FEDERAL REPUBLIC OF ETHIOPIA

MINISTRY OF EDUCATION
Department of Vocational and Technical Training

East Africa Skills for Transformation and Regional Integration Project (EASTRIP) (P163399)

ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF)

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Prepared By

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GLOSSARY OF TERMS

Cumulative impacts/effects: The total effects on the same aspect of the environment resulting from a number of activities or projects.

Developer/Proponent/Sponsor: the entity – person/ company/agency – proposing to develop/implement/install a new project/sub- project or expand an existing project under the project.

Direct impacts: An effect on the environment brought about directly by the projects.

Disclosure: Information availability to all stakeholders at all stages of the development of projects.

Environment: physical, biological and social components and processes that define our surroundings.

Environmental Impact Assessment (EIA): A comprehensive analysis of the project and its effects (positive and negative) on the environment and a description of the mitigative actions that will be carried out in order to avoid or minimize these effects.

Environmental Monitoring: The process of examining a project on a regular basis to ensure that it is in compliance with an Environmental Management Plan (EMP), or the Government Environmental Impact Assessment (EIA) certification of approval conditions and / or environmental prescriptions.

Impact: A positive or negative effect that a project has on an aspect of the environment.

Indirect impact: A positive or negative effect that a project indirectly has on an aspect of the environment.

Involuntary resettlement: The forceful loss of land resources that requires individuals, families and / or groups to move and resettle elsewhere.

Mitigation measures: The actions identified in an EIA to negate or minimize the negative environmental impact that a project may have on the environment.

Project and sub-project: a set of planned activities designed to achieve specific objectives within a given area and time frame.

Project Brief: The initial submitted document to EPA to initiate the process that will lead to the issuance of the EIA certificate of approval.

Scoping: The initial stage in an environmental assessment that determines the likely major environmental parameters that will be affected and the aspects of the project that will bring upon these effects.
Screening: An initial step when a project is being considered for environmental assessment. The screening is the determination of the level of assessment that will be conducted.

Significance: Importance.

Significant effect: An important impact on an aspect of the environment.

Stakeholder: Any person or group that has an interest in the project, and the environmental effects that the project may bring about.

ACRONYMS & ABBREVIATIONS

EAC	East Africa Community
EAs	Environmental Assessments
EASTRIP	East Africa Skills for Transformation and Regional Integration Project
EHS	Environmental, Health and Safety
EIA	Environmental Impact Assessment
EPA	Environment Protection Authority
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FDRE	Federal Republic of Ethiopia
HIV/AIDS	Human Immuno Deficiency Syndrome
IBRD	Bank for Reconstruction and Development
ICT	Information and Communication Technologies
IFC	International Finance Corporation
IUCEA	Inter-University Council for East Africa
MoE	Ministry of Education
MoFCC	Ministry of Environment, Forest and Climate Change
MWI	Ministry of Water and Irrigation
NPCU	National Project Coordination Unit
OP	World Bank Operational Policies
OSHA	Occupational Safety and Health Act
PAD	Project Appraisal Document
PCU	Project Coordination Unit
PIU	Project Implementation Unit
PPE	Personal Protective Equipment
RAP	Resettlement Action Plan
REPA	Regional EPA
RFU	Regional Facilitation Unit
SEA	Strategic Environmental Assessment
SERC	Standards and Enforcement Review Committee
TAC	Technical Advisory Committee
TVET	Technical and Vocation Education Training
UNEP	United Nations Environment Programme
WB	World Bank

EXECUTIVE SUMMARY

Background

The World Bank in partnership with East African countries is developing an East Africa regional skills initiative, the East Africa Skills for Transformation and Regional Integration Project (EASTRIP) to support skills development for the Northern Corridor Initiative Project (NCIP) and other mega projects in the region. The Project is expected to be approved by the World Bank board in or around October 2018 and will be implemented in the next five years or so. The Project will be financed with a combination of national and regional IDA credits and IDA grant totaling approximately US$300 million. The EASTRIP initially covers three Eastern Africa countries including Ethiopia, Kenya, and Tanzania but can be expanded to include other countries. The Project's development objective is to increase the access and improve the quality of Technical and Vocational Education and Training (TVET) programs in selected centers to contribute to support regional economic corridors. The objectives and results will be achieved through activities grouped under three components, whereby Component I and II are at national levels and III at regional Level.

Project Description

The proposed East Africa Skills for Transformation and Regional Integration (EASTRIP) initially involves three East African countries including Ethiopia, Kenya, and Tanzania. The project's development objective is to increase the access and improve the quality of TVET programs in selected Regional TVET Centers of Excellence and to support regional integration. The project supports the development of highly specialized TVET programs at diploma and degree levels for training of technicians and TVET faculty, as well as industry recognized short-term training, targeting regional priority sectors in transport, energy, manufacturing, and ICT. The objective will be achieved through complementary interventions at three different levels—center, national, and regional.

Project description

The project has three components with a series of sub-components namely;

Component 1: Strengthening selected Regional TVET Centers of Excellence for high-quality skills development in priority sectors (US$189 million IDA credit). This component will focus on; strengthening center governance and management, institutionalizing industry links, developing/implementing market relevant and competency-based training programs, Training of school managers and teachers, upgrading key instructional facilities and equipment, and outreaching and support for non-project national TVET.

Component 2: Capacity Building for national TVET Systems (US$21 million IDA credit). This component will focus on; strengthening national TVET quality assurance, capacity building for TVET policy development and implementation, promoting regional integration, National project coordination, and M&E.

Component 3: Enhancing regional collaborative capacity on TVET and project coordination (US$10 million regional IDA grant). This component will focus on; Harmonization of standards and mutual recognition of qualifications for priority occupations, Incubation of a regional TVET technical body for policy research, advocacy, strategy development, and

dissemination of good practices, Capacity building for Africa skills competition, Regional project coordination and M&E.

Key Performance indicators
The Project Development Objectives (PDO) will be measured by the following key indicative PDO level indicators: (a) PDO Indicator 1: Increase in student enrollment and completion at flagship TVET institutions in programs aimed at meeting skill needs of priority sectors (b) PDO Indicator 2: Graduates of accredited TVET programs employed in occupations in the priority sectors six months after graduation, and (c) PDO Indicator 3: Increase in number of enrolled students coming from another country in the region.

Environmental and Social Requirements
In order to reduce, minimise and mitigate adverse impacts and undue harm of its development projects to the environment, all bank-financed projects are guided by environmental and social policies and procedures commonly referred to as safeguards instruments. Implementation of the Project (especially component 1) is anticipated to have both positive and negative environmental and social impacts albeit on local scale and hence the project has triggered one of World Bank's Operational Policies – OP 4.01 – Environmental Assessment. As per the WB classification under OP 4.01, the project has been assigned 'Category B.'

Objective for the ESMF
Given the nature of the activities to be supported under the project (particularly the infrastructure projects to be financed under the project), the World Bank safeguards policy on environmental assessment (OP 4.01) has been triggered. Specific project activities (such as the types of buildings, the scope of civil works, solid waste, water and waste water management process, among others) and site locations have not been clearly identified at the project preparation stage; hence the need for an ESMF that provides a general impact identification framework to assist project implementers to screen the projects and institute measures to address adverse environmental and social impacts. The ESMF will document all key potential environmental and social issues related to project implementation as per WB requirements. Preparation of Environmental and Social Impact Assessment (ESIA) study report will be undertaken at a later stage prior to implementation of EASTRIP sub-projects.

This ESMF has been prepared in line with the relevant World Bank (WB) safeguard policies on environmental and social management. It considers the relevant World Bank Safeguards Policies and Government of Ethiopia regulations and describes the planning process concerning environmental and social issues, including screening, preparation, implementation, and monitoring of all project components and sub-components to ensure full compliance with the agreed guidelines. The process of preparing this ESMF entailed detailed desk-top literature review, coupled with consultation and engagement of appropriate stakeholders.

Policy, Legal and Institutional Issues
The following legal instruments and WB policies among others were reviewed as they apply to this project.

- *Constitution of Federal Republic of Ethiopia*
- *World Bank safeguards Operational policies (OP 4.01, 4.12)*
- *World Bank guidelines on Labour Influx*
- *Proclamations such as Environmental Impact Assessment, Solid Waste Management, Environmental Pollution Control*
- *Environmental Regulations and Guidelines*
- *Labour Proclamation, etc*

Project potential environmental and social impacts

The proposed EASTRIP is likely to have both positive and negative environmental and social impacts largely at local or project site levels and nationally.

Summary of positive and negative impacts

Positive Impacts	Proposed Enhancement measures
Increased enrollment in TVET institutions	The project should develop infrastructure that will increase access to TVET programs, including offering relevant courses as demanded by the industries
Creation of employment opportunities for the local people and staff	Ensure local labour is given preference during construction and hiring staff
Reduction of gender gap in enrollment and completion rates	Women (and girls) to benefit from affirmative action during admission to reduce the enrollment gap and an enabling learning environment including provision of accommodation for women to be enhanced.
Better institutional management and transparency on TVET operations	The project should ensure capacity building and training of key staff is carried out in areas of financial management, procurement, monitoring and evaluation and, environmental and social safeguards
Increase in skilled workforce in the country	The TVET institutions should develop and offer courses that are demand-driven to assist in absorption of graduates from the TVET institutions
Regional Integration	Encourage cross border enrollment in centres of excellence among the countries participating in the project and beyond
Strengthened culture of management of environmental and social risks	Capacity building and training of all those that will be involved in the management of environmental and social safeguards of the project to enhance their skills for managing future projects
Increased capacity for gender friendly and responsive learning environments	Develop, implement and monitor a gender action plan

Negative Impacts and Proposed Mitigation measures

Impacts	Description of mitigation measures
Soil and Land degradation	• Minimize land clearing areas as much as possible to avoid unnecessary exposure of bare ground to the elements of the weather. • Re-vegetate cleared areas using native plant species or recommended landscaping plants • Avoid construction work during heavy rains
Air pollution	• Regular watering of the site and access roads • Cover materials during transportation • Purchase sound equipment/machinery • Operate well maintained vehicles, trucks and other equipment • Use good quality fuel and lubricants • Suppress dust generation at project sites • Switch off engines when not in use

Impacts	Description of mitigation measures
Noise and vibration	• Schedule of works is to be limited to daylight hours • Engines of vehicles/trucks and earth-moving equipment should be switched off when not in use. • Proper maintenance of construction vehicles and equipment
Impacts on Landscape and Visual Receptors	• Project sites should be fenced/hoarded off from public view during construction. • Good house-keeping at construction sites should be ensured.
Impact on traffic and Public safety	• Contractor to prepare a Traffic Management Plan for his work activities • Initiation of a safety program and measures by creating awareness and educational campaigns for drivers, workers and local communities, including observation of speed limits • Installation of appropriate road signage, speed signs, and other warning signs at the site and access roads • Employ experienced drivers • The Contractor ensures proper driving discipline by its employees, and sanctions those in breach. • Maintain a log detailing every violation and accident at site or associated with the project work activities
Water use	• Develop water abstraction plan to minimize conflict with residents • Manage use of piped water and other water sources mainly used by local people • Obtain water abstraction permit from the relevant authorities, and other relevant agencies that manage water resources in the area. • Explore other alternative sources of water like water harvesting
Water pollution	• No garbage/refuse, oily wastes, fuels/waste oils should be discharged into drains or water bodies • Fuel storage tanks/sites should be properly secured • Maintenance and cleaning of vehicles, trucks and equipment should take place offsite. • Provide toilet facilities for construction workers Construction activities, including camps to include measures to control runoff
Waste Water	• All waste water shall be treated prior to final disposal. • All the sub-projects should ensure proper wastewater facilities for proper discharge of liquid waste are provided or available during design stages • All liquid wastes will be stored in accordance with the containment measures to mitigate against soil contamination. • Options should be explored to use treated Waste water treated for greening the compounds.
Solid Waste	• Establish a well-planned method of solid waste management plan for disposal of debris/ garbage at the site • Provision of disposal bins at designated areas at the facilities • Regular collection and disposal of garbage by the project Proponent • Clean storm water drains to minimize clogging • Provision of separate collection bins for biodegradable and non-biodegradable waste at the construction site and facilities during operation

Impacts	Description of mitigation measures
	• Final disposal should be at approved sanitary landfills or dump sites approved by the local government.
Hazardous waste, including oil and fuel wastes	• The Projects should require that contractors implement a hazardous materials management plan that includes specification for proper storage and handling of fuels, oil, wastes, and other potentially hazardous materials as well as a plan for containment and clean-up of accidental spills into the aquatic environment. • Final disposal should be at approved sanitary landfills or dump sites approved by the local government. • No solid waste, fuels or oils should be discharged on land surface, into drains or streams • Spent or waste oil from vehicles and equipment should be collected and temporarily stored in drums or containers at site. • Waste oil should be disposed of by approved agents by the environmental or local authority
Production of electronic waste (e-waste) from operations	• Procure Electronic devices from credible manufactures to avoid purchasing second hand, refurbished or obsolete devices with a short shelf life or already categorised as E-Waste • Recycle all E-waste by establish E-Waste Collection Centres in all TVET schools; including collection bins/receptacles; • Have 3rd parties to collect and transport all E-wastes to approved Recycling Company or the recycling companies themselves • Conduct awareness and sensitization targeting the users of the electronic devices to ensure that they engage in best practise for E-waste management.
Impact on fauna and habitat	• Avoid unnecessary exposure and access to sensitive habitat areas. • For identified or suspected sensitive habitats (swamps/ wetlands), relevant authorities on wildlife should be engaged, and regular inspection or monitoring should be carried out in the area prior to start and during work.
Employment – Labour issues	• The contractors should as far as possible engage the local skilled and unskilled labour within the project area during construction stages • Ensure that the local communities are given priority in relation to employment -all unskilled labour should be contracted or obtained from the local community if possible. • Ensure that all workers have contracts with terms and conditions that are consistent with national labour laws and polices • Every worker should also sign a code of conduct (CoC) as an annex to the employment contract – covering issues such as zero tolerance of unacceptable conduct in the community, GBV, sexual harassment, sexual exploitation and abuse of children, etc • Facilitate workers to form a committee through which their grievances will be received attended to or channeled to management
Impacts on Human Health/ Health and sanitation	• Use road worthy vehicles/trucks and experienced drivers/operators • Active construction areas to be marked with high-visibility tape • Backfill and or secure open trenches and excavated areas. • Provide adequate sanitary facilities • Provide suitable PPEs for construction workers and employees at KIP.

Impacts	Description of mitigation measures
	• Educate construction workers on site rules/regulation and hygiene and disease including HIV prevention. • Strict adherence to Ethiopia Labour laws • Adequate sanitary facilities will be available for workers and open range defecation will not be countenanced.
General health and HIV/AIDs	• Develop an awareness and education program on HIV prevention and response • Construction workers should be educated to adhere to basic rules with regard to protection of public health, including most importantly hygiene and disease prevention • HIV and AIDS and STIs prevention and response campaigns should be extended beyond the construction phase and into the operational phase. • Establish a partnership with local wellness centers including hospitals, VCT and ARV centers and NGOs near the project area for implementing an HIV/AIDS prevention and response program
Impacts on cultural heritage / archaeological interest / existing ecologically sensitive areas	• The pre-construction surveys should identify cultural heritage resources and existing ecologically sensitive areas that the project should avoid and by-pass these resources. • The Project should implement a chance find procedure and reporting system to be used by contractors in the event that a Cultural heritage feature or ecologically sensitive item/issue is encountered.
Impacts on Environmental Human Health and Occupational Safety	• The Project will require all contractors to implement an Environmental, Health and Safety (EHS) plan • Construction workers will be educated and provided with adequate and right safety tools and equipment. • Ensure provisions of first aid for staff, insurance, and access to ambulance service at all worksites, and arrangement to access local hospital/dispensary with qualified medical staff by workers • The site shall be fenced off and provided with security at the access gates to reduce potential accidents and injuries to the public • All construction and other workers will be sufficiently trained in the safe methods pertaining to their area of work to avoid injuries.
Gender Mainstreaming, gender based violence and zero tolerance for sexual harassment	• Contractor and implementing agency to prepare and implement a Gender Action plan to include at minimum, in conformance with local laws and customs, equal opportunity for employment, • Contractor to prepare and enforce a No Sexual Harassment Policy in accordance with national law where applicable • All workers and nearby communities and stakeholders will be educated on preventing and responding to sexual harassment and GBV ahead of any project related works. • Partnerships will be established with relevant government agencies and NGOs to ensure survivors of GBV and sexual offenses access survivor centred services such as medical care, psychosocial support, legal redress, safety, etc as and when necessary • Ensure that women are given adequate employment opportunities during recruitment and job postings • Regular sensitization and awareness campaigns to the workers should be done to promote gender equity in employment during the construction works and during operation.

Impacts	Description of mitigation measures
	• Provision of gender disaggregated data, separate bathing, changing, sanitation facilities for men and women • Impose zero tolerance on sexual harassment, all forms of gender based violence and discrimination at all phases of the project.
Child Protection	• Ensure no children are employed on site in accordance with national labor laws • Ensure that any child sexual relations offenses among Contractors' workers are promptly reported to the police • Popularize /put in place confidential mechanisms for reporting child abuse cases • Enforce the child protection related clauses in the Code of conduct signed by all workers • Ensure visibility of signage and information, education and communication materials on such issues in the construction sites
Non-user friendly buildings for PWDs	• All buildings will be designed and built with ramps and other special facilities such as toilets to facilitate access and use by PWDs
Loss of life, injury, or damage to people and private property	• Contractor shall maintain records and make reports concerning health, safety and welfare of persons, and damage to property, at all times or as the RE may reasonably require • Insuring against liability for any loss, damage, death or bodily injury which may occur to any physical property or to any person which may arise out of the Contractor's performance of the contract • Insuring against liability for claims, damages, losses and expenses (including legal fees and expenses) arising from injury, sickness, disease or death of any person employed by the Contractor or any other of the Contractor's personnel. • The construction site shall be fenced off to prevent access to members of the public. • All people currently using college land to grow food crops and for petty business activities will be given adequate notice to harvest their food crops and not to plan new ones and relocate their business activities

The ESMF places great emphasis on continuous community engagement, consultation and participation to ensure the environmental and social safeguard issues are properly managed. The ESMF also recommends a functional Grievance Redress Mechanism (GRM). This will be set up for each sub-project to ensure any issues or complaints that arise as a result of the projects are managed effectively and promptly. A proposed GRM structure is provided in Chapter 9 of this ESMF.

Project implementation arrangements

IUCEA, the Regional Facilitation Unit (RFU), will be responsible for safeguards monitoring and surveillance of all the sub-project investments that will be undertaken by EASTRIP, led by a Project Coordinator for the project, with the assistance of a Safeguards officer or specialist.

The MoE will provide overall coordination of the Project and lead in the implementation of the project components, which will include overall responsibility for safeguards due diligence, and

compliance monitoring. The MoE, through the National Project Coordination Unit (NPCU) will ensure that subprojects investments are screened, their safeguard instruments prepared, cleared by the World Bank and disclosed prior to sub project implementation. Further, they will ensure that executing institutions implement the specific sub project ESMPs, and submit reports on ESMPs implementation as required to the RFU.

At the field level, the respective TVET institutions Project Implementation Unit (PIU) and the consultants will take lead to supervise and monitor the implementation of the ESIA/ESMPs and prepare progress reports to the NPCU in the MoE and RFU as per the requirements of the safeguard instruments. All sub project investments will be subject to mandatory initial environmental screening and annual environmental assessments or audit /supervision as may be deemed necessary to ensure that they comply with national requirements by Environmental Authority and other relevant laws that deals with eg Occupational Health and Safety regulations.

The World Bank safeguards team will provide second line monitoring of compliance and commitments made in the Environmental and Social Management Plans (ESMPs) through supervision. The World Bank will further undertake monitoring during its scheduled project supervision missions.

Public consultations and Disclosure

The ESMF has been prepared through a participatory process involving public consultation and validation as required by the World Bank procedures. It is mandatory that all key documents prepared to address safeguards are publicly disclosed according to the World Bank disclosure policy. The ESMF report will be disclosed in the Ministry of Education website and the World Bank InfoShop.

Capacity Building and Training

The capacity building requirements will mostly be in the form of trainings, seminars/ workshops and short courses for project staff from the implementing institutions and project coordinating staff at the national and regional levels. This will be undertaken to ensure successful implementation of the environmental and social aspects of the projects EASTRIP. The proposed training modules would cover; Environmental Assessment Proclamations and regulations, World Bank safeguards policies, Subproject Screening Checklist and procedures, preparation of ESIAs; and management of Environmental and Social safeguards including social risk management during implementation; and Clauses in requirements for the Contractors' contract and bidding documents.

Cost implication of ESMF

It is estimated that a budget provision of about USD500,000 shall be made available for the full implementation of this ESMF over the project duration (5 years). Major cost items budgeted for include services related to preparation of ESIAs for sub-projects, Training and capacity building for EASTRIP teams, Environmental Audits, environmental monitoring and supervision and performance tracking of ESMF/ESIA.

An estimated USD 300,000 will be required for ESMF/ESIA monitoring during the project implementation by a safeguard specialist to assist the PCU office (at IUCEA) to oversee the overall implementation of safeguards for the all the countries participating in EASTRIP.

1 INTRODUCTION

1.1 Purpose of the Environment and Social Management Framework

This document presents the Environmental and Social Management Framework for the 'East Africa Skills for Transformation and Regional Integration Project (EASTRIP). Through a participatory and consultative process, the ESMF seeks to establish a process of managing environmental and social impacts that might arise out of the project implementation, which will assist the institutions in charge of the implementation of the projects to identify, assess and mitigate the potential impacts. The ESMF also determines the institutional measures to be taken during implementation of the sub-projects, including those relating to capacity building. This ESMF has been developed as one of a set of due diligence instruments required to address and manage environmental and social impacts associated with the EASTRIP.

1.2 Objectives of the ESMF

Given the nature of the activities to be supported under the project (particularly the infrastructure projects to be financed under the project), the World Bank safeguards policy on environmental assessment (OP 4.01) has been triggered. Specific project activities (such as the types of buildings, the scope of civil works, solid waste, water and waste water management process, among others) and site locations have not been clearly identified at the project preparation stage; hence the need for an ESMF that provides a general impact identification framework to assist project implementers to screen the projects and institute measures to address adverse environmental and social impacts. The ESMF will document all key potential environmental and social issues related to project implementation as per WB requirements. Preparation of Environmental and Social Impact Assessment (ESIA) study reports will be undertaken at a later stage prior to implementation of EASTRIP sub-projects.

The overall objective and purpose of the ESMF can be summarized as follows.

- Assessment of potential adverse environmental and social impacts commonly associated with the presence of displaced communities in refugee camps and the ways to avoid, minimize or mitigate them;
- To establish clear procedures and methodologies for the environmental and social assessment, review, approval and implementation of subprojects to be financed under the project,
- To specify appropriate roles and responsibilities, and outline the necessary reporting procedures, for managing and monitoring environmental and social concerns related to project;
- To determine the training, capacity building and technical assistance needed to successfully implement the provisions of the ESMF; and
- To provide practical resources for implementing the ESMF.

