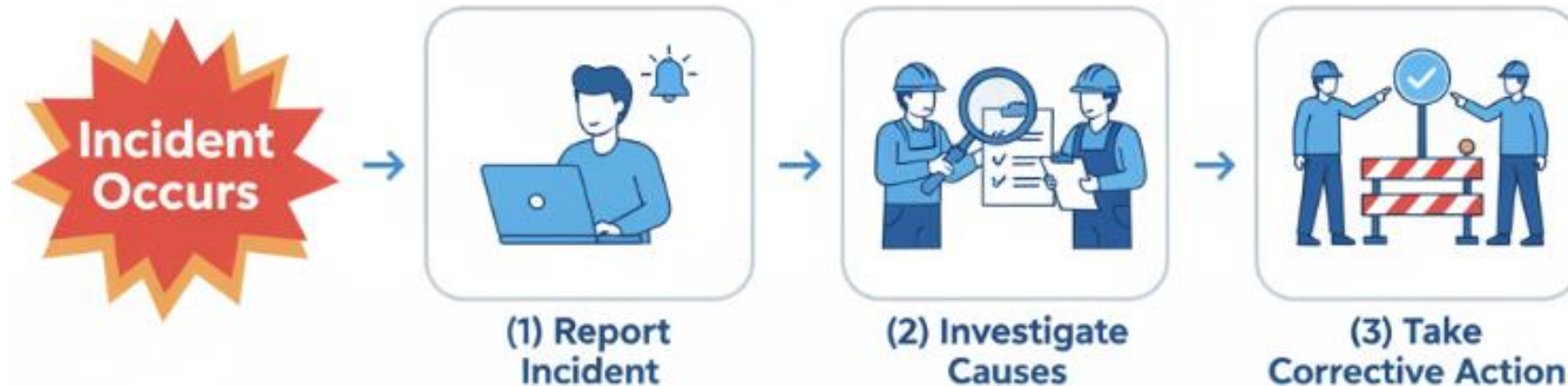


Incident, Investigation and Corrective Actions

The World Bank's Environmental and Social Incident Response Toolkit (ESIRT)

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World Bank Requirements Regarding Incidents



Objectives of the Environmental and Social Incident Response Toolkit (ESIRT)

ESIRT is the Bank's internal process to address severe incidents that occurred in Bank-financed projects