1.3 Approach and Methodology for the Preparation of ESMF

The ESMF has been prepared in accordance with World Bank safeguard policies on environmental assessment (OP 4.01).
Preparation of the ESMF involved the following activities:

- *Literature/ Data Gathering and Review;*
- *Public consultations and discussions with relevant sector institutions;*
- *Data collation and analysis, consisting of Literature reviews; Environmental screening and scoping studies;*

- *Determination of potential impacts;*
- *Identification of impact mitigation measures;*
- *Preparation of an Environmental and Social Management Plan;*
- *Preparation of sub-project guidelines;*
- *Review of comments from stakeholders; and*
- *Preparation and Submission of reports.*

1.3.1 Detailed & In-depth literature review

Review of the existing literature material was undertaken to help gain a further and deeper understanding of the proposed project. This entailed a desk top review of Ethiopia's legal framework and World Bank policies applicable to the proposed project. The documents that were reviewed included but not limited to:

- *Project Appraisal Document (PAD),*
- *World Bank Operation Policies,*
- *WB Guidelines "Managing the risks of adverse impacts on communities from temporary project induced labor influx", 2016,*
- *World Bank Global Gender-Based Violence Task Force: Action Plan for Implementation*
- *World Bank Group Environmental, Health, and Safety (EHS) Guidelines*
- *Environmental Impact Assessment Proclamation, NO. 299/2002,*
- *Relevant Acts and Regulations,*
- *Relevant sections of the Constitution of Ethiopia*

1.3.2 Consultation and Interactive Discussions

Stakeholder engagement and consultations were conducted as part of the requirements for ESMF. The process entailed seeking the views of the stakeholders which included government representatives from various ministries and agencies, participating institutions, and other public sector players. The consultations were conducted in Addis Ababa between 23rd and 24th August, 2018. A summary of issues and concerns raised are appended in **Annex 4** of this document. The stakeholder consultation was significant to the preparation of this ESMF since it formed the basis for determination of potential project impacts and viable mitigation measures. Chapter 10 of this ESMF gives more details on the process of stakeholder engagement carried out.

2 PROJECT BACKGROUND

2.1 Project Background

The World Bank in partnership with East African countries is developing an East Africa regional skills initiative, the East Africa Skills for Transformation and Regional Integration Project (EASTRIP) to support skills development for the Northern Corridor Initiative Project (NCIP) and other mega projects in the region. The Project is expected to be approved by the World Bank board in or around October 2018 and will be implemented in the next five years or so. The Project will be financed with a combination of national and regional IDA credits and IDA grant totaling approximately US$300 million. The EASTRIP initially covers three Eastern Africa countries including Ethiopia, Kenya, and Tanzania but can be expanded to include other countries. The Project's development objective is to increase the access and improve the quality of Technical and Vocational Education and Training (TVET) programs in selected centers to contribute to support regional economic corridors. The objectives and results will be achieved through activities grouped under three components, whereby Component I and II are at national levels and III at regional Level.

The Project will target the development of specialized technical skills in priority sectors including; transportation, energy, agro-processing, light manufacturing, and information and communications technology. Sector focus may differ from country to country depending on country priorities.
The Inter-University Council for East Africa (IUCEA), which is an institution of the East African Community (EAC), responsible for coordination of higher education and research in the EAC has been selected through a competitive process to be the Regional Facilitation Unit (RFU) of EASTRIP. IUCEA) has received funding from the World Bank IDA grant in the form of a Project Preparation Advance (PPA) fund for the establishment and operation of the Regional Facilitation Unit (RFU), and preparatory activities of Component 3 for the EASTRIP initiative.

The project will cover three countries namely, Tanzania, Kenya and Ethiopia. The initial scoping of the proposed project interventions suggests that the potential environmental and social impacts will be minimal to moderate, largely reversible and site-specific due to the nature of the envisioned activities.

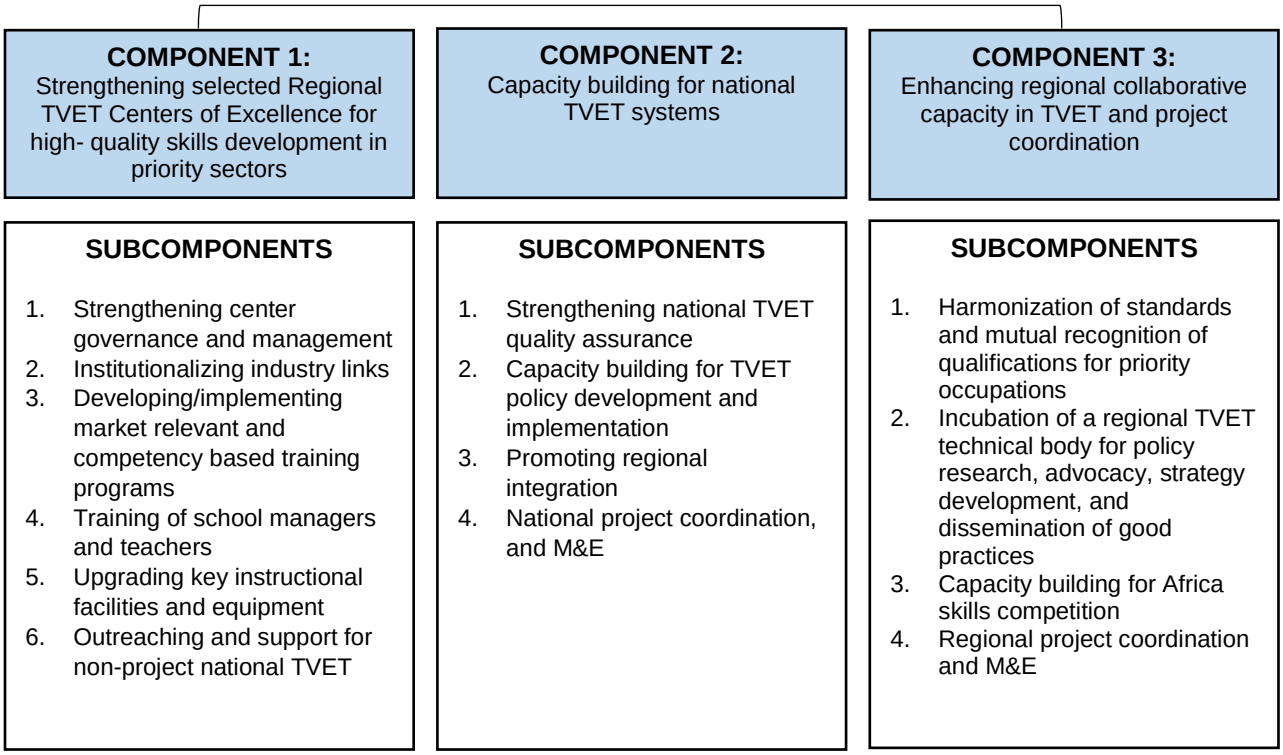
2.2 Project Description

The proposed East Africa Skills for Transformation and Regional Integration (EASTRIP) involves three East African countries including Ethiopia, Kenya, and Tanzania. The project's development objective is to increase the access and improve the quality of TVET programs in selected Regional TVET Centers of Excellence and to support regional integration. The project supports the development of highly specialized TVET programs at diploma and degree levels for training of technicians and TVET faculty, as well as industry recognized short-term training, targeting regional priority sectors in transport, energy, manufacturing, and ICT. The objective will be achieved through complementary interventions at three different levels—center, national, and regional.

2.2.1 Project Components

The project's objectives and results will be achieved through activities grouped under the following three components (see Figure 1).

Figure 2-1 Project Components and Subcomponents



The activities under Component 1 (where investments will be construction and upgrading of facilities under sub-component 1.5) are expected to have environmental and social impacts, thereby triggering WB OP 4.01. The ESMF will provide technical guidance for environmental and social assessment and management during preparation of the selected sub projects. This instrument (as opposed to an ESIA – environmental and social impact assessment) is chosen because the specific portfolio of projects in each county is not yet known, the locations, dimensions and designs for the larger investments and their specific locations are not yet defined, and a detailed assessment of potential environmental and social impacts is thus not feasible at this time.

2.2.2 Key Performance indicators

The Project Development Objectives (PDO) will be measured by the following key indicative PDO level indicators:

(a) **PDO Indicator 1:** Increase in student enrollment and completion at flagship TVET institutions in programs aimed at meeting skill needs of priority sectors
   (i) This indicator will have two sets of disaggregated indicators (enrollment in short- and long-term programs)
   (ii) This indicator will also have a sub-indicator on increase in the share of girls enrolled in flagship TVET institutions, and this sub-indicator also have two sets of disaggregated indicators (share of girls in short- and long-term programs)

(b) **PDO Indicator 2:** Graduates of accredited TVET programs employed in occupations in the priority sectors six months after graduation.

(c) **PDO Indicator 3:** Increase in number of enrolled students coming from another country in the region.

2.3 Project Beneficiaries

Three East Africa countries have been identified and made the commitment to participate in the first phase of the Project, which includes Ethiopia, Kenya, and Tanzania.

Overall, the Project aim to benefit the following:

(a) students enrolled in selected flagship TVET institutes and their partner institutions (non-project TVET institutes) in the country and across the region;
(b) employers and targeted industries who will have access to a skilled workforce matched with their needs and standards;
(c) faculty and staff from selected flagship TVET institutes whose technical and pedagogical skills will be upgraded and who will function in an improved teaching environment with upgraded facilities;
(d) faculty and staff in non-project TVET institutes partnering with the selected flagship TVET institutes who will receive knowledge of good TVET management and instructional practices and sector reforms; and
(e) public and private TVET institute within the East Africa region that will have access to a network of specialized trainers, a framework of core curricular competencies, quality assurance standards, and state of the art facilities for up-to-date training of the workforce in priority sectors in the region.

Currently, 17 regional TVET Centers of Excellence have been selected from the three participating countries. (See Table 1 below)

Table 1: Selected Regional Tvet Centers Of Excellence from participating countries

Country	S.No.	Sector	Center name
Ethiopia	1	Manufacturing Technology	Technical and Vocational Education and Training Institute (TVETI)
	2	Textiles and Garments Technology	Hawassa TVET Polytechnic College
	3	Railways Technology	Meles Zenawi Memorial TVET Polytechnic College
	4	Electrical and Electronics Technology	General Wingate Polytechnic College
	5	Road Transport/Automotive Technology	Kombolcha TVET Polytechnic College
	6	Agro-Food Processing Technology	Holeta TVET Polytechnic College
	7	*Railways Technology*	*Ethiopia Railway Academy (TBC)*
	8	Leather Technology	Atse Gelawdios TVET
Kenya	9	Energy	KenGen Geothermal Institute
	10	Transport	Kenya Coast National Polytechnic
	11	Textile	Kisumu National Polytechnic
	12	Infrastructure (for Building Infrastructure)	Meru National Polytechnic
	13	Infrastructure (for Highway Infrastructure)	Kenya Institute of Building and Highway Technology
Tanzania	14	ICT	DIT Dar es Salaam Main Campus
	15	Agro-processing and manufacturing	DIT Mwanza Campus
	16	Energy	Arusha Technical College (ATC)
	17	Transport	National Institute of Transport (NIT)

3 BASELINE DATA

This section describes the overall baseline condition of Ethiopia in terms of bio-physical environment, as well as the socio-economic and cultural.

3.1 Physical Environment

3.1.1 Location and Size

Ethiopia (Figure 1) is located between 3º and 15ºN latitude and 33º and 48ºE longitude and covers a land surface area (including water bodies) of 1,127,127 km². The country is currently divided into nine regional states and two City administrations. It is a country of great geographical and climatic diversity, which has given rise to many and varied ecological systems.

Ethiopia is located in the horn of Africa, between 3º and 15ºN latitude and 33º and 48ºE longitude and covers a land surface area (including water bodies) of 1,127,127 km² and has a population of over 100 million. It is a country of great geographical and climatic diversity, which has given rise to many and varied ecological systems.

3.1.2 Administration

The country is currently divided into nine regional states and two city administrations. It is a country of great geographical and climatic diversity, which has given rise to many and varied ecological systems.

Ethiopia is a federal state subdivided into ethno-linguistically based regional states (plural: kililoch; singular: kilil) and chartered cities (plural: astedader akababiwach; singular: astedader akababi). This system of administrative regions replaced the provinces of Ethiopia in 1992 under the Transitional Government of Ethiopia and was formalised in 1995 when the current Constitution of Ethiopia came into force.

The regions are each governed by a regional council whose members are directly elected to represent districts (woreda). Each council has a president, who is elected by the council. The regions also have an executive committee, whose members are selected by the president from among the councilors and approved by the council. Each region has a sector bureau, which implements the council mandate and reports to the executive committee.

There are currently nine regional states and two chartered cities, the latter being the country's capital Addis Ababa, and Dire Dawa, which was chartered in 2004. Being based on ethnicity and language, rather than physical geography or history, the regions vary enormously in area and population, the most notable example being the Harari Region, which has a smaller area and population than either of the chartered cities.

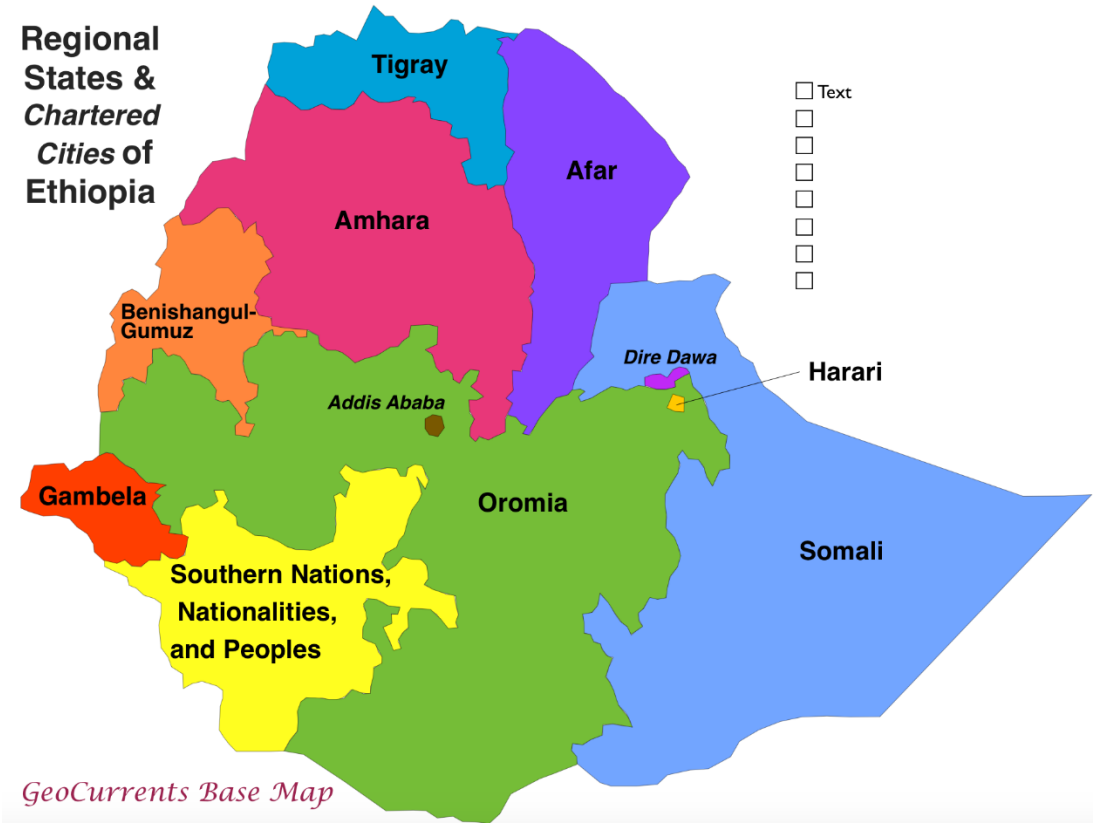


Figure 3-1: Map of Ethiopia Regions

Source: Images from World_Köppen_Classification_(with_authors).svg

3.1.3 Topography

Ethiopia contains a variety of distinct topographical zones. It is a country of geographical contrasts, varying from as much as 116 m (381 ft) below sea level in the Danakil depression to more than 4,600 m (15,000 ft) above in the mountainous regions. Ras Dashen, with an altitude of 4,620 m (15,158 ft), is the fourth-highest peak in Africa. The most distinctive feature is the northern part of the Great Rift Valley, which runs through the entire length of the country in a northeast-southwest direction, at a general elevation of 1,500 to 3,000 m (4,900–9,800 ft). Immediately to the west is the High Plateau region; this rugged tableland is marked by mountain ranges. East of the Great Rift Valley is the Somali Plateau—arid and rocky semidesert, extending to the Ogaden, which covers the entire southeastern section of the country. In the north, the Denakil Desert reaches to the Red Sea and the coastal foothills of Eritrea. The western boundary of Ethiopia follows roughly the western escarpment of the High Plateau, although in some regions the Sudan plains extend into Ethiopian territory. Also part of Ethiopia is the Dahlak Archipelago in the Red Sea.
Most of the country's major cities are located at elevations of around 2,000–2,500 m (6,562–8,202 ft) above sea level, including historic capitals such as Gondar and Axum.

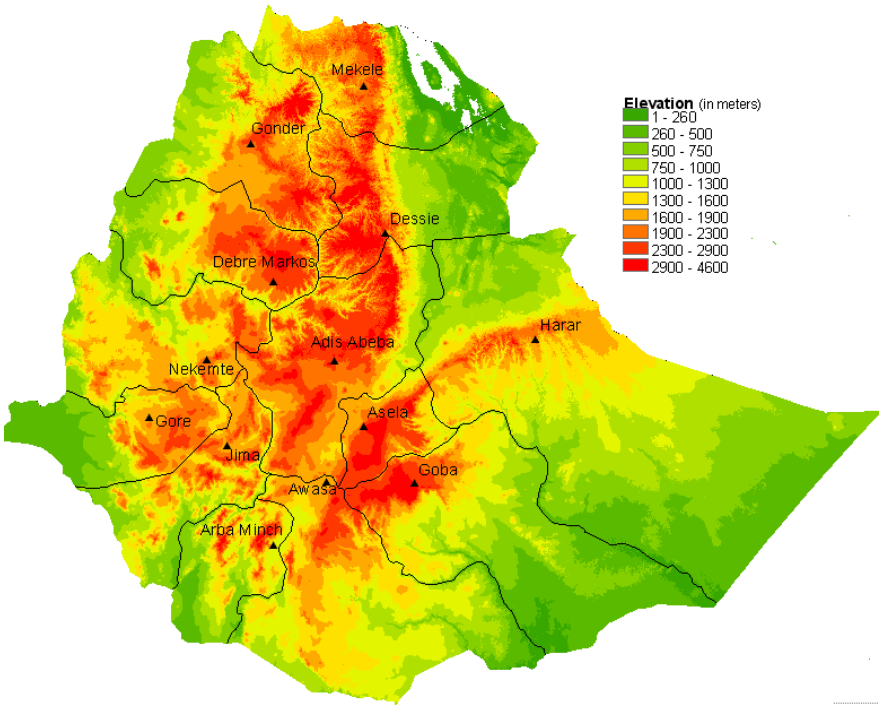


Figure 3-2: Ethiopia Topography

Source: Images from World_Köppen_Classification_(with_authors).svg

3.1.4 Climate

The rainfall pattern in Ethiopia is influenced by two rain-bearing wind systems, one bringing the monsoonal wind systems from the South Atlantic and the Indian Ocean and the winds from the Arabian Sea. The two wind systems alternate, causing different rainfall regimes in different parts of the country.

The predominant climate type is tropical monsoon, with wide topographic-induced variation. The Ethiopian Highlands cover most of the country and have a climate which is generally considerably cooler than other regions at similar proximity to the Equator.

Ethiopia is in the tropical zone laying between the Equator and the Tropic of Cancer. It has three different climate zones according to elevation.

- Kolla (Tropical zone) - is below 1830 metres in elevation and has an average annual temperature of about 27 degree Celsius with annual rainfall about 510 millimetres. The Danakil Depression (Danakil Desert) is about 125 metres below sea level and the hottest region in Ethiopia where the temperature climbs up to 50 degree Celsius.
- Woina dega (Subtropical zone) - includes the highlands areas of 1830 - 2440 metres in elevation has an average annual temperature of about 22 degree Celsius with annual rainfall between 510 and 1530 millimetres.
- Dega (Cool zone) - is above 2440 metres in elevation with an average annual temperature of about 16 degree Celsius with annual rainfall between 1270 and 1280 millimetres.

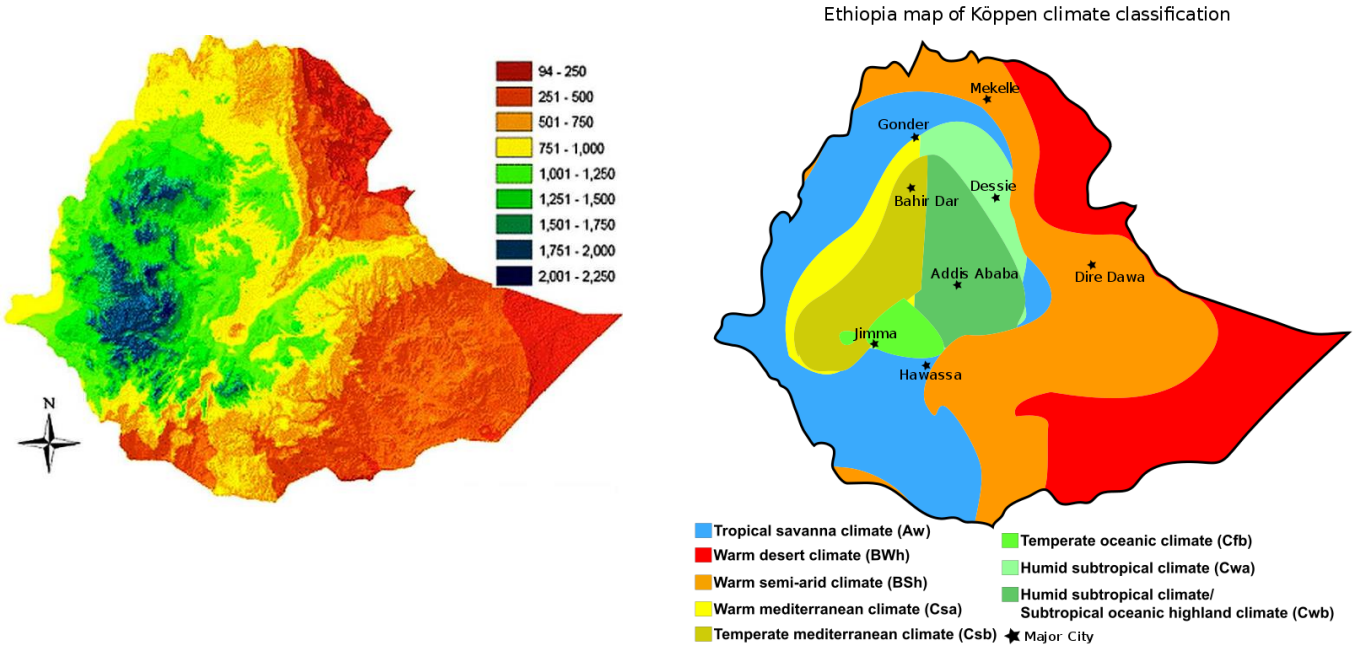


Figure 3-3: Ethiopia Climate Maps

Source: Images from World_Köppen_Classification_(with_authors).svg

3.1.5 Hydrology Features

Ethiopia is endowed with a substantial amount of water resources but very high hydrological variability. Most of the Ethiopian uplands slopes to the northwest, so that nearly all the large rivers flow in that direction to the Nile, comprising some 85% of its water. The surface water resource potential is impressive, but little developed. The country possesses twelve major river basins, which form four major drainage systems:

- The Nile basin (including Abbay or Blue Nile, Baro-Akobo, Setit-Tekeze/Atbara and Mereb) covers 33 percent of the country and drains the northern and central parts westwards;
- The Rift Valley (including Awash, Denakil, Omo-Gibe and Central Lakes) covers 28 percent of the country and consists of a group of independent interior basins extending from Djibouti in the north to the United Republic of Tanzania in the south, with nearly half of its total area being located in Ethiopia. River Omo is by far the main feeder of the endorheic Turkana Basin with Lake Turkana;
- The Shebelli-Juba basin (including Wabi-Shebelle and Genale-Dawa) covers 33 percent of the country and drains the southeastern mountains towards Somalia and the Indian Ocean;
- The North-East Coast (including the Ogaden and Gulf of Aden basins) covers 6 percent of the country.

All river basins except the Nile basin face water shortages. Most of the rivers in Ethiopia are seasonal and there are almost no perennial rivers below 1 500 m altitude. About 70 percent of the total runoff takes place during the period June-September.

Ethiopia has 11 freshwater lakes and 9 saline lakes, 4 crater lakes as well as over 12 major wetland areas. Most of the largest lakes are found in the Rift Valley, except Lake Tana which is the source of Abbay River in the Nile Basin. Most Rift Valley lakes have no surface water outlets, i.e. they are endorheic, hence extremely saline. Lakes Langano, Abbaya and Chamo

are freshwater lakes and not endorheic, but because of diminishing outflow, they are becoming increasingly saline. Most of the lakes are rich in fish. Lakes Shala and Abiyata have naturally high concentrations of chemicals and a soda ash operation is located on the shore of the latter for the production of sodium carbonate (IWMI, 2007). The total area of wetlands in Ethiopia is estimated between 1.4 and 1.8 million ha. Floodplains are mostly found in the north-western and western highlands, the Rift Valley and the eastern highlands but some are also located in lowlands.[1]

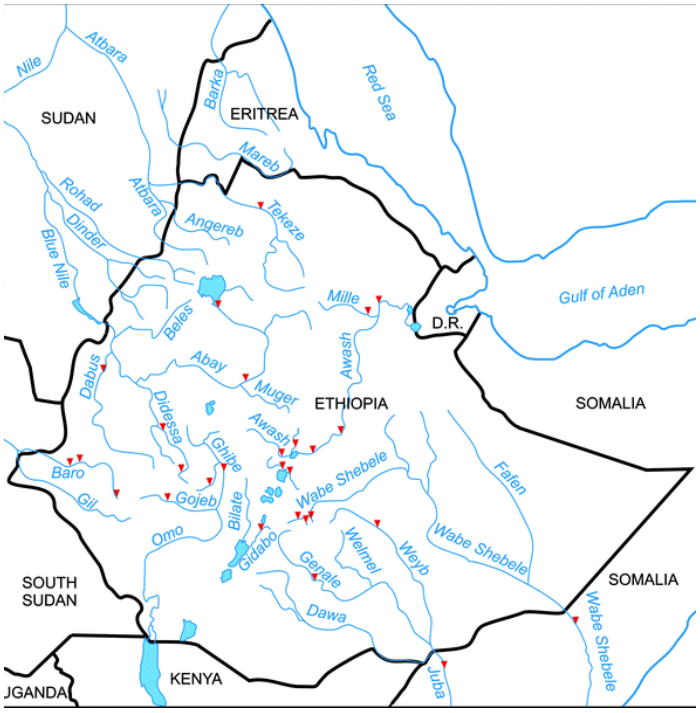


Figure 3-4: Map showing Ethiopia Rivers

Source: Images from World_Köppen_Classification_(with_authors).svg

3.1.6 Geology and Soils

The geology of Ethiopia includes rocks of the Neoproterozoic East African Orogeny, Jurassic marine sediments and Quaternary rift-related volcanism. Events that greatly shaped Ethiopian geology is the assembly and break-up of Gondwana and the present-day rifting of Africa.

The soils of Ethiopia can be classified into five principal types.

The first type is composed of euritic nitosols and andosols and is found on portions of the Western and Eastern highlands. These soils are formed from volcanic material and, with proper management, have medium to high potential for rain-fed agriculture. The second group of soils, eutric cambisols and ferric and orthic luvisols, are found in the Simien plateau of the Western Highlands. They are highly weathered with a subsurface accumulation of clay and are characterized by low nutrient retention, surface crusting, and erosion hazards. With proper management, they are of medium agricultural potential.

The third group of soils is the dark clay found in the Western Lowlands and at the foothills of the Western Highlands. Composed of vertisols, they have medium to high potential for both food and agriculture but pose tillage problems because they harden when dry and become

[1] http://www.fao.org/nr/water/aquastat/countries_regions/ETH/

sticky when wet. Some of the rich coffee-growing regions of Ethiopia are found on these soils.
The fourth group is composed of yermosols, xerosols, and other saline soils that cover desert areas of the Eastern Lowlands and the Denakil Plain. Because of moisture deficiency and coarse texture, they lack potential for rain-fed agriculture. However, the wetter margins are excellent for livestock, and even the drier margins respond well to irrigation. The fifth soil group is lithosols found primarily in the Denakil Plain. Lack of moisture and shallow profile preclude cultivation of these soils.

Soil erosion is a serious problem in Ethiopia. Particularly in the northern provinces, which have been settled with sedentary agriculture for millennia, population density has caused major damage to the soil's physical base, to its organic and chemical nutrients, and to the natural vegetation cover. Even on the cool plateaus, where good volcanic soils are found in abundance, crude means of cultivation have exposed the soils to heavy seasonal rain, causing extensive gully and sheet erosion.

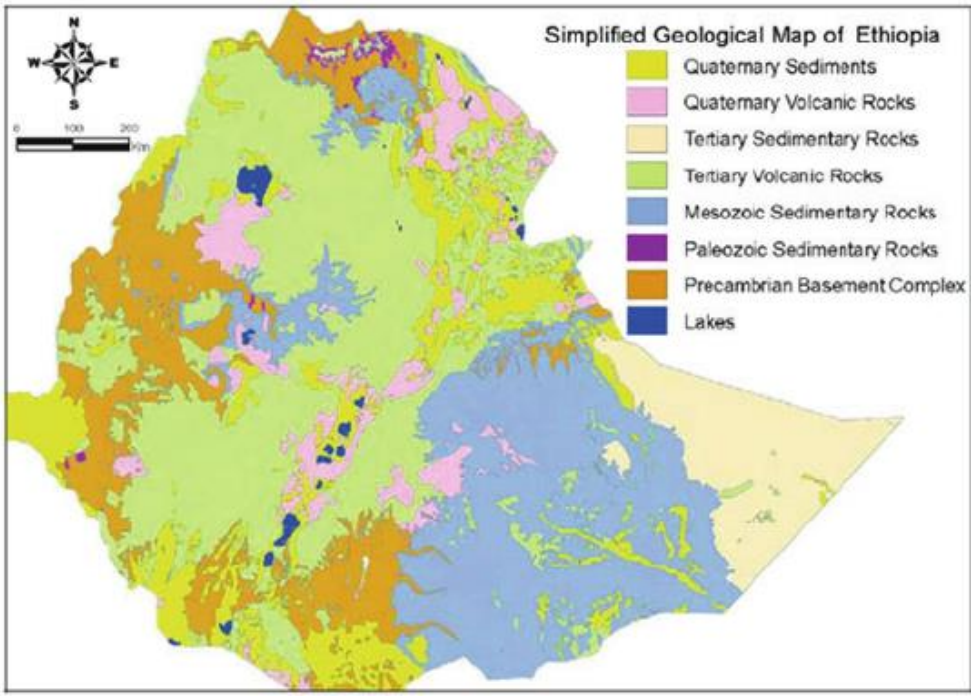


Figure 3-5: Ethiopia Geological Map

Source: https://www.researchgate.net/figure/Simplified-geological-map-of-Ethiopia-Adopted-from-Water-Information-and-Knowledge_fig7_260144344

3.1.7 Vegetation and Wildlife

Ethiopia has a large variety of indigenous plant and animal species. In some areas, the mountains are covered with shrubs such as pyracantha, jasmine, poinsettia, and a varied assortment of evergreens. Caraway, carcade, cardamom, chat, coriander, incense, myrrh, and red pepper are common.
The lakes in the Great Rift Valley region abound with numerous species of birds, and wild animals are found in every region. Among the latter are the Sudan cheetah, East African lion, civet, serval, African bush elephant, bushpig, gazelle, antelope, ibex, kudu, dik-dik, oribi, reedbuck, Somali wild ass, Grévy's zebra, hyena, baboon, and numerous species of monkey. As of 2002, there were at least 277 species of mammals, 262 species of birds, and over 6,600 species of plants throughout the country.

3.2 Socio-Economic

3.2.1 Economy

The Ethiopian economy is mostly based on agriculture, with industry and services slightly increasing recently. The country's Gross Domestic Product (GDP) is US$54 798 million in 2014 with an annual growth of around 10 percent since 2004, placing Ethiopia among the fastest growing non-oil producing economies in Africa. Agriculture accounts for 42 percent of GDP in 2014 and about 85 percent of exports earnings in 2010. It also employs 83 percent of the active population. Agriculture is primarily rainfed and thus highly dependent on rainfall. Smallholders dominate the sector and the land holding is increasingly fragmented. In 2015, there were 15.6 million agricultural households with an average farm size of 0.95 ha (CSA, 2015). It however benefits from a liberalized economy since the 1990s. The Ethiopian livestock is also significant with over 50 million cattle, 50 million poultry, 20 million sheep and 20 million goats in 2015 (CSA, 2015).

The main agricultural exports are coffee, oil seeds, cereals, cotton, sugarcane, khat, spices, natural gum, incense and cut flowers among others. Coffee is the largest export commodity responsible for a third of the agricultural exports earnings. Ethiopia is the largest African coffee producer and the country where coffee is believed to have been discovered in the eponym Kaffa region. Wheat, palm oil and raw sugar are the main agricultural imports of the country.

3.2.2 Demographics

The demographics of Ethiopia encompass the demographic features of Ethiopia's inhabitants, including ethnicity, languages, population density, education level, health, economic status, religious affiliations and other aspects of the population. According to the 2017 revision of the World Population Prospects, the total population was 102,403,196 in 2016, compared to 18,434,000 in 1950. The proportion of children below the age of 15 in 2010 was 41.5%, 55.8% was between 15 and 65 years of age, while 3.3% was 65 years or older. The average age is 18.8 years. Urban population stands at about 20%, with the rest living in the rural areas.

Ethiopia is a predominantly agricultural country – more than 80% of the population lives in rural areas – that is in the early stages of demographic transition. Infant, child, and maternal mortality have fallen sharply over the past decade, but the total fertility rate has declined more slowly and the population continues to grow. The rising age of marriage and the increasing proportion of women remaining single have contributed to fertility reduction. While the use of modern contraceptive methods among married women has increased significantly from 6 percent in 2000 to 27 percent in 2012, the overall rate is still quite low. Ethiopia's rapid population growth is putting increasing pressure on land resources, expanding environmental degradation, and raising vulnerability to food shortages. With more than 40 percent of the population below the age of 15 and a fertility rate of over 5 children per woman (and even higher in rural areas), Ethiopia will have to make further progress in meeting its family planning needs if it is to achieve the age structure necessary for reaping a demographic dividend in the coming decades.[2]

3.2.3 Education and Literacy

Access to education in Ethiopia has improved significantly. Approximately 3 million people were in primary school in 1994/95, and by 2008/09, primary enrolment had risen to 15.5 million – an increase of over 500%. In 2013/14, the country had witnessed significant boost in gross enrolment across all regions. The national Gross Enrollment Ration (GER) was 104.8% for boys, 97.8% for girls and 101.3% across both sexes. The literacy rate has

[2] https://www.cia.gov/library/publications/the-world-factbook/geos/et.html

increased in recent years, with adult literacy according to UNESCO estimated to be 39% (male 49.1% and female 28.9%).

3.3 TVET Development in Ethiopia

Traditionally, Technical and Vocational Education and Training (TVET) has been fragmented and delivered by different providers at various qualification levels. Public TVET institutions under the education sector were concentrating on producing middle level technical graduates at post Grade 10 level. In parallel with this, public and private companies have had their own TVET programmes, as have NGOs and private TVET providers. Meanwhile, in non-formal TVET programmes, public institutions, NGOs, and private schools offer employment-oriented TVET programmes to various target groups, including school leavers, people in employment, school drop outs and marginalized groups in the labour market. Unlike formal TVET, these programmes are not yet systematically delivered. Informal (on-the-job) training is widespread, but due to the absence of a systematic assessment and certification system there are currently no mechanisms to recognize informal occupational learning. Traditional apprenticeships in the small and micro enterprise sector constitute another presumably important, yet entirely un-researched, training environment. Public and private training schemes planned to produce administrative and health personnel to the market in sufficient quantity. Agriculture TVET programmes, which have been massively expanded during recent years, are disconnected structurally with non-agriculture TVET programmes.

In order to provide options for the increasing number of school leavers, the Government embarked upon a massive expansion of formal TVET some years ago. Between 1996/7 and 2004/5, the number of TVET institutions providing formal non-agriculture TVET increased from 17 to 199, and enrolment from 3,000 to 106,305. Of these, 31% were trained in non-government TVET institutions. Around 60% of formal TVET is provided in the form of regular programmes and 40% in evening classes. However, despite the enormous expansion, formal TVET only caters for less than 3% of the relevant age group. Enrolment figures in formal TVET programmes show a fair gender balance with 51% female students. However, girls are over proportionately represented in commerce and typical female occupations such as textiles and hospitality, and underrepresented in traditional technical occupations. In 2004/05, another 42,000 trainees were enrolled in agriculture TVET programmes and some 10,000 in teacher training institutes and colleges.

Overall, it is unknown how many Ethiopians in total have access to relevant TVET (including formal, non- and informal TVET). It is assumed, however, that demand by far exceeds the current supply and that the majority of the population is not reached by TVET offers at the moment. In particular, TVET accessible to schooldrop outs, unemployed, workers in industry and the MSE sector, prospective entrepreneurs, people living in rural areas and women is in very short supply.
Since late 1990s, the government has committed itself to overhauling and reforming the basic framework conditions of the TVET system. This measure recognized the fact that while the country was in dire need of craftsperson and technician, training programmes lacked relevance to the workplace reality. Nevertheless, this reform process was slow and limited by the fact that all efforts and resources were directed towards the massive quantitative expansion of the public TVET supply. As a consequence, the programmes, by-and-large, do not address actual competence needs in the economy, with most programmes of low quality and theory-driven due to resource constraints and lack of skilled TVET teachers. A systematic integration of TVET with the world of work has not yet been achieved[3].

The TVET Strategy highlights that implementation of TVET development in Ethiopia has faced some challenges which includes;

[3] National Technical and Vocational Education & Training (TVET) Strategy, Ministry of Education, 2008, http://info.moe.gov.et/tv/engstr.pdf

- Most curricula used in formal TVET were not developed based on occupational standards.
- Lack of cooperation of the employers as they were not consulted during the planning process.
- There are also indications that TVET lacks effectiveness and efficiency. Studies have shown that many TVET graduates remain unemployed even in those occupational fields that show a high demand for skilled manpower.
- Substantial resource wastages occurred as a result of underutilization of equipment in public TVET institutions.
- Shortage of a sufficient corps of TVET teachers/instructors. The quality of TVET teachers/instructors has suffered as a result of the low reputation of their profession.
- Under-funding of the TVET sector

3.4 Land Use

According to FAO[4], in 2012, of Ethiopia's total land area of l,22l,480 square kilometers, l5 percent is arable land, 1.1 percent under permanent cultivation, and the rest, 71.1 percent under other land (mainly pasture land) 12 percent under forest cover, cultivation and 5l percent was pastureland. Inaccessibility, water shortages, and infestations of disease-causing insects, mainly mosquitoes, prevents the use of large parcels of potentially productive land. In Ethiopia's lowlands, for example, the presence of malaria keeps farmers from settling in many areas.

Most agricultural producers are subsistence farmers with small holdings, often broken into several plots. Most of these farmers lives on the highlands, mainly at elevations of 1,500 to 3,000 meters. The population in the lowland peripheries (below l,500 meters) are nomadic, engaged mainly in livestock raising.

[4] http://ethiopia.opendataforafrica.org/howisde/ethiopia-fao-stat-land-use-and-agricultural-inputs

4 DESCRIPTION OF NATIONAL AND INTERNATIONAL REGULATORY FRAMEWORK

This chapter describes the Country's national regulatory policies, legal and administrative frameworks that are relevant to EASTRP and ESMF. The chapter also highlights relevant international conventions or agreements relevant to this ESMF and the project. The policies, legal and administrative frameworks are discussed in regard to their relevance in supporting compliance in the design and implementation of ESMF.

4.1 THE CONSTITUTION

4.1.1 The Constitution of Ethiopia

The constitution of the Federal Democratic Republic of Ethiopia provides the overriding principles for all legislative frame-works in the country. The concept of sustainable development and the environmental rights of the people are protected in the constitution by the articles that stipulate the rights of peoples in the country. The concept of sustainable development and environmental rights are enshrined in article 43, 44 and 92 of the Constitution of GOE.

4.1.2 Regional States Constitutions

Regional states have their own constitutions upholding the federal constitution in its entirety and
constituting their regional particulars. All the regional state constitutions have addressed land and natural
resources management and environmental protection. The regional states constitutions state that:

- The regional governments are entrusted to administer land and natural resources in the name of the people and deploy for the common benefit of the same;
- The regional governments and all citizens of the regions are responsible for the conservation of natural resources and the environment; and
- Concerned communities shall be given opportunity to express their opinions in the formulation and implementation of policies in relation to the environment.

4.2 Policy Framework

4.2.1 Environmental Policy of Ethiopia

The goal of the Environmental Policy of Ethiopia is to improve and enhance the health and quality of life of all Ethiopians and to promote sustainable social and economic development through the sound management and use of resources and the environment as a whole so as to
meet the needs of the present generation without compromising the ability of future generations to meet their own needs. For the effective implementation of the Environmental Policy of Ethiopia the policy encourages creation of an organizational and institutional framework from Federal to community levels. The Environmental Policy of Ethiopia provides a number of guiding principles that require adherence to principles of sustainable development; in particular the need to ensure that Environmental Impact Assessment:

a) Considers impacts on human and natural environments;
b) Provides for early consideration of environmental impacts in projects and programs design;
c) Recognizes public consultation;
d) Includes mitigation and contingency plans;

e) Provides for auditing and monitoring; and
f) Is a legally binding requirement.

4.2.2 Biodiversity Conservation and Research Policy

The biodiversity policy was approved in 1998 and it provides policy guidance towards the effective
conservation, rational development and sustainable utilization of the country's biodiversity. The policy objectives accentuate public participation in biodiversity conservation, development and utilization, and also ensure that communities share from the benefit accrued from the utilization of the genetic resources and their traditional knowledge. The policy consists of comprehensive provisions on the conservation and sustainable utilization of biodiversity, and it underlines the requirements for implementers to adopt during planning and operational phase of projects and for those projects engaged in biological resource utilization to follow ESIA procedures.

4.2.3 Ethiopian Water Resources Management Policy (1999)

The overall goal of the policy is to enhance and promote all national efforts towards the efficient,
equitable and optimum utilization of the available Water Resources of Ethiopia for significant socioeconomic development on sustainable basis. The policy aims to ensure access to water for everyone fairly and in a sustainable manner, protect water resources and sources, and promote cooperation for the management of river basins.

4.2.4 Ethiopia National TVET Strategy

The overall objective of the Ethiopia National TVET Strategy is to create a competent, motivated, adaptable and innovative workforce in Ethiopia contributing to poverty reduction and social and economic development through facilitating demand-driven, high quality technical and vocational education and training, relevant to all sectors of the economy, at all levels and to all people.

Specifically, the National TVET Strategy aims to:

- Create and further develop a comprehensive, integrated, outcome-based and decentralized TVET system for Ethiopia
- Strengthen TVET institutions in view of making them Centres for Technology Capability, Accumulation & Transfer
- Create a coherent framework for all actors and stakeholders in the TVET system
- Establish and capacitate the necessary institutional set-up to manage and implement TVET in ensuring quality management system (QMS)
- Improve the quality of TVET (formal and non-formal) at all levels and make it responsive to the needs of the labour market
- Facilitate the expansion of relevant TVET offers which are crucial to national development
- Strengthen the private training provision and encourage enterprises to participate in the TVET system
- Empower women and rural people through skills development
- Ensure equal access of women and people with special needs to TVET
- Strengthen the culture of self-employment and support job creation in the economy, in particular in the emerging regions
- Develop a sustainable financing system for TVET with efficient and cost-effective delivery systems and management structures
- Build the necessary human capacities to effectively manage and implement TVET

4.2.5 The National Policy on Ethiopian Women (NPEW), 1993

The National Policy on Ethiopian Women (NPEW) was adopted in 1993 by the Transitional Government of Ethiopia (TGE) as the first policy document that attempts to promote and protect the rights of women and to domesticate the international commitment entered into by the government. The NPEW has made an assessment of the situation of women in Ethiopia and made the conclusion that discrimination against women has been perpetuated in various forms depending on their ethnic background, culture and religion. It further noted that Ethiopian women experience a ban from owning the means of production, are victims of natural as well as man-made disasters, face prejudicial attitudes in the country's political, social and economic life, and are still subjected to discriminatory laws.

The objectives of NPEW are:

- To facilitate conditions conducive to the speeding up of equality between men and women so that women can participate in the political, social, and economic life of their country on equal terms with men, ensuring that their right to own property as well as their other human rights are respected and that they are not excluded from the enjoyment of the fruits of their labor or from performing public functions and being decision-makers
- To facilitate the necessary condition whereby rural women can have access to basic social services and to ways and means of lightening their workload
- To eliminate, step by step, prejudices as well as customary and other practices, that are based on the idea of male supremacy and to enable women to hold public office and to participate in the decision-making process at all levels

4.2.6 Policy on HIV/AIDS, 1998

The Government approved the first national policy on HIV/AIDS in 1998 as the Policy on HIV/AIDS of the Federal Democratic Republic of Ethiopia. The policy has the overall objective of providing an enabling environment for the prevention and mitigation of HIV/AIDS.