ESIRT Roles and Responsibilities



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ESIRT Process



The TTL will complete Part A of the Form

PROJECT IMPLEMENTATION ARRANGEMENTS SUMMARY

1. Form of Construction Contract

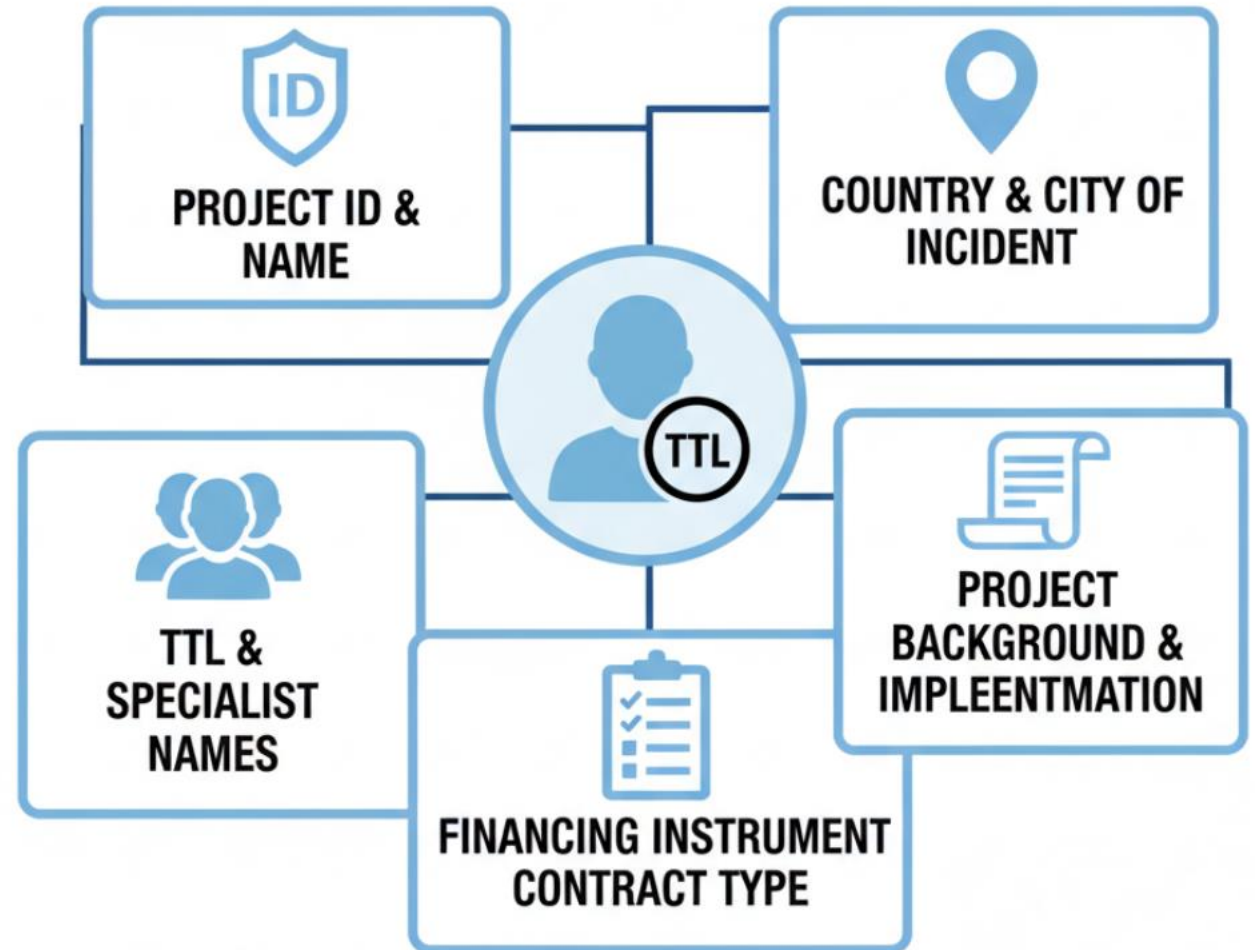
- | | |
|---|---|
| N/A N/A | ☐ Works Output and Performance Based |
| ☐ Works | ☐ Plant |
| ☐ Underground Works | ☐ Small Works |
| ☐ Works Design and Build | ☐ Plants |
| ☐ Works Design Build and Operate | ☐ Consulting Services |
| ☐ Works EPC/Turkny | ☐ Non-Consulting Services |
| ☐ | ☐ Other |

2. Procurment Method

- | | |
|--|---|
| ☐ International Competitive
Procerment | ☐ National Competitive
Procerment |
|--|---|

3. Review Type

- | | |
|---------------------------------------|--------------------------------------|
| ☐ Prior Review | ☐ Post Review |
|---------------------------------------|--------------------------------------|



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The Borrower will complete Part B of the Form

Date of Incident:	Time:	Date Reported to PIU:	Date Reported to WB:
Reported to PIU by:	Reported to WB by:	Notification Type: Email/" phone call/media notice/other	
Full Name of Main Contractor:		Full Name of Subcontractor:	

B3: Description/Narrative of Incident

Please replace text in *italics* with brief description, noting for example:

- I. **What** is the incident?
- II. **What** were the conditions or circumstances under which the incident occurred (if known)?
- III. Are the basic facts of the incident clear and uncontested, or are there conflicting versions? What are those versions?
- IV. Is the incident still ongoing or is it contained?
- V. Have any relevant authorities been informed?

B4: Actions taken to contain the incident

Short Description of Action	Responsible Party	Expected Date	Status

For incidents involving a contractor:

Have the works been suspended (*for example, under Contract XXX of Works*)? Yes ☐; No ☐

Trading name of Contractor (if different from B1):

Please attach a copy of the instruction suspending the works.