The specific objectives are to:

- Establish effective HIV/AIDS prevention and mitigation strategies to curb the spread of the epidemic
- Promote a broad, multisectoral response to HIV/AIDS, including more effective coordination and resource mobilization by government, NGOs, the private sector, and communities
- Encourage government sectors, NGOs, the private sector, and communities to take measures to alleviate the social and economic impact of HIV/AIDS
- Support a proper institutional 'home and community' based healthcare and psychological environment for PLWHA, orphans, and surviving dependents
- Safeguard the human rights of PLWHA and avoid discrimination against them
- Empower women, youth, and other vulnerable groups to take action to protect themselves against HIV
- Promote and encourage research activities targeted toward preventive, curative, and rehabilitative aspects of HIV/AIDS

4.2.7 Ethiopian Cultural Policy, 1997

One of the prime objectives of the Ethiopian Cultural Policy, adopted in 1997, is to create an enabling environment for the equal recognition and respect of the languages, heritages, histories, fine arts, oral traditions, and belief systems of the various nations, nationalities, and peoples of Ethiopia, and for their preservation, conservation, and transfer to future generations.

4.3 Proclamations

4.3.1 Technical and Vocational Education and Training Proclamation, No. 954/2016

The Proclamation was made to create, enhance and strengthen outcome based technical and vocational education and training system in the country. The general objective of technical and vocational education and training is to create a competent, motivated, employable, adaptable and innovative workforce through which the country's socio-economic development shall be enhanced. The proclamation provides for the establishment of a national technical and vocational education and training qualifications framework by the Federal Technical and Vocational Education and Training Agency. The Agency has the duty and responsibility to coordinate the overall technical and vocational education and training system. The agency also has the mandate to establish national standards and measurements on the technical and vocational education and training system.

4.3.2 Environmental Protection Organs Establishment Proclamation, No. 295/2002

The proclamation was made to re-establish the federal Environmental Protection Authority (EPA), to establish Sectoral Environmental Units and Regional Environmental Protection Agencies. The EPA was established to formulate policies, strategies, laws and standards, which foster social and economic development in a manner that enhance the welfare of humans and the safety of the environment, sustainable development projects and to spearhead in ensuring the effectiveness of the process of their implementation.

The EPA, among others, has the powers and duties to:

- Coordinate measures to ensure that the environmental objectives provided under the Constitution and the basic principles set out in the environmental Policy of Ethiopia are realized;
- Prepare, review and update, or as necessary, cause the preparation of environmental policies strategies and laws in consultation with the competent agencies, other concerned organs and the public at large and upon approval, monitor and enforce their implementation;
- Liaise with competent agencies in the field of environmental protection and rehabilitation and support them in capacity development;
- Establish a system for environmental impact assessment of public and private projects, as well as social and economic development policies, strategies, laws, and programs; and
- Provide advice and support to regions regarding the management and protection of the environment.

Sectoral Environmental Units (SEUs): Every competent agency (sectoral) is required by the Proclamation No. 295/2002 to establish or designate an environmental unit that shall be responsible for coordination and follow up so that the activities of the competent agency are in harmony with this Proclamation and with other environmental protection requirements.

Regional Environmental Protection Agencies (REPAs): the Proclamation No. 295/2002 decrees that each national regional state shall establish an independent regional environmental agency or designate an existing agency that shall, based on the Ethiopian Environmental Policy and Conservation Strategy and ensuring public participation in the decision making process. REPAs are responsible for:

- Coordinating the formulation, implementation, review and revision of regional conservation strategies;,
- Environmental monitoring, protection and regulation;
- Ensuring the implementation of federal environmental standards or, as may be appropriate, and issue and implement their own no less stringent standards; and
- Preparing reports on the respective state of the environment and sustainable development of their respective states and submits the same to the Authority.

4.3.3 Environmental Impact Assessment Proclamation, NO. 299/2002

The Environmental Impact Assessment Proclamation was decreed in December, 2002 in order to make ESIA a mandatory procedure for projects to be undertaken by the government, public or private entities that require environmental and social impact analysis. The Proclamation elaborates on considerations with respect to the assessment of positive and negative impacts and states that the impact of a project shall be assessed on the basis of the size, location, nature, cumulative effect with other concurrent impacts or phenomena, trans-regional context, duration, reversibility or irreversibility or other related effects of a project. Based on directives or guidelines pursuant to this proclamation, projects will be categorized as:

- Projects that are not likely to have negative impacts, and thus do not require environmental impact assessment; and
- Projects those are likely to have negative impacts and thus require environmental impact assessment.

As per the procedures in the proclamation, a proponent is required to undertake a timely environmental and social impact assessment - ESIA, assess the possible adverse impacts of the proposed project, and propose the means of mitigation, and shall submit the study report to the relevant body (Federal or regional EPA) for review and decision. It is also a requirement that ESIA reports be prepared by an expert that meet the requirements specified under any directive issued by the Authority (regional/federal).

To put this Proclamation into effect the Ministry of Environment, Forest and Climate Change has issued an ESIA Directive (Directive no.1/2008) and other draft procedural guideline documents, which provide details of the ESIA process and its requirements.
Based on the Federal ESIA Proclamation No 299/2002, many of the regional states have also prepared and put in force their own ESIA regulations. Some of these regional ESIA regulations put stricter rules on the project proponents and ESIA practitioners to facilitate for the preparation of ESIA's with dependable and sufficient information that would enable sound decision making.

Jurisdictions in the Proclamation: The regional environmental agency in each region shall be responsible for the evaluation and authorization or any environmental impact study report and the monitoring of its implementation if the project is not subject to licensing, execution and supervision by a federal agency and if it is unlikely to produce trans-regional impact.

4.3.4 Proclamation 300/2002, Environmental Pollution Control

Proclamation No. 300/2002 on Environmental Pollution Control primarily aims to ensure the right of citizens to a healthy environment and to impose obligations to protect the environment of the country. The proclamation is based on the principle that each citizen has the right to have a healthy environment, as well as the obligation to protect the environment of the country. The law addresses the management of hazardous waste, municipal waste, the establishment of environmental quality standards for air, water and soil; and monitoring of pollution. The proclamation also addresses noise and vibration as one source of environmental pollution and it seeks for standards and limits for it providing for the maximum allowable noise level taking into account the settlement patterns. In general, the Proclamation provides a basis from which the relevant environmental standards applicable to Ethiopia can be developed, while sanctioning violation of these standards as criminally punishable offences. Furthermore, it empowers the MoEFC and/or the Regional Environmental Authority to assign environmental inspectors with the duties and responsibilities of controlling environmental pollution.

4.3.5 Solid Waste Management Proclamation 513/2007

This proclamation came into force with an objective of implementing effective solid waste management in the country. The Proclamation recognized the existing solid waste management problems in the country and emphasizes the need to prevent environmental pollution that may result from the disposal of solid waste. The MoEFC is responsible for initiating and overseeing the implementation of overall policies, strategies and guidelines on solid waste management. Regional environmental agencies and City Administrations are also responsible for drawing out their plans as regards the implementation of the Proclamation and monitoring efficacy.

The Proclamation promotes community participation in order to prevent adverse effects and enhance benefits resulting from solid waste. It provides for preparation of solid waste management action plans by urban local governments. Article 5.1 of the proclamation states that Urban Administrations shall ensure the participation of the lowest administrative levels and their respective local communities in designing and implementing their respective solid waste management plans. In Article 5.1 each Region or urban administration shall set its own schedule and, based on that, prepare its solid waste management plan and report of implementation. The contractor and proponent for EASTRIP will comply with these regulations when dealing with solid waste generated by construction works.

4.3.6 Proclamation No 209/2000: Research and Conservation of Cultural Heritage

The Proclamation outlines the requirements for studying cultural heritage and specifies that a permit is required before any exploration; discovery or study of cultural heritage may be undertaken. Requirements for chance finds are also outlined in the Act. Article 41 which states that: "*Any person who discovers any cultural heritage in the course of excavation connected with mining, explorations, building works, road construction or other similar activities shall report to the Authority and protect and keep same intact until the Authority takes delivery thereof*". The Authority shall take all appropriate measures to examine, take delivery and register the Cultural heritage so discovered. Where the Authority fails to take appropriate measures within 6 months, the person that discovered the cultural heritage may be released from the responsibility by submitting a written notification with a full description of the situation to the Regional Government official. The Project shall implement a chance find procedure and reporting system to be used by contractors in the event that a Cultural heritage feature or ecologically sensitive item/issue is encountered.

4.3.7 Public Health Proclamation

The Public Health Proclamation comprehensively addresses aspects of public health, waste handling and disposal, including food quality control, food standard requirements, water quality control, availability of toilet facilities, and the health permit and registration of different operations. The Proclamation prohibits the disposal of untreated solid or liquid hazardous wastes into water bodies or the environment that can affect human health.

4.3.8 Ethiopian Water Resources Management Proclamation, No. 197/2000

The proclamation is decreed to ensure that the water resources of the country are protected and utilized for the highest social and economic benefits of the people of Ethiopia, to follow up and supervise that they are duly conserved, ensure that harmful effects of water are prevented, and that the management of water resources is carried out properly. It proclaims that all water resources of the country are the common property of the Ethiopian people and the state. It has provisions on general principles of water use and management, inventory of water resources, professional engagement in water resource management and supply. Among other articles, the proclamation clearly indicates the requirements on water bank management and prevention of harmful effects on water resources in the articles 24 and 25 of the proclamation.

The supervising body (the Ministry Water, Irrigation and Energy), in collaboration and in consultation with the appropriate public body may:

- Delimit the boundaries of the banks of certain water bodies;
- Prohibit clearing and cutting trees or vegetation and construction of residential houses within the delimited banks of water bodies;
- The appropriate public bodies shall, before allowing or causing the founding of towns or villages, request the supervising body for technical advice in order to prevent or avoid damages, adverse impacts or accidents which may occur as a result of floods and other factors related to water.

The Act is of relevance to the proposed project in prevention of water resources near the projects from pollution. It will also be applicable in approval of water permits for abstraction from any water sources for the projects.

4.3.9 Labor Proclamation 377/2003

The Labor Proclamation (which was revised in 2003) provides the basic principles which govern labor conditions taking into account the political, economic and social policies of the Government, and in conformity with the international conventions and treaties to which Ethiopia is a party. The proclamation under its Part Seven, Chapter One, Article 92 of this proclamation deals with Occupational Safety, Health and Working Environment, Prevention Measures and Obligations of the Employers. Accordingly, the Proclamation obliges the employer to take the necessary measure for adequate safeguarding of the workers in terms of their health and safety. Moreover, the Occupation Health and Safety Directive (MOLSA, 2003) provides the limits for occupational exposure to working conditions that have adverse impacts on health and safety.

The proclamation requires employers to i) take appropriate steps to ensure that workers are properly instructed and notified concerning the hazards of their respective occupations and the precautions necessary to avoid accident and injury to health; ii) ensure that directives are given and also assign safety officer; establish an occupational, safety and health committee of which the committee's establishment, shall be determined by a directive issued by the Minister; iii) provide workers with protective equipment, clothing and other materials and instruct them of its use; etc.

4.3.10 Proclamation No 455/2005: Expropriation of landholding for Public Purposes and Payment of compensation

The proclamation provides for the expropriation of landholdings for public purposes and payment of compensation and establishes the legal principles and framework for expropriation and compensation.

Regarding the determination of compensation, the basis and amount of compensation is clearly explained in Article 7(1) which states that “land holder whose holding has been expropriated shall be entitled to payment of compensation for his property situated on the land and for permanent improvements he made”. Article 7(2) also states that “the amount of compensation for property situated on the expropriated land shall be determined on the basis of replacement cost of the property”.

Under article 8(1) of this proclamation a displaced land holder whose land holding has been permanently expropriated shall in addition to the compensation payable under the articles of this proclamation is paid displacement compensation, which shall be equivalent to ten times the average annual income he secured to bring the five years preceding the expropriations of the land.

Although not anticipated, the EASTRIP will ensure that this proclamation is adhered to incase there will be any land acquisition for the proposed project.

4.4 Environmental and Social Guidelines

The MoEFC has issued some guidelines and standards which are endorsed by the National environmental council. The purpose of these guidelines and directives is to ensure that development projects integrate environmental considerations in the planning process as a

condition for their approval. These include Directive No.1 /2008, which was issued to determine projects subject to environmental impact assessment. Other draft environmental guidelines prepared and posted on the website of the MoEFC that are widely used for several years now include the following:

4.4.1 ESIA Procedural Guideline (draft), November 2003

This guideline outlines the screening, review and approval process for development projects in Ethiopia and defines the criteria for undertaking an ESIA. According to this ESIA procedural guideline, projects are categorized into three schedules:

Schedule 1: Projects which may have adverse and significant environmental impacts thus requiring a full Environmental Impact Assessment

Schedule 2: Projects whose type, scale or other relevant characteristics have potential to cause some significant environmental impacts but are not likely to warrant a full ESIA study

Schedule 3: Projects which would have no significant environmental and social impact and do not require an ESIA

However, projects situated in an environmentally sensitive areas such as land prone to erosion; desertification; areas of historic or archaeological interest; important landscape; religiously important area, etc. will fall under Schedule I irrespective of the nature of the project.

4.4.2 Environmental Impact Assessment Guideline, May 2000

The guideline provides the policy and legislative framework, the general ESIA process and key sectoral environmental issues, standards and recommendations for environmental management in key sectors such as agriculture, industry, transport, tannery, dams and reservoirs, mining, textiles, irrigation, hydropower and resettlement projects.

4.4.3 Guideline for Environmental and Social Management Plan (draft), May 2004:

This guide outlines the fundamental contents that need to be featured while preparing an Environmental and Social Management Plans (EMP) for proposed development projects in Ethiopia and provides template forms to be used for such purposes. The guideline also provides guidance on the preparation of institutional arrangements for implementation of EMPs.

4.4.4 Guideline for Social, Environmental and Ecological Impact Assessment and Environmental Hygiene in Settlement Areas (2004)

It aims to strengthen the positive impacts and reduce or eliminate the negative impacts of social and economic activities on environmental well-being and human health in settlement areas. In addition, carrying out voluntary and informed consultation, sustainable improvement of life, and ensuring environmental sustainability are three of the six principles of the guidelines.

The guidelines require project proponents to describe the main negative environmental and social impacts anticipated from the implementation of project activities, devise mitigation plans for the negative impacts, and ensure that all phases of environmental and resource development and management, from project conception to planning and implementation to M&E, are based on the decisions of the local people. They promote the perception of heritage conservation

4.4.5 Regulation No 135/2007: Council of Minister Regulation

The regulation is titled “payment of compensation for property situated on land holdings expropriated for public purposes”. It is issued by the council of Ministers for the purpose of not only paying compensation but also to assist displaced persons to restore their livelihood. This regulation provides the procedures for application of proclamation No 455/2005, for compensation payment for property situated on expropriated land for public benefit.

The regulation identified the type of properties eligible for payments of compensation which includes buildings, fences, crops, perennial crops, trees, protected grass, improvement made on rural land; relocated property, mining license and burial grounds.
The regulation provides the procedures for application of Proclamation No 455/2005.

4.5 Occupational Health and Safety (OSH) guideline, 2008

The 2008 Occupational Health and Safety (OSH) guideline Directive provides guidance, based on the Labor Law, concerning occupational health and safety requirements, and outlines the general duties and responsibility of employers, rights and duties of workers, and responsibilities of the Labor Inspection Service.

4.6 Institutional Framework For National Environmental Management

The Environmental Protection Proclamation (Proc. 295/2002) assigns responsibilities for environmental management to various entities in order to ensure sustainable use of environmental resources, thereby avoiding possible conflicts of interest and duplication of efforts. It is also intended to establish a system that fosters coordinated but differentiated responsibilities among environmental protection offices at a Federal and Regional State level. Each of the main Federal institutions active in the construction of infrastructure, or economic development is required by law to have its own environmental unit.

4.6.1 Ministry of Environment, Forest and Climate Change

At the National level, the MoEFC is mandated with responsibilities for management of environmental issues. An amendment to the definition of powers and duties of the executive organs of the FDRE which was made in 2013 (proclamation no. 803/2013) gives the MoEFC powers to fulfill its role in ensuring the realization of the environmental objectives provided under the constitution. MoEFC is involved in the development of environmental policy and legislation; setting environmental quality standards for air, water and soils; monitoring pollution; establishing systems and procedures for ESIA; and in establishing a national environmental information system.
Enforcing the laws and policies including ESIA, environmental monitoring and auditing, for all projects or activities that falls under the control of the Federal Government also falls within the responsibilities of the MoEFC and its delegated sector ministries. MoEFC had delegated six sector ministries including the Ministry of Transport; Information and Communication, Ministry of Agriculture, Mining, Industry, Water & Energy, as well as Ministry of Trade. The delegated sector Ministries have been assigned the dual role of reviewing ESIA reports as well as ensuring timely and effective implementation supervision of sector specific ESIAs.

4.6.2 Ministry of Agriculture and Natural Resources

The ministry is responsible for a broad array of agricultural production and research, food security, poverty reduction, natural resource management and rural development programs and activities. The regional Bureaus of Agriculture and Natural Resources are directly involved in delivery of programs with Woredas, in keeping with the decentralization strategy and the government's Growth and Transformation Plan.

4.6.3 Ministry of Water, Irrigation and Energy

This ministry is responsible for overall inventory, planning and management of surface and ground water resources in the country. This includes aspects of watershed management, water supply and water quality management that affect rural development programs. Regional Water Bureaus are directly involved in assisting Woredas and other agencies in water resource development projects.

4.6.4 Ministry of Labor and Social Affairs (MoLSA)

MoLSA is responsible for the coordination and implementation of the Social Protection Policy. Given the multidimensional nature of the policy implementation, a Federal Social

Protection Council was established consisting of members from the relevant federal offices and other stakeholders. To implement the policy across the federal structure, institutional arrangements and accountability mechanisms were established from regional to zonal, woreda, and kebele levels.
MoLSA also plays an overarching role in the design, amendment, implementation of, and monitoring of occasional safety and health policies, directives, and guidelines, and makes sure that sector ministries and other executive organs perform their responsibilities related to health and safety issues in their respective mandate areas.

4.6.5 Ministry of Women and Children Affairs

The Ministry of Women and Children Affairs (MoWCA) is responsible for follow-up of the implementation of international conventions and national laws pertaining to women and children, conducting/commissioning research and formulating policies and guidelines, collaborating with organizations working on women and child issues, and providing capacity building support to ensure the equal participation and benefit of women and the protection of children's rights and security.

4.6.6 Regional Environment bodies

Proclamation 295/2002 requires regional states to establish or designate their own regional environmental agencies. The regional environmental agencies are responsible for coordination, formulation, implementation, review and revision of regional conservation strategies as well as environmental monitoring, protection and regulation (Article 15). Relating to ESIA specifically, Proclamation 299/2002 gives regional environmental agencies the responsibility to evaluate ESIA reports of projects that are licensed, executed or supervised by regional states and that are not likely to generate inter-regional impacts. Regional environmental agencies are also responsible for monitoring, auditing and regulating implementation of such projects. The institutional standing of regional environmental agencies varies among regions. In some regions, they are established as separate institutions, while in others they are within Regional Sector Bureaus (e.g., Bureau of Land Use Administration). In some cases, the REPAs have expanded their structures down to the Woreda level, though the Woreda environment protection offices are not accountable directly to the REPAs. The Woreda level environment protection offices reports to the Woreda administration.

4.6.7 Woreda Offices

The woredas are a key focus of the government's commitment to decentralized delivery of services. The various departments at the woreda level have a direct responsibility for finance, land use, environment, natural resources, infrastructure, and development at the local level. At Woreda level, the office of Environmental Protection is involved in reviewing and sometimes approving subprojects which do not require full ESIA, or have very minimal impacts. The Woreda is also active in monitoring and supervision of environmental and social issues during project implementation.

Role of EPA and Woreda offices in the Implementation of the ESMF: Following screening by the responsible PCUs, the REPAs and/or Woreda will review and approve project EIAs and will issue an environmental permit/ license where applicable. The REPAs or Woreda will undertake environmental audits where required to ensure that the implementing agencies are complying with their Environmental and Social Management Plans (ESMPs) and their commitments to environmental management, mitigation and monitoring.

4.6.8 Ethiopian Institution of Ombudsman

The Ethiopian Institution of Ombudsman (EIO) was established by Proclamation No.211/2000. It is a federal institution accountable to the Parliament, operational outside of

Addis Ababa through six regional branches. The institution's main objectives are to ensure that citizens' constitutional rights are not violated by the executive organs, supervise the implementation of functions by the executive organs in accordance with the law, investigate complaints received, and seek remedial measures for administrative malpractices.
This office will be one of the avenues that can be used for grievance redress by the project in case there are any complaints from the implementation of the sub-projects.

4.6.9 Regional Public Grievance Hearing Offices

Regional Public Grievance Hearing Offices (PGHOs) are regional entities accountable to regional presidents, who handle grievances, complaints, and appeals related to public services and good governance, and investigate cases, make recommendations, or hand down decisions to redress grievances. Most regions have established their PGHOs, and have branches at zonal, *woreda*, and *kebele* levels that are accountable to their respective administrators. These offices will be used by the project in case there are any complaints from the implementation of the sub-projects.

4.7 Relevant and Applicable International Conventions Ratified by Ethiopia

Ethiopia has ratified several international/multilateral environmental conventions and many of the principles and provisions in those conventions have been well addressed in the national environmental policies and regulations. Some of these conventions include the following:

- *Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters, Done at Aarhus, Denmark, On 25 June 1998*
- *Cartagena Protocol onBio-Safety to the Convention on Biological Diversity*
- *Convention on Biological Diversity, Rio, 5 June, 1992*
- *Kyoto Protocol to the United Nations Framework Convention on Climate Change*
- *United Nations Convention to Combat Desertification*
- *UN Framework Convention on Climate Change*
- *Convention for the Protection of the World Cultural and Natural Heritage Paris, 23 November 1972*

5 DESCRIPTION OF WORLD BANK ENVIRONMENTAL & SOCIAL SAFEGUARDS POLICIES AND TRIGGERS

The World Bank Safeguard Policies are outlined below and summarized in **Error! Reference source not found.** below and thereafter a determination has been made on the safeguards that will be triggered as a result of the EASTRIP.

Table 5-1: Summary of World Bank's Safeguards Policies objectives including when they are triggered

Policy	Objective	Trigger for the Policy
OP/BP 4.01 Environmental Assessment	The objective of this policy is to ensure that Bank-financed projects are environmentally sound and sustainable, and that decision-making is improved through appropriate analysis of actions and of their likely environmental impacts. This policy is triggered if a project is likely to have potential (adverse) environmental risks and impacts on its area of influence. OP 4.01 covers impacts on the natural environment (air, water and land); human health and safety; physical cultural resources; and transboundary and global environment concerns.	Depending on the project, and nature of impacts a range of instruments can be used: EIA, environmental audit, hazard or risk assessment and environmental management plan (EMP). When a project is likely to have sectoral or regional impacts, sectoral or regional EA is required. The Borrower is responsible for carrying out the EA.
OP/BP 4.04 Natural Habitats	This policy recognizes that the conservation of natural habitats is essential to safeguard their unique biodiversity and to maintain environmental services and products for human society and for long-term sustainable development. The Bank therefore supports the protection, management, and restoration of natural habitats in its project financing, as well as policy dialogue and economic and sector work. The Bank supports, and expects borrowers to apply, a precautionary approach to natural resource management to ensure opportunities for environmentally sustainable development. Natural habitats are land and water areas where most of the original native plant and animal species are still present. Natural habitats comprise many types of terrestrial, freshwater, coastal, and marine ecosystems. They include areas lightly modified by human activities, but retaining their ecological functions and most native species.	This policy is triggered by any project (including any sub-project under a sector investment or financial intermediary) with the potential to cause significant conversion (loss) or degradation of natural habitats, whether directly (through construction) or indirectly (through human activities induced by the project).
OP/BP 4.36 Forests	The objective of this policy is to assist borrowers to harness the potential of forests to reduce poverty in a sustainable manner, integrate forests effectively into sustainable economic development and protect the vital local and global environmental services and	This policy is triggered whenever any Bank-financed investment project (i) has the potential to have impacts on the health and quality of forests or the rights and

Policy	Objective	Trigger for the Policy
	values of forests. Where forest restoration and plantation development are necessary to meet these objectives, the Bank assists borrowers with forest restoration activities that maintain or enhance biodiversity and ecosystem functionality. The Bank assists borrowers with the establishment of environmentally appropriate, socially beneficial and economically viable forest plantations to help meet growing demands for forest goods and services.	welfare of people and their level of dependence upon or interaction with forests; or (ii) aims to bring about changes in the management, protection or utilization of natural forests or plantations.
OP 4.09 Pest Management	The objective of this policy is to (i) promote the use of biological or environmental control and reduce reliance on synthetic chemical pesticides; and (ii) strengthen the capacity of the country's regulatory framework and institutions to promote and support safe, effective and environmentally sound pest management. More specifically, the policy aims to (a) Ascertain that pest management activities in Bank-financed operations are based on integrated approaches and seek to reduce reliance on synthetic chemical pesticides (Integrated Pest Management (IPM) in agricultural projects and Integrated Vector Management (IVM) in public health projects. (b) Ensure that health and environmental hazards associated with pest management, especially the use of pesticides are minimized and can be properly managed by the user. (c) As necessary, support policy reform and institutional capacity development to (i) enhance implementation of IPM-based pest management and (ii) regulate and monitor the distribution and use of pesticides.	The policy is triggered if : (i) procurement of pesticides or pesticide application equipment is envisaged (either directly through the project, or indirectly through on-lending, co-financing, or government counterpart funding); (ii) the project may affect pest management in a way that harm could be done, even though the project is not envisaged to procure pesticides. This includes projects that may (i) lead to substantially increased pesticide use and subsequent increase in health and environmental risk; (ii) maintain or expand present pest management practices that are unsustainable, not based on an IPM approach, and/or pose significant health or environmental risks.
OP/BP 4.11 Physical Cultural Resources	The objective of this policy is to assist countries to avoid or mitigate adverse impacts of development projects on physical cultural resources. For purposes of this policy, "physical cultural resources" are defined as movable or immovable objects, sites, structures, groups of structures, natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. Physical cultural resources may be located in urban or rural settings, and may be above ground, underground, or underwater. The cultural interest may be at the local, provincial or national level, or within the international community.	This policy applies to all projects requiring a Category A or B Environmental Assessment under OP 4.01, project located in, or in the vicinity of, recognized cultural heritage sites, and projects designed to support the management or conservation of physical cultural resources.

Policy	Objective	Trigger for the Policy
OP/BP 4.10 Indigenous Peoples	The objective of this policy is to (i) ensure that the development process fosters full respect for the dignity, human rights, and cultural uniqueness of indigenous peoples; (ii) ensure that adverse effects during the development process are avoided, or if not feasible, ensure that these are minimized, mitigated or compensated; and (iii) ensure that indigenous peoples receive culturally appropriate and gender and inter-generationally inclusive social and economic benefits.	The policy is triggered when the project affects the indigenous peoples (with characteristics described in OP 4.10 para 4) in the project area.
OP/BP 4.12 Involuntary Resettlement	The objective of this policy is to (i) avoid or minimize involuntary resettlement where feasible, exploring all viable alternative project designs; (ii) assist displaced persons in improving their former living standards, income earning capacity, and production levels, or at least in restoring them; (iii) encourage community participation in planning and implementing resettlement; and (iv) provide assistance to affected people regardless of the legality of land tenure.	This policy covers not only physical relocation, but any loss of land or other assets resulting in: (i) relocation or loss of shelter; (ii) loss of assets or access to assets; (iii) loss of income sources or means of livelihood, whether or not the affected people must move to another location. This policy also applies to the involuntary restriction of access to legally designated parks and protected areas resulting in adverse impacts on the livelihoods of the displaced persons.
OP/BP 4.37 Safety of Dams	The objectives of this policy are as follows: For new dams, to ensure that experienced and competent professionals design and supervise construction; the borrower adopts and implements dam safety measures for the dam and associated works. For existing dams, to ensure that any dam that can influence the performance of the project is identified, a dam safety assessment is carried out, and necessary additional dam safety measures and remedial work are implemented.	This policy is triggered when the Bank finances: (i) a project involving construction of a large dam (15 m or higher) or a high hazard dam; and (ii) a project which is dependent on an existing dam. For small dams, generic dam safety measures designed by qualified engineers are usually adequate.
OP 7.50 Projects in International Waters	The objective of this policy is to ensure that Bank-financed projects affecting international waterways would not affect: (i) relations between the Bank and its borrowers and between states (whether members of the Bank or not); and (ii) the efficient utilization and protection of international waterways. The policy applies to the following types of projects: (a) Hydroelectric, irrigation, flood control, navigation, drainage, water and sewerage, industrial and similar projects that involve the use or potential pollution of international waterways; and (b) Detailed design and engineering studies of projects	This policy is triggered if (a) any river, canal, lake or similar body of water that forms a boundary between, or any river or body of surface water that flows through two or more states, whether Bank members or not; (b) any tributary or other body of surface water that is a component of any waterway described under (a); and (c) any bay, gulf strait, or channel bounded by two or more states, or if within one state

Policy	Objective	Trigger for the Policy
	under (a) above, include those carried out by the Bank as executing agency or in any other capacity.	recognized as a necessary channel of communication between the open sea and other states, and any river flowing into such waters.
OP 7.60 Projects in Disputed Areas	The objective of this policy is to ensure that projects in disputed areas are dealt with at the earliest possible stage: (a) so as not to affect relations between the Bank and its member countries; (b) so as not to affect relations between the borrower and neighboring countries; and (c) so as not to prejudice the position of either the Bank or the countries concerned.	This policy is triggered if the proposed project will be in a "disputed area". Questions to be answered include: Is the borrower involved in any disputes over an area with any of its neighbors. Is the project situated in a disputed area? Could any component financed or likely to be financed as part of the project be situated in a disputed area?

5.1 World Bank's Safeguards Likely to be Triggered by EASTRIP

The likely locations for subprojects under EASTRIP are not yet known but will most definitely be in the existing institutions participating under the program. Further preparatory work needs to be concluded as to the specific site locations at the institutions for the proposed projects (e.g. site selection, type of infrastructures to be undertaken, and other associated infrastructures that go with the proposed investments). Further details on the actual proposed investments, social/physical environment of the project activities will be provided after the pre-appraisal mission and this will be contained in the appraisal stage ISDS.

Due to the location of the institutions proposed under EASTRIP, the activities under EASTRIP (all expected to be within the institutions compounds) are for the moment expected to trigger only OP 4.01 (Environmental Assessment). However, further details pertaining to the exact locations of the proposed activities for EASTRIP at different institutions may trigger other OPs, such as 4.12 (Involuntary Resettlement), 4.04 (Natural Habitats), 4.11 (Physical Cultural Resources), and 4.36 (Forests). The safeguards instruments prepared for any subprojects will address the requirements of any applicable policies.

Table 5-2: Safeguard polices likely to be triggered by the proposed sub-projects

Safeguard Policies Triggered by the Project (For the Moment)	Yes	No
Environmental Assessment (OP/BP 4.01)	X	
Natural Habitats (OP/BP 4.04)		X
Pest Management (OP 4.09)		X
Physical Cultural Resources (OP/BP 4.11)		X
Involuntary Resettlement (OP/BP 4.12)		X
Indigenous Peoples (OP/BP 4.10)		X
Forests (OP/BP 4.36)		X
Safety of Dams (OP/BP 4.37)		X
Projects in Disputed Areas (OP/BP 7.60)*		X
Projects on International Waterways (OP/BP 7.50)		X

* *By supporting the proposed project, the Bank does not intend to prejudice the final determination of the parties' claims on the disputed areas*

5.1.1 Environmental Assessment (OP4.01, BP 4.01, GP 4.01)

This policy requires Environmental Assessment (EA) of projects proposed for Bank financing to help ensure that they are environmentally sound and sustainable, and thus to improve decision making. The EA is a process whose breadth, depth, and type of analysis will depend on the nature, scale, and potential environmental impact of the proposed investments under EASTRIP. The EA process considers the natural environment (air, water, and land); human health and safety; social aspects (involuntary resettlement, indigenous peoples, and cultural property) and transboundary and global environmental aspects.

The environmental and social impacts under EASTRIP will come from the proposed sub-projects investment activities. However, since the exact location of these investments will not be identified before bank appraisal of the project, the EA process calls for the borrower to prepare an Environmental and Social Management Framework (ESMF).

OP4.01 is triggered in case of EASTRP, as the bank will finance civil works projects including the rehabilitation and refurbishment of existing infrastructure, as well as the construction of new infrastructure. The exact locations and impacts of the sub-projects have not yet been identified, though the proposed sub-projects have been identified at early stages of the project.

This ESMF report establishes a mechanism to determine and assess future potential environmental and social impacts during implementation of EASTRIP activities, and sets out mitigation, monitoring and institutional measures to be taken during operations of these activities, to eliminate adverse environmental and social impacts, offset them, or reduce them to acceptable levels.

Operational Policy 4.01 further requires that the ESMF report must be disclosed as a separate and stand-alone document by the borrower and the World Bank as a condition for bank appraisal. The disclosure should be both in a manner that accessed by the general public and local communities and at the InfoShop of the World Bank and the date for disclosure must precede the date for appraisal of the program.

The extent and type of environmental and social assessment required by the World Bank is a function of the project's environmental impact and hence, its environmental screening category. The World Bank undertakes environmental and social screening of each proposed subproject to determine the appropriate extent and type of environmental and social assessment. The World Bank classifies projects into one of three categories (A, B and C), depending on the type, location, sensitivity, and scale of the project and the nature and magnitude of its potential environmental impacts.

The three project categories are described below:

Category	Description
Category "A" Projects	An EIA is always required for projects that are in this category. Impacts are expected to be 'adverse, sensitive, irreversible and diverse with attributes such as pollutant discharges large enough to cause degradation of air, water, or soil; large-scale physical disturbance of the site or surroundings; extraction, consumption or conversion of substantial amounts of forests and other natural resources; measurable modification of hydrological cycles; use of hazardous materials in more than incidental quantities; and involuntary displacement of people and other significant social disturbances.

Category	Description
Category "B" Projects	When the subproject's adverse environmental impacts on human populations or environmentally important areas (including wetlands, forests, grasslands, and other natural habitats) are less adverse than those of Category A subprojects. Impacts are site – specific; few, if any, of the impacts are irreversible; and in most cases, mitigation measures can be designed more readily than for Category A subprojects. The scope of environmental assessment for a Category B subproject may vary from sub-project to sub-project, but it is narrower than that of a Category A sub-project. It examines the subproject's potential negative and positive environmental impacts and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental performance.
Category "C" Projects	If the subproject is likely to have minimal or no adverse environmental impacts. Beyond screening, no further environmental assessment action is required for a Category C sub-project.

Most projects under EASTRIP falls under Category "B" as described above.

Therefore, this ESMF sets out to establish the EA process to be undertaken for implementation of proposed sub-project activities under EASTRIP when they are being identified and implemented. This process requires that EASTRIP and its implementing partners screen their activities to identify their potential adverse impacts and thereby determine the corresponding mitigation measures to incorporate into their planned activities.

If during screening the sub-projects it is found out that other safeguard policies are triggered, applicable safeguards instruments relating to the triggered policy will be prepared for the subprojects.

5.2 Requirements for Public Disclosure

As part of the preparation of this ESMF, a series of consultations were held with different stakeholders relevant to the project. The results of the consultations were incorporated in the final ESMF document. The list of those consulted and the minutes are included as an annex in this document.

Any subsequent Environmental and Social Impact Assessments and Environmental and Social Management Plans will be developed once specific investments are designed. The ESIAs and ESMPs will be consulted upon and publicly disclosed in Ethiopia. The ESMPs should be included into works contracts to support environmental and social compliance of each subproject.

This ESMF will be disclosed in line with the World Bank requirements within the country through posting on the websites of Ministry of Education, as well as in the Bank's infoshop.

6 CHAPTER FOUR: DETERMINATION OF POTENTIAL ENVIRONMENTAL AND SOCIAL IMPACTS

According to the World Bank Project Appraisal Document (PAD), this project is assigned environmental category B, and the risk is rated as “Moderate” Partial Assessment- assigned to projects that are likely to have limited, minimal, and reversible environmental impacts, that can be readily be mitigated. The assessment of environmental and social risks were analyzed based on the type of the proposed investments to be carried out in various sub-projects under EASTRIP components.
There are no significant and /or irreversible adverse environmental issues anticipated from the proposed sub-projects, as the nature of civil works is limited to construction of laboratories, classrooms, accommodation facilities, and rehabilitation of existing school’s infrastructure (all in Component 1). This ESMF was prepared to identify, assess and provide possible mitigation measures for potential negative environmental and social impacts of the project, and to provide guidance on environmental and social management to all the proposed sub-project investments.

Based on the ESMF, supplementary safeguards instruments will be prepared that include the Environmental and Social Impact Assessment (ESIA) and/or Environmental and Social Management Plan (ESMP) for specific sub projects during project implementation.

This section provides the details on the positive and negative environmental and social impacts, in terms of both scale and depth.

6.1 Proposed projects

Although not finally confirmed by the respective institutions, including the exact site locations, the proposed projects under EASTRIP includes but limited to the following;

(i) Construction of new additional classrooms, laboratories, hangars, multi-purpose rooms/libraries, accommodation facilities /dormitories, sanitation facilities;
(ii) Construction of access roads;
(iii) Construction of modern training centers with boarding facilities.

The implementation of these activities will be limited to existing TVET Institutions, and thus no land acquisition will be carried out under this project. However, these proposed activities will be subjected to environmental and social assessments.

The potential negative environmental impacts and possible mitigation measures identified by this ESMF and during stakeholder consultations are described in the following sections.

6.2 Positive Impacts

6.2.1 Improved enrolment

Poor and adequate infrastructure has been identified as one of the primary causes of low enrollment in TVET institutions. The project is expected to increase enrollment levels at the participating institutions, including of women and girls overall, as well as in non-female traditional courses.

6.2.2 Creation of employment opportunities

Increased employment opportunities will be created as more students enroll when facilities are improved and increased at the respective institutions. In addition, increased enrollment

means more teachers will need to be employed. Employment will also be created during the construction periods for the local people, including those supplying construction materials. More population at the institutions will also translate to more opportunities for the local economy as demand for goods and services trickle down to the local businesses. The program will translate to overall measurable economic and employment growth for the country.

6.2.3 Reduction of gender gap in enrolment

A special focus of EASTRIP is to promote and increase enrollment of girls with at the participating TVET institutions. An overall of at least 25% of female enrollment (from a baseline of 22%) is targeted under the project. Gender breakdown in enrollment will be monitored throughout the project including providing for an enabling environment for safety of women from sexual harassment and provision of gender friendly facilities to enhance retention and completion for women and girls.

6.2.4 Increased capacity for gender friendly and responsive learning environments

The project will develop infrastructure with increased capacity to enroll women and facilities that will attract them to enroll, such as separate dormitory facilities.

6.2.5 Institutional Fiscal Efficiency and Transparency

Improved fiscal impact on the institutions from better project preparation, better risk allocation, increased transparency, wider quality control, and greater efficiency are other positive impacts expected as a result of implementing the EASTRIP.

6.2.6 Increase in skilled workforce

The project will help increase the likelihood of students' employment after graduation by providing good quality and relevant training programs to students, training, and exchange opportunities for trainers and management staff in academic, industry, and pedagogy skills areas.

6.2.7 Encourage Regional integration

A regional approach to developing the specialized TVET centers can have a number of benefits, including exploiting economies of scale to lower costs of training for individual countries on specialized and industry certified training programs, facilitating mobility of people and skilled labor, promoting peer learning among countries and institutions and sharing good policies and practices, and targeting employment toward regional economic corridors such as the Northern and Central Corridor Initiatives and other mega infrastructure projects in the region.

6.2.8 Strengthening the culture of environmental and social risk mitigation

The environmental and social risk mitigation measures put in place under the project will contribute to strengthening the culture of environmental and social risk mitigation in the colleges and the community beyond the TVET colleges, especially for future projects.

6.3 Potential Adverse Impacts

The actual impact significance rating depends on a lot of factors, including:

- Type of project;
- The magnitude of the impact;
- The sensitivity and value of the resource or receptor affected;
- Compliance with relevant laws, regulations and standards;
- Views and concerns of stakeholders;
- Overall worker/public comfort; and
- Likelihood of occurrence.

A 'negligible or no impact' or an impact of negligible significance is observed when a resource or receptor will not be affected in any way by a particular activity, or the predicted effect is deemed to be imperceptible or is indistinguishable from natural background levels.

A 'minor impact' or an impact of minor significance is one where an effect will be experienced, but the impact magnitude is sufficiently small and well within accepted standards, and/or the receptor is of low sensitivity/value. In such instances, standard construction/ operational practices can address such impacts.

A 'moderate impact' or an impact of moderate significance is where an effect will be within accepted limits and standards. Moderate impacts may cover a broad range, from a threshold below which the impact is minor, up to a level that might be just short of breaching an established (legal) limit. In such cases, standard construction practices can take care of these impacts but mitigation measures may also be required.

A 'major impact' or an impact of major significance is one where an accepted limit or standard may be exceeded, or large magnitude impacts occur to highly valued/sensitive resource/receptors. In such cases, alternatives are required to address such impacts otherwise mitigation measures should be adopted with strict monitoring protocols.

These classifications as used in the tables are largely subjective and may be overruled by site-specific issues or information and detailed project activities not captured in this framework, especially when the actual sites are identified. Scale and significance of the risks associated with the potential projects will also depends on specific sub-projects design.

The section below highlights the potential adverse impacts that could occur when the EASTRIP sub projects are implemented. A sample EMP has been prepared and details the potential adverse impacts (Bio-physical and socio-cultural) for each of the proposed activities.

6.3.1 Loss of Flora and Fauna

There might be a significant vegetation loss both during the construction phase either to pave way for access roads, actual project construction among others. The vegetation will be cleared so that the area where the construction work is to take place is clear for the construction work to be performed. These activities will expose the land to elements of erosion such as wind and water and thus will trigger the process of land degradation. The increase in noise during construction may scare away wild animals. There could also be some rare or endangered species near the project area, and therefore the impact on rare and endangered species of flora and fauna cannot be ruled out.

6.3.2 Noise and Vibration Impacts

Construction activities could result in significant noise impacts so as to impact on general well-being, health and functioning. The proposed projects might involve the use of heavy equipment (graders, drilling equipment, trucks, blasting equipment, tractors, and excavators) for among others rock blasting, excavation, asphalt mixing plant operations and vehicular movement that emit incessant noise usually harmful to the environment.

During operation phases, use and operation of laboratory equipment might generate some noise that can impair the hearing of the students and other people working or living near the proposed facilities.

6.3.3 Decreased Water Quality

Increase in suspended particles due to construction works; risk of human contamination from construction camps could affect the water quality near the project areas. This can also happen from mismanagement of contaminants like oils from construction equipment that might find their ways to natural surface water drains.

6.3.4 Incessant Traffic including accidents

There is potential for traffic congestion from construction and operation phases of the sub projects which could potentially cause disruption, health and safety impacts, as well as economic impacts. The use of heavy moving construction vehicles and machineries in project sites is generally known to cause traffic reducing movement and flow of vehicles.

6.3.5 Public Health – increase in diseases spread and outbreaks

There is potential for diseases resulting from unsound management of solid waste and effluent from construction camps, poor sanitation at construction sites, food vendors selling food to construction workers, malaria due to stagnant water associated with construction works etc.

6.3.6 Health and Safety of Construction Workers

Occupation health and safety of the workers during the construction phase (and in certain cases operation phase) is likely to be a concern due to the accidents that normally occur in construction sites that could cause loss of life, limbs among others.

6.3.7 Soil Erosion/Run Off

This will be as a result of the intensive activities that will be going on in the construction areas especially land clearing. The heavy equipment and machines that shall be used in the construction process will interfere with the soil structure making it loose hence liable to erosion.

6.3.8 Decreased Air Quality

Airborne dust will be caused by excavation, vehicle movement hence engine combustion and materials handling, particularly downwind from the construction sites during the construction phase of the identified sub project activities. Uncovered stock piles and asphalt mixing plant operations are another source of dust. Air pollution will be further caused by emissions from vehicles and construction machinery. There will be decreased air quality due to dust, suspended particles, hydrocarbon vapours, oxides of nitrogen and sulphur (NOx and SOx) and Volatile Organic Compounds (VOC) among other emissions.

At the operation phases of certain equipment, there is potential for air quality degradation through emissions of fumes that can affect the health of the students and laboratory workers with the risk of chronic respiratory infections.
The improper disposal of E-waste through incineration is likely to lead to atmospheric pollution through the release of toxic and noxious gases in the atmosphere. Combustion from burning e-waste creates fine particulate matter, which is linked to pulmonary and cardiovascular disease.

6.3.9 Solid and Effluent Waste Hazards and Pollution

Solid waste issue is a potential adverse impact that will be as a result of abandonment of litter/construction materials on site. Effluent waste issue will arise from waste water during storm water runoff, sanitary systems, and improper maintenance of sewer systems, which could end up into the clean domestic water systems.

6.3.10 Hazardous materials use/storage

There may be the need to use hazardous materials during construction. They may include paint; reacting chemicals among others. These materials can lead to minor or major destructions to life, soils and water.

6.3.11 Waste management problem of non-biodegradable equipment

Electrical and electronic equipment contain different hazardous materials, which are harmful to human health and the environment if not disposed of carefully. While some natural occurring substances are harmless in nature, their use in the manufacture of electronic equipment often results in compounds, which are hazardous (e.g. chromium becomes chromium VI).

Improper and indiscriminate disposal of E-waste by the schools is likely to lead to the mushrooming of informal waste disposal centers in neighbourhoods which further exacerbates the problem of E-waste where informal E-waste handlers, refurbishers or recyclers are exposed to the adverse health impacts of E-wastes as a result of lack of personal protective equipment and skills to dismantle the wastes.
Most of the components of electronic devices are not biodegradable and hence provides a challenge in terms of disposal. Non-biodegradable equipment often remains in the environment for years and end up becoming a menace, eye sore as well as a landscape and visual intrusion problem.

6.3.12 Blasting and Rock Excavation

Blasting is used to loosen or break up rocks for removal. It is used during excavation of bedrock. Potential environmental impacts include dust (air quality), contaminant spills, sedimentation, safety (workers, storage), fly rock and debris, noise and explosive detonation effects on people and structures.