Part B of ESIRT Form



fallen worker
(fatality)



injured person
(lost time injury)



displaced family
(displacement)



child labor



violence/protest



disease outbreak



dam failure



environmental pollution



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The Borrower will complete Part C

GENERAL CAUSES



VEHICLE & TRAFFIC CAUSES



NAME	
NAME	
AGE / DOB	
DATE OF DEATH / INJURY	
GENDER	
GENDER	
NATIONALITY	
CAUSE OF FATALITY / INJURY	
WORKER	
WORKER (EMPLOYER) / PUBLIC	

Details of any Compensation Payments

The Borrower is ultimately responsible for any compensation or to ensure compensation is included in the contractor agreement.



Investigation Findings and Corrective Action Plan

C1: Investigation Findings

Please replace text in italics with findings, noting for example:

- I. where and when the incident took place*
- II. who was involved, and how many people/households were affected*
- III. what happened and what conditions and actions influenced the incident*
- IV. what were the expected working procedures and were they followed*
- V. did the organization or arrangement of the work influence the incident*
- VI. were there adequate training/competent persons for the job, and was necessary and suitable equipment available*
- VII. what were the underlying causes; where there any absent risk control measures or any system failure*

Action	Responsible Party	Expected Date

INVESTIGATION FINDINGS AND CORRECTIVE ACTION PLAN

INVESTIGATION FINDINGS



WHAT

WHO

WHO

WHEN

HOW

WHY

WHY

CONDITIONS

CORRECTIVE ACTION PLAN



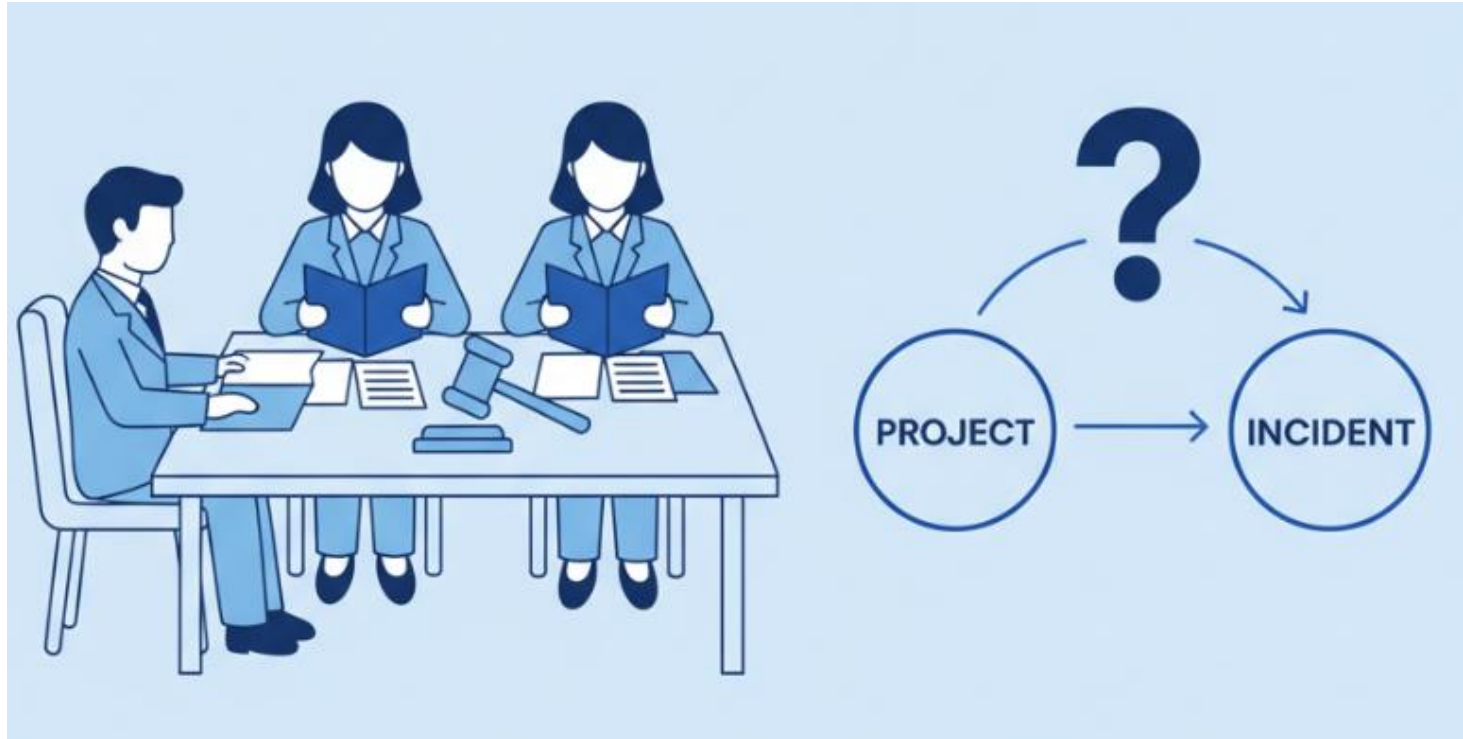
ACTION	RESPONSIBLE PARTY	EXPECTED DATE

INVESTIGATE – IDENTIFY CAUSES – PREVENT RECURRENCE



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Request for Project Cause Decision



Part D: Monitoring of Corrective Action Plan

D2a Program for tracking and monitoring the Corrective Action Plan:

D2b Risk & Performance Ratings review and change due to the incident:
Not applicable

Question	Yes	No
Has Project Risk Rating been reviewed?	☐	☐
Have E or S Risk Ratings been reviewed?	☐	☐
Has the E or S Performance Rating been reviewed?	☐	☐

D3 Bank Remedies: Have the application of Bank Remedies been discussed? ☐ If ticked, provide details:

CAP should detail the responsible party, and date by which each measure necessary to complete the corrective actions will be undertaken