6.3.13 Public Health - Increase in HIV/AIDs

There is a potential risk that the construction and operation of the industrial park could increase HIV/AIDS prevalence in the project area especially through interactions of the locals with the migrant labor. Increase in risk of sexually transmitted diseases, such as HIV/AIDS etc. due to labor influx induced sex work and potential sexual relations between migrant workers and women and girls in the community.

6.3.14 Increased crime and in-migration

The influx of labour a specific project area or site especially during construction, and the settlement changes due to economic development of the area after project completion has the potential to lead to a number of negative socio-economic impacts, including increased insecurity and community conflicts, increased incidences of diseases (as mentioned above); increased risk of accidents and occupational hazards. Migration and settlement by new students could lead to increase of negative vices in the project area during operational stages of the institution.

6.3.15 Potential social conflict due to labour influx

Local residents, especially the youth usually benefit from expanded opportunities for seasonal employment during the construction period of projects in their areas. However, sometimes local labour force is not available, due to experience required and/or lack of people to be employed from the area. The contractor therefore usually brings labour force from outside, who are skilled and sometimes fulltime employees, which could result in potential social conflict between the contractor and the local residents if local skilled and unskilled labour is not utilized during the construction period. This could lead to demonstrations, damage to property, stoppage of the works, and sometimes lead to violence towards the contractor and his employees.

6.3.16 Exploitation of workers

Project workers such as construction workers face the risk of exploitation, discrimination and other forms of unfair treatment by employers/contractors, eg. being overworked with no compensation, low wages, improper provision of proper PPEs and equipment for the works assigned, among others.

6.3.17 Use of child labour

There is potential of the contractor employing children who have not reached the employment age, therefore violating the child labour laws of the borrower. The laws of Ethiopia prohibit contractors from “employing children in a manner that is economically exploitative, hazardous,

detrimental to the child's education, harmful to the child's health or physical, mental, spiritual, moral, or social development.

6.3.18 Gender based violence (GBV), equity, rape and sexual harassment

Due to labour influx for some project activities such as construction works, the project could exacerbate GBV, sexual harassment and other sexual offenses such as rape. Construction workers may engage in sexual fraternization with wives of other people. In addition to this being a driver of HIV infection, it will lead to domestic conflicts, GBV and domestic violence at household level. Women who seek employment may also face demands for sexual favors before being employed which amounts to sexual harassment. Even when employed, women may face continuous and unwanted demands for sex and risk losing their jobs if they do not give in. Women in the community and places of work may also face the risk being subjected to verbal harassment in the form of insults and demeaning comments in addition to unwanted gestures and touches by construction workers. Sexual harassment of women and girls might also happen as a result of mixing of women and men at worksites and campsites. Outright rape is also a risk some female employees may face when employed at construction sites. As a result, domestic violence and gender-based violence in homes, where it might have an impact to children who are likely suffer physically and emotionally.

6.3.19 Gender inequity in employment

There is a potential risk that gender inequality might be perpetuated during project construction through unequal distribution of work, discrimination against women, and unequal pay for women, among others.

6.3.20 Increase in Sex work

Construction workers could increase or create the demand for casual sex leading to the emergence or increase in sex work near the construction sites. Sex workers are a key bridging population for HIV transmission because their customers in many cases have spouses. The HIV prevalence among sex workers is usually about 2-3 times that of the general population.

6.3.21 Sexual exploitation and abuse (SEA) of under-age girls

There is a potential risk of project workers engaging in illegal sexual relations with minor girls, leading to HIV infection, teenage pregnancy, early child marriage, illegal and risky abortions, school dropout, etc.

6.3.22 Disruption of schooling

School children who live near construction sites are likely to be absent from school many times or will perpetually report late to school because of engaging in petty business activities of vending eats and other items to construction workers.

6.3.23 Alcohol and drug abuse

The presence of migrant construction and other project workers in the community may lead to the emergence of small business hubs with kiosks for selling foodstuffs, cigarettes, alcohol, etc to serve the workers and other members of the community. These business hubs may also engage in selling illegal drugs to project workers and other members of the community. The overall effect may be an increase in consumption of alcohol and illegal drugs in the community.

6.3.24 Increase in the prices of goods and services in the community

Increased demand by migrant labor may affect the local economy positively for producers and providers of some goods and services. This may lead to prices of rent, food and other commodities to rise. This may negatively affect other households who have a fixed income or those who are already barely managing to survive.

6.3.25 Sharing Water sources

The college and the wider community are likely to be inconvenienced if construction activities share limited water sources with them. Queuing at water sources could lead to delays in executing planned tasks by college students and other members of the college community and members of the wider community.

6.3.26 Poor sanitation due to sharing of sanitation facilities

Construction workers sharing sanitation facilities such as toilets with colleges students and other members of the college community could lead to hygiene challenges and a risk of hygiene related diseases.

6.3.27 Non user friendly buildings and facilities for People with disabilities (PWDs)

There is a risk that buildings to be constructed will not be easily accessible by or user friendly for PWDs if ramps and other facilities are not catered for.

6.4 Environmental & Social Management Process

Impacts expected as a result of the implementation of the sub projects under the EASTRIP will be managed through an Environmental Management Plan (EMP). Table 6-1 below specifically outline the proposed measures that will be undertaken at different stages of the project (planning, design, procurement, construction and post-construction) in order to eliminate adverse environmental and social impacts, offset them, or reduce them to acceptable levels.

6.4.1 Mitigation considerations and options

All moderate to major adverse impacts are considered for mitigation. Specific measures have been suggested in this regard where practicable. With regard to negligible and minor impacts where the project activity is not expected to cause any significant impact in such cases, best practice measures and mitigation have also been recommended where appropriate to improve the environmental and social performance of the Project. In cases where the effectiveness of the mitigation is uncertain, monitoring programs are introduced.

6.4.2 Recommended mitigation measures

The mitigation measures or guidelines have been designed in order to avoid, minimize and reduce negative environmental and social impacts at the project level.

For each impact, a rating has been given due to extent of the impact to the environment. The description of each rating is given below;

Negligible – the impact on the environment is not detectable.
Minor – the impact affects the environment in such a way that natural functions and processes are not negatively affected, or these natural functions are enhanced to a small degree.
Moderate – where the affected environment is altered but natural functions and processes continue, albeit in a modified way, or are considerably improved.
Major – where natural functions or processes are altered to the extent that it will temporarily or permanently cease; or in the case of a positive impact, will be restored to close to its natural state in terms of functions and processes.

NB: The final rating will be determined when the specific ESIA study is done for the sub-projects, once the specific types of investments are identified for each institution.

The proposed mitigation measures are presented in the following table in a descriptive format.

Table 6-1: Proposed mitigation measures

Impacts	Potential Rating / Significance	Description of mitigation measures
Physical Environment		
Soil and Land degradation	Moderate	• Minimize land clearing areas as much as possible to avoid unnecessary exposure of bare ground to the elements of the weather. • Re-vegetate cleared areas using native plant species or recommended landscaping plants • Avoid construction work during heavy rains
Air pollution	Major	• Regular watering of the site and access roads • Cover materials during transportation • Provide PPEs such as nose masks to the workers on the construction site; • Proper site management through regular cleaning including wet sweeping of the surfaces that produces a lot of dust particles; • Workers should be encouraged to go for regular health check-ups to ascertain their health standards; • Regular air quality tests to enhance air quality monitoring; • Hoarding the site with netting/sheet fabric cloth to prevent excess dust blowing from the construction site area. • Proper maintenance of construction equipments, vehicles, trucks and equipment. • The project should ensure the use of good quality fuel and lubricants only. • Construction traffic speed control measures should be enforced on unpaved roads (speed limits through communities should be ≤50km/hr on unpaved roads and near or at project site should be ≤30 km/hr). • Engines of vehicles/trucks and earth-moving equipment should be switched off when not in use.
Noise and vibration	Major	• The Projects should require contractors to use equipment and vehicles that are in good working order, well maintained, and that have some noise suppression equipment (e.g. mufflers, noise baffles) intact and in working order. • Contractors will be required to implement best driving practices when approaching and leaving the site (speed limit of ≤30 km/hr) to minimize noise generation created through activities such as unnecessary acceleration and breaking squeal. • Construction activities should be carried out only during the day to avoid noise to the residents • Engines of vehicles/trucks and earth-moving equipment should be switched off when not in use.
	Moderate	• Project sites should be fenced/hoarded off from public view during construction.

Impacts	Potential Rating / Significance	Description of mitigation measures
Impacts on Landscape and Visual Receptors		• Good house-keeping at construction sites should be ensured.
Impact on traffic and Public safety	Moderate	• Contractor to prepare a Traffic Management Plan for approval to address the following issues; • Initiation of a safety program and measures by creating awareness and educational campaigns for drivers, workers and local communities, including observation of speed limits • Installation of appropriate road signage, speed signs, and other warning signs at the site and access roads • Copies of drivers' licenses and insurance policies for the Contractor's drivers and vehicles respectively should be provided to the Supervision Consultant. • The Contractor's vehicles and equipment must be in proper working condition(roadworthy vehicles) and have registration plates, and numbering. • The Contractor ensures proper driving discipline by its employees, and sanctions those in breach. • Maintain a log detailing every violation and accident at site or associated with the project work activities, including the nature and circumstances, location, date, time, precise vehicles and persons involved, and follow-up actions with the police, insurance, families, community leaders, etc. (including during operation stages)
Water use	Moderate	• Develop water abstraction plan to minimize conflict with residents • Manage use of piped water and other water sources mainly used by local people • Obtain water abstraction permit from the relevant authorities, and other relevant agencies that manage water resources in the area. • Explore other alternative sources of water like water harvesting
Water pollution	Moderate	• No garbage/refuse, oily wastes, fuels/waste oils should be discharged into drains or onto site grounds. • Incorporate erosion control measures during construction at the site • Fuel storage tanks/sites should be properly secured to contain any spillage. • Maintenance, re-fueling and cleaning of equipment should NOT be done at construction site by the Contractor – but in a licensed garage outside the site area • The design will incorporate oil sumps at the parking areas to isolate oil spills from parked vehicles that might spill to the storm drains

Impacts	Potential Rating / Significance	Description of mitigation measures
		• Not any form of solid and liquid waste, fuels or oils shall be discharged on land surface, into the storm water drains • Toilet facilities should be provided for construction workers to avoid indiscriminate defecation in nearby bush or local water bodies.
Waste Water	Moderate	• All waste water shall be treated prior to final disposal. • All the sub-projects should ensure proper wastewater facilities for proper discharge of liquid waste are provided or available during design stages • All liquid wastes will be stored in accordance with the containment measures to mitigate against soil contamination. • Options should be explored to use treated Waste water treated for greening the compounds.
Solid Waste	Major	• Establish a well-planned method of solid waste management plan for disposal of debris/ garbage at the site • Provision of disposal bins at designated areas at the facilities • Regular collection and disposal of garbage by the project Proponent • Clean storm water drains to minimize clogging • Provision of separate collection bins for biodegradable and non-biodegradable waste at the construction site and facilities during operation • Encourage separate treatment for solid waste at the facilities • Conduct awareness on need of appropriate waste management practices including reduction, reuse, recycle, segregation, treatment among others • Final disposal should be at approved sanitary landfills or dump sites approved by the local government.
Hazardous waste, including oil and fuel wastes	Minor	• The Projects should require that contractors implement a hazardous materials management plan that includes specification for proper storage and handling of fuels, oil, wastes, and other potentially hazardous materials as well as a plan for containment and clean-up of accidental spills into the aquatic environment. • Final disposal should be at approved sanitary landfills or dump sites approved by the local government. • No solid waste, fuels or oils should be discharged on land surface, into drains or streams • Spent or waste oil from vehicles and equipment should be collected and temporarily stored in drums or containers at site. • Waste oil should be disposed of by approved agents by the environmental or local authority

Impacts	Potential Rating / Significance	Description of mitigation measures
Production of electronic waste (e-waste) from operations	Major	• Procure Electronic devices from credible manufactures to avoid purchasing second hand, refurbished or obsolete devices with a short shelf life or already categorised as E-Waste • Recycle all E-waste by establish E-Waste Collection Centres in all TVET schools; including collection bins/receptacles; • Have 3rd parties to collect and transport all E-wastes to approved Recycling Company or the recycling companies themselves • Conduct awareness and sensitization targeting the users of the electronic devices to ensure that they engage in best practise for E-waste management.
Impact on fauna and habitat	Minor	• Avoid unnecessary exposure and access to sensitive habitat areas. • For identified or suspected sensitive habitats (swamps/ wetlands), relevant authorities on wildlife should be engaged, and regular inspection or monitoring should be carried out in the area prior to start and during work.
• Social Environment		
Employment – Labour issues	Moderate	• The contractors should as far as possible engage the local skilled and unskilled labour within the project area during construction stages • Ensure that the local communities are given priority in relation to employment -all unskilled labour should be contracted or obtained from the local community if possible. • Ensure that all workers have contracts with terms and conditions that are consistent with national labour laws and polices • Every worker should also sign a code of conduct (CoC) as an annex to the employment contract – covering issues such as zero tolerance of unacceptable conduct in the community, GBV, sexual harassment, sexual exploitation and abuse of children, etc • Facilitate workers to form a committee through which their grievances will be received attended to or channeled to management
Impacts on Human Health/ Health and sanitation	Moderate	• Appropriate notices and warning signs will be erected along the roads, around working areas and public areas to warn prospective pedestrians, motorists, and other road users of any danger or risk. • Trucks carrying construction materials such as sand, quarry dust, laterite etc will have the buckets covered with tarpaulin or appropriate polythene material from or to project site. • Except for areas secured by fencing, all active construction areas will be marked with high-visibility tape to reduce the risk accidents involving pedestrians and vehicles.

Impacts	Potential Rating / Significance	Description of mitigation measures
		• All open trenches and excavated areas will be backfilled as soon as possible after construction has been completed. Access to open trenches and excavated areas will be secured to prevent pedestrians or vehicles from falling in. Reclamation of borrow pits and quarries to reduce incidences of accidents, water bone diseases and minimize landscape disfigurement. • Adequate sanitary facilities will be available for workers and open range defecation will not be countenanced.
General health and HIV/AIDs	Major	• A program on HIV prevention and response targeting workers and the community designed following the principle of Know Your Epidemic and Know Your Response (KYE/KYR) will be put in place at every construction site • Construction workers should be educated to adhere to basic rules with regard to protection of public health, including most importantly hygiene and disease prevention • HIV and AIDS and STIs prevention and response campaigns should be extended beyond the construction phase and into the operational phase. • Establish a partnership with local wellness centers including hospitals, VCT and ARV centers and NGOs near the project area for implementing an HIV/AIDS prevention and response program
Impacts on cultural heritage / archaeological interest / existing ecologically sensitive areas	Minor	• The pre-construction surveys should identify cultural heritage resources and existing ecologically sensitive areas that the project should avoid and by-pass these resources. • The Project should implement a chance find procedure and reporting system to be used by contractors in the event that a Cultural heritage feature or ecologically sensitive item/issue is encountered. • **See** sample Chance Finds Procedure in Annex 2 in the event that cultural heritage is discovered
Impacts on Human Health and Public Safety	Moderate	• The Project will require all contractors to implement an Environmental, Health and Safety (EHS) plan which will outline procedures for avoiding health and safety incidents and for emergency medical treatment. This will be achieved by making it a component of contractual agreement. • Construction workers will be provided with adequate and right safety tools and equipment. They shall also be educated to wear suitable Personal Protective Equipment (PPE) including hard hats, overalls, high-visibility vests, safety boots, earplugs, gloves etc. • Ensure provisions of first aid for staff, insurance, and access to ambulance service at all worksites, and arrangement to access local hospital/dispensary with qualified medical staff by workers • The site shall be fenced off and provided with security at the access gates to reduce potential accidents and injuries to the public

Impacts	Potential Rating / Significance	Description of mitigation measures
		• All construction and other workers will be sufficiently trained in the safe methods pertaining to their area of work to avoid injuries.
Gender Mainstreaming, gender based violence and zero tolerance for sexual harassment	Moderate	• Contractor and implementing agency to prepare and implement a Gender Action plan to include at minimum, in conformance with local laws and customs, equal opportunity for employment, • Contractor to prepare and enforce a No Sexual Harassment Policy in accordance with national law where applicable • All workers and nearby communities and stakeholders will be educated on preventing and responding to sexual harassment and GBV ahead of any project related works. • The community within the vicinity of the college where construction will take place will also be educated on gender-based violence and sexual offenses such as sexual harassment, rape and defilement in the context of labor influx and the prevention and response measures. • Strategies such as male involvement will be employed in preventing and responding to GBV and sexual harassment • Partnerships will be established with relevant government agencies and NGOs to ensure survivors of GBV and sexual offenses access survivor centred services such as medical care, psychosocial support, legal redress, safety, etc as and when necessary • Ensure that women are given adequate employment opportunities during recruitment and job postings • Regular sensitization and awareness campaigns to the workers should be done to promote gender equity in employment during the construction works and during operation. • Provision of gender disaggregated data, separate bathing, changing, sanitation facilities for men and women • Impose zero tolerance on sexual harassment, all forms of gender-based violence and discrimination at all phases of the project
Child Protection	Moderate	• Workers will be educated by relevant agencies such as police and probation officers on the relevant laws and polices protecting children • Reach out to children in and out of school in the vicinity of the construction sites with a life skills program focusing on HIV/AIDS and sexual abuse prevention among others areas • Strengthen school based and school led life skills programs targeting any schools near construction sites • Mobilise and strengthen child protection institutions and structures near construction sites • Reach out to school authorities and parents near construction sites on paying special attention to child protection in light of labour influx

Impacts	Potential Rating / Significance	Description of mitigation measures
		• Partnerships will be established with relevant government agencies and NGOs to ensure children access survivor centred services such as medical care, psychosocial support, legal redress, safety, etc as and when necessary • Ensure no children are employed on site in accordance with national labor laws • Ensure that any sexual exploitation and abuse (SEA) of children by the contractors' workers are promptly reported to the police • Popularize /put in place confidential mechanisms for reporting child abuse cases • Enforce the child protection related clauses in the Code of conduct signed by all workers • Ensure visibility of signage and information, education and communication materials on such issues in the construction sites
Non-user friendly buildings for PWDs		• All buildings will be designed and built with ramps and other special facilities such as toilets to facilitate access and use by PWDs
Loss of life, injury, or damage to people and private property	Moderate	• Contractor shall maintain records and make reports concerning health, safety and welfare of persons, and damage to property, at all times or as the RE may reasonably require • Insuring against liability for any loss, damage, death or bodily injury which may occur to any physical property or to any person which may arise out of the Contractor's performance of the contract • Insuring against liability for claims, damages, losses and expenses (including legal fees and expenses) arising from injury, sickness, disease or death of any person employed by the Contractor or any other of the Contractor's personnel. • The construction site shall be fenced off to prevent access to members of the public. • All people currently using college land to grow food crops and for petty business activities will be given adequate notice to harvest their food crops and not to plan new ones and relocate their business activities

7 PROJECT SCREENING, REPORTING, CONSULTATION AND DISCLOSURE

This section outlines the procedures that the EASTRIP implementing agencies and related stakeholders will follow to identify, assess, and review the environmental and social aspects of subproject and oversee its implementation. The ESMF requires that all the subprojects to be screened for social and environmental impacts. Screening will help to determine if a subproject will require a Partial ESIA, a full ESIA, or no ESIA at all.

Investments under the project will be subjected to environmental and social screening during the planning stage, and appropriate prevention and mitigation steps will be taken based on the results of the environmental and social screening process outlined in this document. The ESMF outlines the steps to be taken to realize the outcomes of the screening and categorization and describes the various elements of the process including:

- Steps to be taken for a partial ESIA if required, including an application for environmental authorization;
- Guidelines on the environmental and social impacts of subprojects; and
- Compliance mechanisms including proposed generic mitigation measures.

7.1 Safeguards Screening and Review Process

Prior to commencement of sub-projects, the proponents will fill out the screening form attached to this report (See Annex 1). The screening form shall be completed by the participating Institutions'' safeguard specialists who will be trained in the use of the screening form and fundamentals of what could constitute environmental and social risks.

The screening form will be used for all infrastructure subprojects that will involve construction and renovation works.
Should the screening process reveal no major negative impacts, then the project would be given a go-ahead to continue by the Regional body or the Woreda Environmental committee.

If the screening process reveals that there will likely be moderate or significant adverse impacts during and after implementation, then the proponent would be required to prepare a Partial ESIA or a Full ESIA based on the advise of the Regional EPA or advise from Woreda.

Based on the evaluation of the proposed sub-projects under EASTRIP, it is expected that most of them will required to prepare Partial ESIA.

7.2 Preparation of Partial ESIA

The projects requiring Partial ESIA (such as projects under EASTRIP which are in Category B) will be subject to a limited Environmental and Social impact assessment that would be approved by the regional EPA and/or Woreda Environmental committee.

Generally, the scope of partial ESIA for these types of project is narrower than that of Full ESIA. However, the ESIA will examine the project's potential negative and positive environmental impacts and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental performance which will be summarised in the ESMP. The findings and results of the partial ESIA will be described in the project documentation. Undertaking the preparation of the partial ESIA involves:

- A field assessment of the subproject area to identify likely environmental and social impacts;
- Consultation with beneficiaries and affected communities;
- Preparation of an ESMP

The partial Environmental Impact Assessment and Environmental Management Plan will be subjected to stakeholder consultations before the ESIA is finalized. The completed partial ESIA report will then be submitted to the relevant Regional EPA with an official application for review and approval. For sub-projects that requires partial and full ESIAs, the World Bank would review and clear the ESIAs before they are implemented.

7.3 Preparation of Full ESIA Study Report

If the project is likely to have significant adverse environmental impacts that are sensitive, diverse, or unprecedented, then a full ESIA will be required to be prepared. These impacts may affect an area broader than the sites or facilities subject to physical works. Because of the small-scale nature of EASTRIP subprojects, it is generally expected that none of the subprojects will fall under this category. In addition, EASTRIP will not finance subprojects that will be in Category A as per the WB categorization.

The implementing institution will be required to procure an independent environmental consultancy service to prepare the ESIA. Hence, there will be a need to develop a comprehensive ToR and scope of work for the consultant who will carry out the Environmental and Social Impact Assessment for the subproject.

7.3.1 ESIA Terms of Reference

The ToR provides a mechanism for consulting with EPA and Lead Agencies and agreeing on the content and methodology of EIA at an early stage in the process. The key objectives of preparing a scoping report are to:

- Give a project description and its location;
- Project activities;
- Identify the key issues to be addressed in the ESIA;
- Define the approach and methodologies for conducting baseline studies;
- Define the approach to and methodologies for predicting environmental impacts and for evaluating the significance and severity of environmental effects;
- Identify the methods to be adopted for incorporation of mitigation measures and other environmentally driven modifications into the project;
- Define the consultation strategy to be applied during the ESIA process;
- Seek comments from key stakeholders on the scope of the ESIA, the approach and work plan.

The ToR will also give details of the composition of the EIA team (including their experience and field of expertise) and timelines.

7.3.2 ESIA Study Report

Upon review and approval of the Scoping Report, the regional EPA will advise that an ESIA Study be undertaken. The ESIA Study will entail a systematic investigation of all impact areas as identified in the scoping report, taking care to document the current baseline environment, resource exploitation patterns and ecological pressure points. It will include but not limited to;

- Project Description: A description of key components of the proposed project, the implementing agents, a brief history of the project and its justification; Baseline Information;

- Baseline environmental information comprising physical, biological and socio-economic conditions of the site to be assembled and evaluated;
- A description of the pertinent legislation, regulations and standards, as well as environmental policies applicable to the proposed project and the appropriate authority jurisdictions;
- Identification of impacts related to project elements and an analysis of severity and duration of impacts;
- Prescription of mitigation measures and development of an environmental management plan to neutralize the effects of negative impacts;
- Development of a monitoring plan to ensure that the proposed mitigation measures are implemented and the desired remediation effects achieved;
- Public consultation and documentation of stakeholder views.

A template showing the contents of an ESIA has been provided in Annex 3 of this ESMF report.

It is mandatory for the ESIA study to undertake public consultation with all stakeholders in the project's area of influence. The ESIA Team should note and understand all stakeholder interests so as to cater for them in the ESMP.
The completed full ESIA report will then be submitted to the relevant Regional EPA or Woreda for clearance with an official application for review and approval. The ESIA should also be reviewed and cleared by the World Bank before disclosure.

7.3.3 Review and Decision

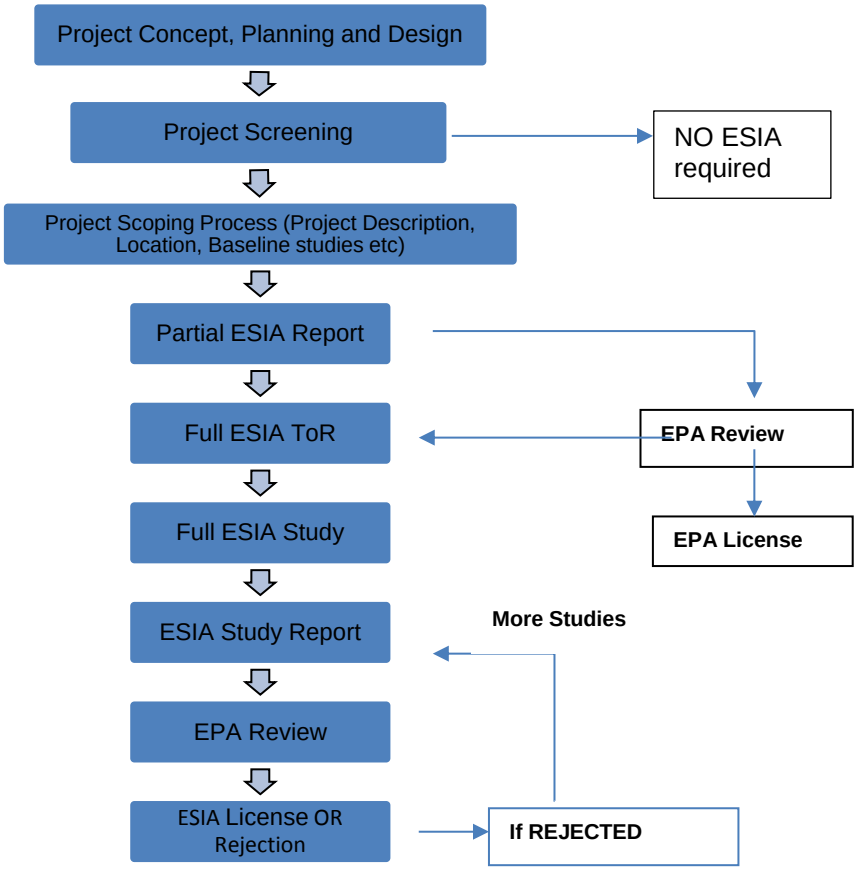
The relevant Regional Environmental Protection Authority or Woreda will review the full or partial ESIAs and ESMPs submitted to it by the implementing institution. The purpose of review is to examine and determine whether the full/partial ESIA and EMP are adequate assessment of the environmental and social impacts of the subproject under consideration, and sufficient mitigation measures have been provided for the negative impacts.

The Regional Environmental Protection Authority will review within 15 days the ESIA and may decide to:

(a) Accept the document - with conditions relating to implementation;
(b) Accept the documents with required and/or recommended amendments; or
(c) Reject the document with comments as to what is required to submit an acceptable ESIA and EMP.

The figure below outlines the EIA process and review to be followed in an event that a determination for a full scale ESIA is arrived at by EPA.

Figure 7-1: EIA process



7.4 Consultation and Disclosure Requirements

In addition to the environmental documentation requirements described above, World Bank Operational Policy 4.01 (paragraphs 15 and 16), and the WB Policy on Access to Information stipulates that consultation and disclosure of the ESIA should be done for all sub projects. During
the EIA process, the applicant shall consult groups and other stakeholders (including local NGOs) affected by the subproject on the subproject's environmental and social aspects and take their views into account. The applicant shall initiate such consultations as early as possible. Consultations with stakeholders should take place only once after a draft EA report is prepared. In addition, the applicant shall consult with such groups throughout project implementation as necessary to address EA-related issues that affect them.

For meaningful consultations, the applicant shall apply the following disclosure requirements:

- The applicant shall provide relevant material in English and/or the local language (as appropriate) in a timely manner prior to consultation;
- The applicant shall make the draft ESIA/EIA report including a detailed summary of the ESIA/EIA conclusions available at a public place accessible to groups and other stakeholders affected by the subproject.

Disclosure of EIA study reports prepared in line with WB provisions should follow the same procedure. EPA does not require disclosure of final environmental project reports. However, in order to meet WB disclosure requirements, ESIA reports should be disclosed to the project beneficiaries, stakeholders and the local community. The approved version of the report should be posted at MoE websites as well as WB Info Shop to ensure all interested parties can access it.

7.5 Overall Project Compliance and Reporting

Owing to the significant nature of some of the project activities, a strict system of compliance monitoring and reporting will be adopted. The ESMF will be implemented by the project proponent, with the assistance of the safeguard specialist at the RFU. The project proponent will collaborate with the Safeguard specialists at RFU, EPA and the financing institution to ensure effective execution.

The table below provides a summary of the stages and institutional responsibilities for the screening, preparation, assessment, approval and implementation of the EASTRIP sub-project activities.

Table 7-1: Screening Responsibilities

No.	Stage	Institutional responsibility	Implementation responsibility
1.	Screening of Environmental and Social impacts to assist in project formulation using checklist	TVET Institutions	Safeguard specialists (TVET Institution) / Safeguard specialist (RFU)
2.	Determination of appropriate environmental assessment level/ category	EPA / WB/ RFU	Safeguards Specialist (TVET Institution) / Safeguard specialist (RFU)
2.1	Selection validation	WB	
3.	Implementation of environmental assessment	TVET Institutions	Safeguards Specialist (TVET Institution) / Safeguard specialist (RFU)
	If ESIA is necessary		
3.1	Preparation of Terms of Reference	TVET Institutions	Safeguards Specialist (Investor)
3.2	Validation of ESIA/ESMP TOR	EPA	Safeguard Specialist
3.3	Selection of Consultant	TVET Institutions	
3.4	Realization of the EIA, Public Consultation Integration of environmental and social management plan issues in the tendering and project implementation	TVET Institutions /Consultancy firm / RFU	Safeguards Consultant/ Safeguards Specialist (TVET Institutions)/ Safeguard specialist (RFU)
4.	Review and Approval		
4.1	EIA Approval (Significant Impacts)	EPA	
4.2	Simple EA/ESMP Approval (Minimal Impacts)	TVET Institutions / WB	Safeguards Specialist (TVET Institutions)/ RFU Safeguard specialist
5.	Public Consultation and disclosure	TVET Institutions / EPA / WB	Safeguards Specialist (Investor)/Consultant/ WB
6.	Development of monitoring indicators	TVET Institutions/RFU	Safeguards Specialist (TVET Institutions)/ Safeguard specialist (RFU)
7.	Surveillance and monitoring	TVET Institutions /EPA/ RFUWB	Safeguard specialist (TVET Institutions) / Safeguard specialist (RFU)

8 PROJECT INSTITUTIONAL, IMPLEMENTATION, and MONITORING ARRANGEMENTS

8.1 Project Institutional and Implementation Arrangements

EASTRIP is designed to have three levels of intervention, at the TVET center, national (country), and at regional levels. Correspondingly, a three-layered project implementation approach will be followed. The proposed implementation arrangement follows the successful model for the ACEI and ACE II projects and their lessons learned. The following are the three tiers of the governance and implementation arrangement proposed for the project.

(a) **The regional TVET Centers of Excellence will be responsible for center-level project implementation.** The centers will establish a project implementation unit (PIU) for strategic planning and implementation of the approved plans, based on core functions including management, technical, industry liaison officer, fiduciary, safeguards including a gender focal point, monitoring and evaluation, and other requirements as assessed and recommended by the World Bank and agreed with the counterparts. The center level PIUs will work closely with the management of the host TVET institutions. In addition, an Industrial Advisory Board (IAB) will be established to provide guidance on industry collaboration.

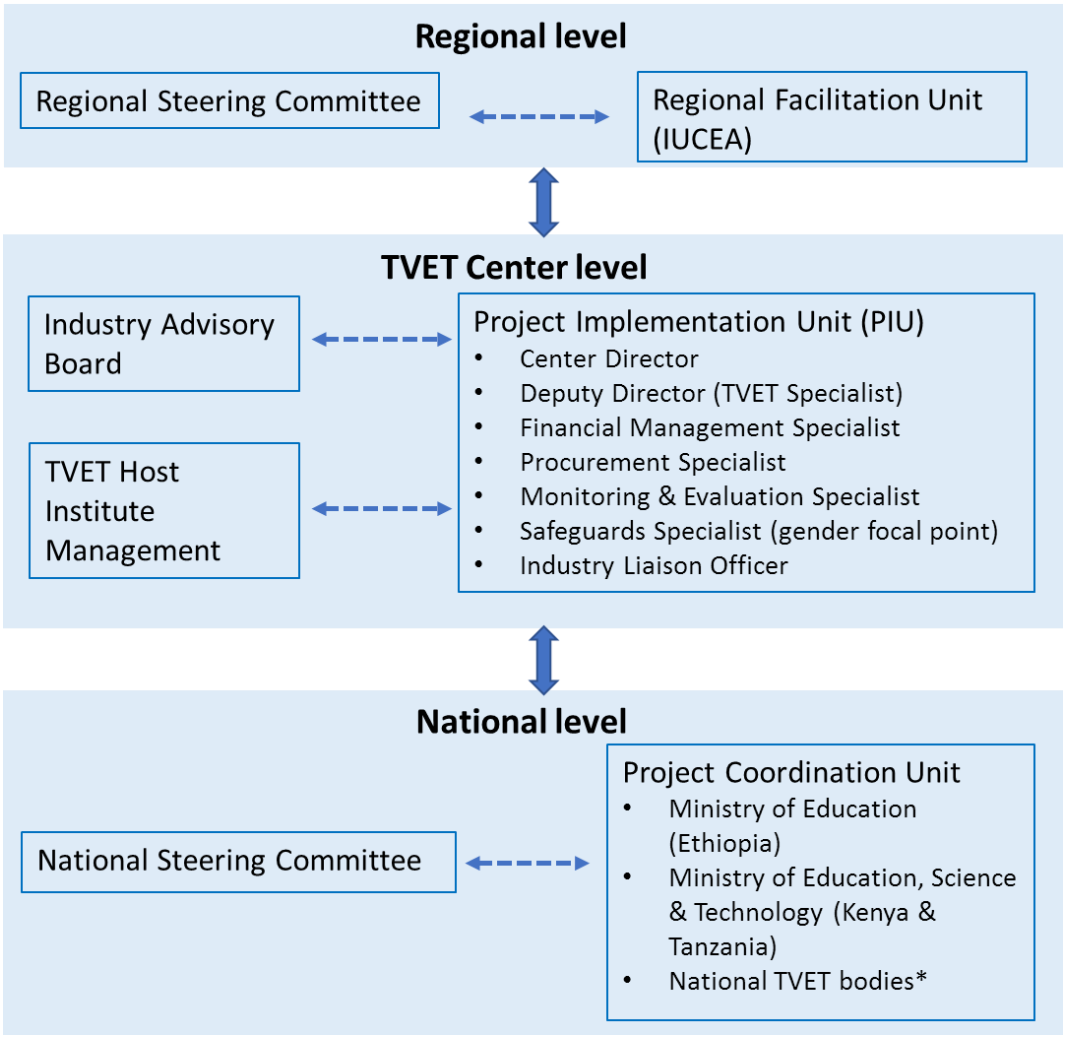
(b) **A National Project Coordination Unit (NPCU)** will be established in the country's ministry of education with key project functions. The NPCU will work closely with national TVET quality assurance agencies to execute the national component of the project and further provide national-level coordination, M&E, and dissemination of good practices from the centers.

(c) **The IUCEA, as the RFU** will support the centers and national agencies in their implementation of the project. Further, the RFU will facilitate the implement of a number of regional initiatives. It will provide knowledge sharing and coordination of sector activities. The RFU will be led by a project coordinator, who will be responsible for overall project coordination and facilitation, and an adequate number of professional staff in key function areas, including a finance officer, a procurement officer, an M&E officer, and communications officer.

In addition, Project Steering Committees will be established at national and regional levels with representation from relevant government agencies and industries to ensure political commitment and direction for the project. A National Steering Committee will comprise of representatives from relevant sector ministries as well as industries. A Regional Steering Committee will comprise of representatives of ministries of education and major regional industries from transport, energy, manufacturing and ICT sectors. Finally, a regional TVET expert team will be established to advise on technical matters.

National steering committee at country level will be streamlined with existing project steering structure of other relevant World Bank-supported projects in higher education and skills, to promote synergies and efficiency. For example, the EASTRIP Tanzania National Steering Committee may be the same core steering committee as for the Eastern and Southern Africa Higher Education Centers of Excellence (ACE), Education and Skills for Productive Jobs (ESPJ) and the new higher education project. Figure 7-1 below depicts the project implementation arrangements.

Figure 8-1 Project Implementation Arrangements



Source: EASTRIP PAD
**National TVET bodies*
Ethiopia: Ministry of Education (Federal TVET Agency)
Kenya: Ministry of Education, Science & Technology (TVET Authority: TVETA; Curriculum Development Assessment and Certification Council: TVET CDACC)
Tanzania: Ministry of Education, Science & Technology: MoEST (National Council for Technical Education: NACTE; Vocational Education & Training Authority: VETA; Tanzania Commission for Universities: TCU)

8.2 Monitoring Arrangements

8.2.1 Safeguards Monitoring Plans and Indicators

The purpose of a monitoring plan is to initiate a mechanism for implementing mitigation measures for the potential negative environmental impacts and monitor the efficiency of these mitigation measures based on relevant environmental and social indicators. The plan assigns responsibilities of actions to various actors and provides a timeframe within which mitigation measures can be implemented, supervised and monitored. The plan also determines whether further interventions are needed or monitoring is to be extended in some areas. Further, it provides a checklist for project monitoring and evaluation. Monitoring indicators will be very much dependent on specific project contexts.

a) Overall Project Level

IUCEA, the Regional Facilitation Unit (RFU), will be responsible for safeguards monitoring and surveillance of all the sub-project investments that will be undertaken by EASTRIP, led

by a Project Coordinator for the project. RFU will report results of this monitoring to the World Bank. In appreciation of the fact that it would be impossible to visit or monitor all sub project investments to be financed under the project, “spot checks” may be undertaken by the PMU, but no investment will be ignored in this high level monitoring.

b) National Project Level

The Ministry of Education, through the Department of TVET will be responsible for monitoring and reporting on compliance with the ESMF under the established National Project Coordination Unit (NPCU). They will ensure that subprojects investments are screened, their safeguard instruments prepared, cleared and disclosed prior to sub project implementation. Further, they will ensure that executing institutions implement the specific sub project ESMPs, and submit reports on ESMPs implementation as required to the RFU.

c) Sub Project Level Monitoring

At the field level, the respective TVET institutions and the consultants will take lead to supervise and monitor the implementation of the ESIA/ESMPs and prepare progress reports to the NPCU in the MoE and RFU as per the requirements of the safeguard instruments. Each TVET institution will set up a Project Implementation Unit (PIU) solely responsible for executing the sub project investment which will include responsibility for monitoring and reporting all the elements in the ESMP on day to day or periodically as specified in the monitoring plan. The sub project level monitoring reports will be submitted to the safeguards specialist at the RFU for review and analysis, for further submission to the World Bank.
All sub project investments will be subject to mandatory initial environmental audits and annual environmental audit /supervision to ensure that they comply with national requirements by Environmental Protection Authority and other relevant laws and regulations.

d) World Bank’s Monitoring Support

The World Bank safeguards team will provide second line of monitoring compliance and commitments made in the Environmental and Social Management Plans (ESMPs) through supervision. The bank will further undertake monitoring during its scheduled project supervision missions.
Specifically, for each year that the agreement is in effect, sub project executing institutions will be required to submit to the RFU all the monitoring reports. The RFU will consolidate and summarize country reports and submit as part of its reporting process to the Bank. The Bank supervision team will review these reports and provide feedback.

Monitoring Level	Monitoring item	Verifiable indicators	Responsibility
ESMF Level	• Adequate dissemination of ESMF to stakeholders • Capacity building and training programs	• Record of consultations and meetings, • No of training Sessions Done • Workshop reports.	• MoE (NPCU) • RFU
Project Level Investment	• Preparation of ESIA/ESMPs • Environmental permits • Safeguards Monitoring and Evaluation	• ESIA Reports • ESMPs • Environmental Licenses for sub-projects • Contractor’s Environmental and Social Management Plans (CESMPs) • Audit Reports	• MoE (NPCU) • PIU environment safeguards focal person) • Consultants • Regional EPA • Woreda

8.2.2 Monitoring Roles and Responsibilities

a) Environment Protection Authority (EPA)

The Regional EPA is charged with the overall role of providing oversight in regard to monitoring for all project activities that have potential impacts on the environment in its region. Regional EPA will undertake periodic monitoring of the sub projects by making regular site inspection visits to determine compliance with the sub project EIA/EMPs approved and will further rely on the submitted annual audit reports submitted for each sub project annually as required by EPA as a way of monitoring.
The regional EPA or Woreda Environmental Committee will provide approvals and ESIA licenses to all the investments based on the ESIA reports submitted, since without their approval, implementation of the investment project will not move forward. All monitoring reports as well as annual environmental audit report will be submitted as required by the law.

b) EASTRIP Secretariat-Safeguards Specialist

The EASTRIP Secretariat will recruit a safeguard specialist to provide oversight, facilitation, coordination, monitoring and evaluation of all the sub projects within the different countries all through the implementation period. In principle, the specialist will work with the implementing institutions to ensure that monitoring of project activities is undertaken and findings are reported to them periodically so that any technical assistance required to ensure compliance is provided.

The safeguard specialist based at the EASTRIP secretariat will submit quarterly monitoring reports of all active sub projects under implementation to the EASTRIP Project Implementation Unit (PIU) head who will then submit these reports to the World Bank.

9 GRIEVANCE REDRESS MECHANISM

The FDRE Constitution lays out a broad conceptual framework of GRMs, with the emphasis on respect for human rights and fundamental freedom, especially the right of access to justice, rule of law, and democratic governance. The Civil Service Reform Program (CSRP) (1996) introduced reforms to federal and regional state administrative systems, reinvigorating the implementation of GRMs, particularly the regional states. The Government further consolidated for sustained implementation by making sure that it was given the utmost attention as a key goal of the Business Process Reengineering (BPR) initiative. The handling of citizens' grievances was thus given an important place in the BPR package and grievance handling manual, distributed to regional states and woreda administration. BPR provided the impetus for the establishment of GRMs in several regional states and municipalities, most notably Tigray, SNNPR, Benishangul- Gumuz, and Addis Ababa.

According to Article 17 of Proclamation on EIA (proclamation no., 299/2000); any person dissatisfied with the authorization or monitoring or any decision of the Authority or the relevant regional environmental agency regarding the project may submit a grievance notice to the head of the Authority or the relevant regional environmental agency, as may be appropriate. The decision of the head of the Authority or relevant regional environmental agency shall, as provided above, be issued within 30 days following the receipt of the grievance.

9.1 Grievance Redress Mechanism (GRM)

Grievance redress mechanisms (GRM) provide a formal avenue for affected groups or stakeholders to engage with the project implementers or owners on issues of concern or unaddressed impacts. Grievances are any complaints or suggestions about the way a project is being implemented. They may take the form of specific complaints for damages/injury, concerns about routine project activities, or perceived incidents or impacts. Identifying and responding to grievances supports the development of positive relationships between projects and affected groups/communities, and other stakeholders.

Grievance mechanisms should receive and facilitate resolution of the affected institutional or communities' concerns and grievances. World Bank standards states the concerns should be addressed promptly using an understandable and transparent process that is culturally appropriate and readily acceptable to all segments of affected communities, at no cost and without retribution. Mechanisms should be appropriate to the scale of impacts and risks presented by a project.

Grievances can be an indication of growing stakeholder concerns (real and perceived) and can escalate if not identified and resolved. The management of grievances is therefore a vital component of stakeholder management and an important aspect of risk management for a project. Projects may have a range of potential adverse impacts to people and the environment in general, and identifying grievances and ensuring timely resolution is therefore very necessary.

The following sections describe the proposed procedures that will be followed to address complaints or concerns submitted by people who may benefit from or impacted by EASTRIP subprojects. It intends to provide clarity and predictability on how complaints will be received, assessed, sorted, resolved and monitored.

9.2 Principles of a good GRM

Effective GRMs usually embody six core principles[5];

- ***Fairness.*** Grievances are treated confidentially, assessed impartially, and handled transparently.

- ***Objectiveness and independence***. The GRM operates independently of all interested parties in order to guarantee fair, objective, and impartial treatment to each case. GRM officials have adequate means and powers to investigate grievances (e.g., interview witnesses, access records).

- ***Simplicity and accessibility.*** Procedures to file grievances and seek action are simple enough that project beneficiaries can easily understand them. Project beneficiaries have a range of contact options including, at a minimum, a telephone number (preferably toll-free), an e-mail address, and a postal address. The GRM is accessible to all stakeholders, irrespective of the remoteness of the area they live in, the language they speak, and their level of education or income. The GRM does not use complex processes that create confusion or anxiety (such as only accepting grievances on official-looking standard forms or through grievance boxes in government offices).

- ***Responsiveness and efficiency.*** The GRM is designed to be responsive to the needs of all complainants. Accordingly, officials handling grievances are trained to take effective action upon, and respond quickly to, grievances and suggestions.

- ***Speed and proportionality.*** All grievances, simple or complex, are addressed and resolved as quickly as possible. The action taken on the grievance or suggestion is swift, decisive, and constructive.

- ***Participatory and social inclusion.*** A wide range of project-affected people—community members, members of vulnerable groups, project implementers, civil society, and the media—are encouraged to bring grievances and comments to the attention of project authorities. Special attention is given to ensure that poor people and marginalized groups, including those with special needs, are able to access the GRM.