CAP TIMELINE



VERIFY ACTIONS



**ONGOING
MONITORING**



**RESPONSIBLE
PARTY**



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Part E. Incident Case Closure

E1 Statement of Case Closure:

- I. *Is the team satisfied with the Borrower's response to the incident?*
- II. *Have all the agreed corrective actions identified in the Corrective Action Plan been completed?*
- III. *Have all compensation arrangements been completed?*
and confirm:
- IV. *Have E&S and Project Risk Ratings have been reviewed and updated as necessary?*

TT/TTL to confirm and verify that CAP is completed

TTL to complete Statement of Case Closure



**CASE
CLOSED**



**CORRECTIVE
ACTIONS
COMPLETED**



**CLOSURE
NOTIFICATION**



**E&S RISK
REVIEWED**



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ESIRT Notifiable Incidents

A vehicle carrying four project consultants skidded off the road while approaching a project site and fell into a tributary river resulted in one fatality and two serious injuries. ESIRT reportable?

YES – fatality and serious injuries occurred

A small ammonia gas leak from an ice making machine that the project supported (small/medium enterprises) resulted in the local community being evacuated as precautionary. No injuries reported. ESIRT reportable?

YES – impacting the local community resulted in an evacuation

A security guard was intoxicated (alcohol) at work and started a physical altercation with two laborers staying at the camp? ESIRT reportable?

NO – one off event and not systematic

There have been a series of physical altercations between security guards and community members resulted in protests by the community. ESIRT reportable?

YES – systematic and impacting community

A sexual harassment incident against one of the project's consultants was logged in project GM. ESIRT reportable?

YES - all sexual Exploitation and Abuse / Sexual Harassment (SEA/SH) incidents must be reported.

- **If the incident is not clearly defined in Annex 1, use your professional judgment**
- **Ask yourself: Does Bank senior management need to be aware of this incident?**
- **Contact ESIRT_Support@worldbank.org,**
- **or Lead E&S specialists, Focal Points or GBV Focal Points for guidance**



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Thank You