9.3 Proposed Composition of GRM

9.3.1 Members of the Grievance Redress Committee (GRC)

The proposed members of the grievance committee are as follows;

Name / organization	Representing
Local Administration (eg Sub County Commissioner)	Government - Chairman
Area Woreda Environmental Committee	Woreda - member
Community Structures	Community representation
PMU	Project Management Unit - Member
Resident Engineer (RE) Safeguard specialist	RE – Member
Institution Safeguard Specialist	PIU – Member
Regional EPA representative	EPA – Member

[5] World bank Group; HOW-TO-NOTES, The theory of Grievance Redress, http://siteresources.worldbank.org/EXTSOCIALDEVELOPMENT/Resources/244362-1193949504055/4348035-1298566783395/7755386-1301510956007/GRM-P1-Final.pdf

Contractor representative	Contractor - Member
NGOs	NGOs – representative of various NGOs
Institution stakeholders (eg student rep)	Users - Member
Other Stakeholders	As may be determined during the implementation of the project eg students

NB: Other members can be added or removed as required depending on the evaluation of impacts observed during the ESIA stage.

The main role of the committee will be arbitration through mediation and negotiation when complaints arise to ensure that cases are resolved quickly and fairly. The above committee shall normally meet once per month and may form special sub-committees or ad-hoc committee that shall meet on a weekly basis or more frequently as the nature of some grievances may demand. Such sub-committees or special ad-hoc committee will report their findings and recommendations to the main committee for ratification or approval.

9.3.2 GRC Responsibilities

The PIU Environmental and Social Safeguards specialist would be designated as the person in charge of Grievance Redress.

In regard to GRM, the following will be their responsibilities;

- Coordinate formation of Grievance Redress Committees (GRCs) before the commencement of construction to resolve issues.
- Act as the Focal Point at PIU on Grievance Redress issues and facilitate the grievance mechanisms.
- Create awareness of the Grievance Redress Mechanism (GRM) amongst all the stakeholders through public awareness campaigns.
- Assist in Redress of all Grievances by coordinating with the concerned parties.
- Maintain information of grievances and Redress.
- Monitor the activities on Redress of Grievances.
- Prepare the progress for monthly/quarterly reports.
- Provision of resources to cover the operational costs of the GRM.

9.4 Receiving Complaints

Points of receipt of complaints

The various points of receiving complaints would be as follows:

(i) Respective community level through established committees;
(ii) Regional Government administration;
(iii) Regional EPA office;
(iv) Local Woreda Administration;
(v) PIU office
(vi) Contractor or RE office

Mode of receipt and recording of Complaints

The complaints can be made in writing, verbally, over the phone, by fax, emails or any other media. As soon as the officer receives a complaint he /she would issue an acknowledgement of the complaint, including the details of the person bringing the grievance. The officer receiving the complaints should try to obtain relevant basic information regarding the grievance and the complainant and will immediately inform the safeguard specialist the receipt of the complaint.

The PIU will maintain a Complaint / Grievance and Redress register and the responsibility of keeping records collected from relevant bodies will be the responsibility of the PIU safeguard specialist.

After registering the complaint in the Grievance Redress Registration and Monitoring Sheet, the safeguard specialist would study the complaint made in detail and forward the complaint to the concerned officer with specific dates for replying and redressing the same. He/she would hold meetings with the affected persons / complainant and then attempt to find a solution to the complaint received. If necessary, meetings have to be held with the concerned affected persons / complainant and the concerned parties to find a solution to the problem and fix up plans to redress the grievance. The deliberations of the meetings and decisions taken are recorded and minutes of the meetings filed.

Table 9-1: Grievance Redress Process

Process	Description	Time frame	Other information
Identification of grievance	Face to face; phone; letter, e-mail; recorded during public/community interaction; others	1 Day	Email address; hotline number
Grievance assessed and logged	Significance assessed and grievance recorded or logged (i.e. in a log book)	4-7 Days	Significance criteria: Level 1 –one off event; Level 2 – complaint is widespread or repeated; Level 3- any complaint (one off or repeated) that indicates breach of law or policy or provisions in other project documents
Grievance is acknowledged	Acknowledgement of grievance through appropriate medium	7-14 Days	
Development of response	Grievance solved at Tier 1 (Resolved at EASTRIP level) Response development with input from management/ complainant/relevant stakeholders	4-14 Days	
Response signed off	Grievance closed Redress action approved at appropriate levels	Within above timelines	Project staff at KenGen and complainant to sign off
Grievance not solved, passed to GRC	Grievance passed to appropriate party for resolution (GRC) – Tier 2 Redress action approved at appropriate levels	7-14 Days	GRC and complainant to sign off
Implementation and communication of response	Redress action implemented and update of progress on resolution communicated to complainant	Within 7 days	
Complaints Response	Redress action recorded in grievance log book Confirm with complainant that grievance can be closed or determine what follow up is necessary	4-7 Days	
Grievance not solved, passed to MRC	Grievance passed to appropriate party for resolution (MRC) – Tier 3 Final decision communicated to complainant	7 -14 days	MRC to sign off Complainant to sign off
Close grievance	Record final sign off of grievance If grievance cannot be closed, return to step 2 or refer to sector minister or recommend third-party arbitration or resort to court of law.	4-7 Days	Final sign off on by EASTRIP Secretariat, MoE

9.5 Registry and Monitoring

All complaints received will be entered into a publicly accessible system that will allow complaints to be tracked and monitored. The system will also present a database showing:

- No of complaints received.
- No and % of complaints that have reached agreement.
- No and % of complaints that have been resolved.
- No and % of complaints that have gone to mediation
- No and % of complaints that have not reached agreement.

The database should also show the issues and geographic areas most complaints circle around. The information provided by the database is expected to help EASTRIP to improve the Grievance Redress Mechanism and better understand and address the environmental and social impacts of the project.

9.6 Grievance Redress Mechanism Structure

The stakeholders are informed of various points of making complaints (if any) and the PIU collect the complaints from these points on a regular basis and record them. This is followed by coordinating with the concerned people to address the grievances. The PIU will manage the grievance activities at the respective stakeholder's level to address the Grievances and would act as the focal point in this regard.

A three tier Redress structure is proposed to address all complaints in the sub-projects under EASTRIP.

a) First tier of Redress

The complaints are received at various points as described above.

The resolution at the first tier will be normally be done within 14 working days and notified to the concerned through a disclosure form. Should the Grievance is not solved within this period, this would be referred to the next level of Grievance Redress. However, if the PIU feels that adequate solutions are worked out but it would require a few more days for actions to be taken, he/she can decide on retaining the issue at the first level by informing the complainant accordingly. However, if the complainant requests for an immediate transfer of the issue to the next level, it would be accepted and the issue would be taken to the next tier, especially if the issue is not addressed within 21 days.

b) Second tier of Redress

The Grievance Redress Committee (GRC) would be the one which would address the grievance in the next level in case the problem is not solved at the first tier.
The PIU will coordinate with the respective chairman of the GRC in getting this Committee constituted and get the necessary circulars issued in this regard so that they can be convened whenever required.

The safeguard specialist will coordinate the convening of the meetings of the GRC. He / She is also responsible for briefing the GRC on the grievances and deliberations of the first level of Redress, outcomes and on the views of both the parties (project proponent and complainant).

The GRC will hold the necessary meetings with the affected party / complainant and attempt to find a solution acceptable at all levels. The GRC would record the minutes of the meeting and filed by the PIU. The decisions of the GRC will be communicated to the complainant formally and if he/she accepts the resolutions, the complainant's acceptance is obtained in writing and signing off is done between the complainant and the GRC.

If the complainant does not accept the solution offered by the GRC, then the complaint is passed on to the next level / or the complainant can reach the next level for redress. The Chairman of the GRC would be required to forward the issue to the Third Tier to facilitate in exploring a solution to the grievance. In any case, the grievance should be forwarded to the next level if no solution is reached within 14 days of the case reaching the second level. However, in cases nearing offering an amicable solution, it can be retained to an extent of 21 days.

c) Third tier of Redress

If the affected party / complainant does not agree with the resolution at the 2nd level, or there is a time delay of more than a month in solving the issue, the complainant can opt to consider taking it to the third level.
Where an agreement has not been reached, the complainant will be offered the option of an independent mediation process at an alternative arbitration body such as local arbitration arrangements, local administration, or other avenues as might be prescribed in the country constitution before legal redress. The PIU will collect all the details of the Grievance including the deliberations of first tier efforts and of the GRC and present it to the 3rd level tier. The 3rd tier structure will deliberate upon the issue and give suitable recommendations. The minutes of the meetings will be recorded and kept at the PIU office.
The decisions of the 3rd tier structure would be final from the project side and will be communicated to the complainant formally and if he/she accepts the resolutions, the complainant's acceptance is obtained and signed off by the complainant and the 3rd tier structure, including the project GRC.

The Complainant may decide to take a legal or any other recourse if he /she is not satisfied with the resolutions of the deliberations of the three tiers of GRM.

It should be encouraged that the 3 levels of handling the grievances should be exhausted extensively before one goes to courts as last resort.

9.7 GRM Jurisdiction

The proposed GRM is project specific and scaled to the risks and impacts of the Project. It is meant to solve the project's concerns by the stakeholders or any complainant. The proposed GRM is however not intended to bypass any Governments' own existing redress process; rather is intended to address affected people's concerns and complaints promptly, making it readily accessible to all segments of the affected people. Any established Government Redress mechanisms takes priority over the proposed GRM.

In the case of Ethiopia, the following Grievance mechanisms exists and they can be used as an option to the proposed GRM. Any complainant will be free to use these mechanisms.

9.8 Existing Country Grievance Handling Mechanism Structure

Ethiopia has a strong grievance redress mechanism starting at the community level of Woreda administration to the highest levels of government as laid out in the constitution under Article 17 of Proclamation on EIA (proclamation no., 299/2000).

9.8.1 Woreda Level

If the community/project affected people or other interested parties have a complain on the

unaddressed environmental and social impacts/damage/injuries as a result of EASTRIP subprojects implemented at Woreda level/capacity, they can submit their issues to the Woreda Environmental protection office or equivalent. The Woreda Environmental protection office, having filed checking/verification of complaints, will provide response effectively and in transparent manner after contacting and getting a response from the project proponent. If the complainant is not satisfied with the response from the Woreda office, they would go to regional Environmental protection offices. Woreda EPA also refers the cases if the issues are beyond its capacity to resolve.

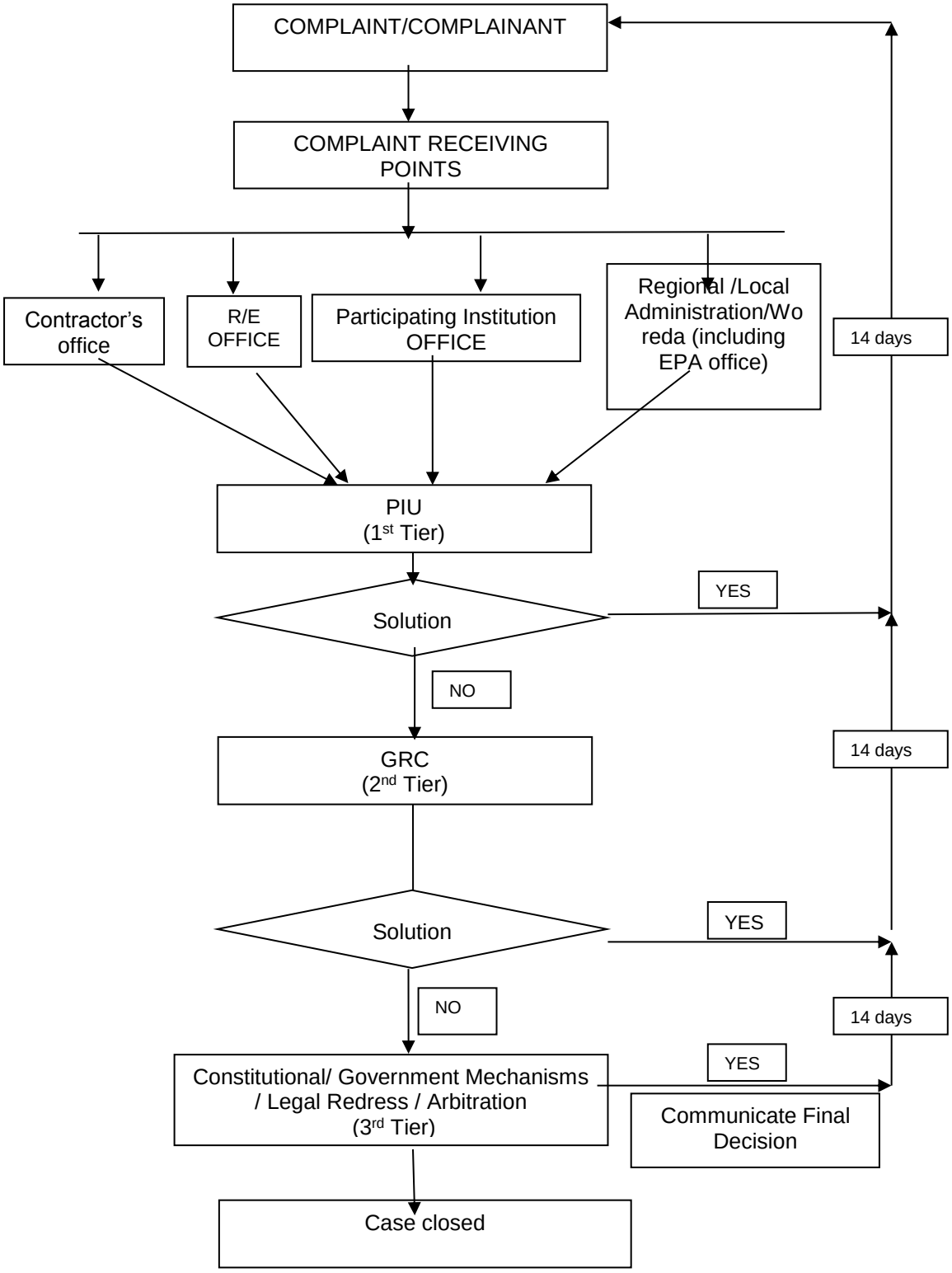
9.8.2 Regional Public Grievance Hearing Offices

Regional Public Grievance Hearing Offices (PGHOs) are regional entities accountable to regional presidents, who handle grievances, complaints, and appeals related to public services and good governance, and investigate cases, make recommendations, or hand down decisions to redress grievances. Most regions have established their PGHOs, and have branches at zonal, *woreda*, and *kebele* levels that are accountable to their respective administrators.

If there are complainant from the community/project affected people or other interested parties due to EASTRIP subprojects which are implemented by regional project implementing offices/agencies; or if the cases are referred from Woreda Environmental protection office, the Regional equivalent will give response to the community and other interested parties within 15 days after conducting field investigation contacting and getting a response from the project proponent.

The figure on the next page shows a proposed Grievance Redress Mechanism flow process for the EASTRIP. This will be reviewed and customized to address any missing gaps before establishment.

Table 9-2 Grievance Redress Flow Process



10 STAKEHOLDER CONSULTATION AND INFORMATION DISCLOSURE

The purpose of Stakeholder Consultation and Information Disclosure Mechanism is to:

- Inform: Promote stakeholder understanding of issues, problems, alternatives, opportunities and solutions through balanced and objective information sharing;
- Consult: To obtain feedback and acknowledge concerns and aspirations of stakeholders on analysis, alternatives, and decisions with regard to EASTRIP;
- Engage: Work directly with stakeholders to ensure that their concerns and aspirations are understood and considered and to assure them that their concerns / aspirations would be directly reflected in the developed alternatives; and that feedback will be provided on how their input influenced the final decision.
- Empower: Make stakeholders partners in each aspect of the decision, including development of alternatives and identification of preferred solution so as to ensure ownership of subprojects at grassroots level.

10.1 Objectives of Consultation

Objectives of the stakeholder consultation workshops were:-

i. To share the proposed project components, coverage and activities,
ii. In a participatory manner, develop detailed environmental and social implications of the proposed project,
iii. Develop recommendations/mitigation measures on how best to address the anticipated environmental and social implications,
iv. Develop a provisional list of institutional responsibilities, and
v. Identify capacity needs

10.2 Stakeholder Identification and Participation

Selection and consultation of stakeholders was based on three criteria as follows:

- Participating institutions and EASTRIP National Project Unit (MoE);
- Potential to be impacted by proposed sub-projects;
- Special interests in the programme either as government sector, NGO or CBO, etc.
- Local administrations where the institutions will be located,
- Institutions responsible for Environmental and Social issues (in this case EPA)

Initial consultations were held with each participating institution during project appraisal meeting held in Nairobi on June 4th to 8th, 2018. The consultant held a one-on-one discussion with participants from each institution to sensitize and create awareness on safeguards with a presentation on potential impacts that might arise as they prepared their Strategic Investment Plans (SIP), and deciding on the type of infrastructure investments to undertake.

A stakeholder consultation with various stakeholders was done between August 23rd and 24th, 2018, in Addis Ababa and Holeta, where a presentation on expected positive and negative impacts and their mitigation measures were presented to the key stakeholders. The stakeholders were then invited to detail their concerns, perceptions, reactions and experiences in relation to the proposed sub-projects and the impacts presented, and how these experiences may be of relevance to the EASTRIP. A total of 16 stakeholders were consulted on one-on-one basis from various offices visited during the consultation process.

10.3 Summary of Issues raised by the participants

Most of the participants appreciated the proposed project, indicating it will go a long way in improving the much-needed technical skills that are needed by the growing economy. The participants were satisfied with the potential environmental and social impacts as disclosed, including their mitigation measures. The participants indicated it would be important for the projects to take into consideration persons with disabilities during the project design, especially on curriculum development and training of soft skills to extend the positive impacts to this group.
Key areas that the participants noted will require proper attention included air, noise water pollution, and solid waste management. The participants also noted that social issues such as labour and wage issues will need to be managed properly during the construction period to avoid unrest with the local communities, especially the unemployed youth.

One of the concerns noted by the EPA was lack of quality documents, which lack proper mitigation measures that have been produced by consultants in the past. It will therefore be important for the implementing agency to ensure they get a qualified expert to conduct the ESIA for the sub-projects to ensure that a quality document is prepared. Another concern the stakeholders noted was weak implementation of mitigation measures as directed in the ESMPs by the contractors during construction.

It was noted from the consultations that there was a clear lack of capacity by most of the institutions to carry out proper supervision of safeguards during the implementation period of EASTRIP. Some institutions indicated they do not have qualified personnel who can handle safeguards, and someone would have to be extensively trained. The participants indicated the need for the project to consider capacity building and training to the safeguard focal points, and the entire PIUs (at institutional and National levels) to ensure that the environmental and social issues are managed properly. This ESMF has provided a provision of 2-day safeguards training and capacity building for the project team that will be managing EASTRIP subprojects.

A summary of issues and response raised during the stakeholder consultation has been attached in this report in **annex 4**. The issues raised by stakeholders will also be a key guidance during the ESIA process, especially consulting the key stakeholders on critical issues.

10.4 Disclosure Procedure

The Ministry of Education (MoE) will organize a Stakeholders Disclosure Workshop at later date to share the draft final ESMF report to the stakeholders. The focus of the consultation process will be to explain the project objectives, the proposed implementation modalities, likely environmental and social impacts and corresponding mitigation strategies and arrangement.

The final ESMF will also be shared in hard copies and soft copies to be uploaded at MoE website, as well as the World Bank InfoShop.

11 CAPACITY BUILDING, TRAINING AND TECHNICAL ASSISTANCE

This ESMF noted the limited and weak capacity of the MoE and implementing institutions that will be in charge of safeguards to prepare and implement environmental and social management plans for the sub-projects.
Effective implementation of the Environmental and Social Management Framework will therefore require capacity development for project NPCU, as well as those responsible for implementing sub-projects at the implementing institutions levels. The PIU team, who will be the key implementers of the projects will need to understand inherent social and environmental issues and values, and be able to clearly identify indicators of the same.

11.1 Training objectives

The overall objective of the training is to mainstream environmental and social consideration into participatory processes of sub-project identification, planning, implementation and mitigation, as well as monitoring of the mitigation activities in the sub-projects and main projects activities. The specific objectives of the training include:

- To ensure that key stakeholders understand the ESMF, how to apply it to sub-projects and other activities of the project;
- To actively involve key stakeholders in the screening of environmental and social aspects of sub-projects from design, planning, monitoring and implementation;
- Domesticating the ESMF to fast track the implementation of the associated subprojects.
- Manage environmental and social risk during project implementation.

11.2 Identification of Capacity Needs

Review of the existing functional system of the MoE and TVET Institutions that will implement EASTRIP projects on the capacity to manage environment and social issues showed that these institutions have no environmental experts well trained on safeguards. Therefore, the ESMF recommends a capacity building and training program for all the environmental and social safeguards focal points at the MoE and TVET institutions levels, and other stakeholders that will be involved directly in the implementation of this project. The capacity building requirements will mostly be in the form of training workshops.

The ESMF proposes capacity building by way of awareness creation, sensitization, actual training through a formal training as described below for different players that will be involved in the EASTRIP project.

The following capacity building and training programmes are proposed:

11.2.1 Capacity Building Enhancement

Awareness creation, training and sensitization will be required for personnel of the following institutions.

- Ministry of Education Implementation team (NPCU level)
- Environmental and Social officers from implementing institutions (PIU level)
- Regional Environment Officers / local Environmental Officers (at local Woreda level)

- Any other relevant agencies that will be supporting the project
- Contractors and their staff prior to commencement of construction works

11.2.2 Training

A comprehensive training plan will be designed aiming at enhancing capacity of relevant stakeholder agencies and with the following objectives.

- Identify, prepare, implement & manage environmental aspects of sub-projects;
- Ensure that the institutions have the capacity to assist in preparing sub-project screening, reports, and monitor implementation of mitigation plans; and
- Ensure that the implementing agencies have the capacity to appraise, approve and supervise the implementation of subprojects

The training will focus on;

- Background of the EASTRIP – its objectives, target groups and footprints;
- Role of ESMF in implementation of EASTRIP sub-projects;
- Relevant environmental and social regulations;
- Thorough review of Country EIA procedures, Environmental and Social Management policies & guidelines
- World Bank safeguards policies, as well as their implementation and enforcement.
- Environmental Impact Assessment (EIA) and Environmental Audit (EA) procedures;
- Project activities and their potential environmental and social impacts
- Stakeholder engagement, consultation and partnerships;
- Development of mitigation measures and Environmental and Social Management Plans
- Project screening methods, including application of ESMF tools (Screening checklists, EA), their review, implementation and enforcement.
- ESMP reporting, monitoring and follow-up of ESMF (including responsibilities of each party)
- Grievance Handling and Redress mechanisms and its relevant tools
- Prevention and response to gender based violence including sexual exploitation and abuse of girls
- HIV Prevention in the work place
- Prevention and response to sexual harassment
- Labor influx management practices including preparation and enforcement of workers contracts and codes and conduct.
- Grievance redress mechanism for workers

These training activities and capacity building program will be developed and implemented by the RFU with input of the WB safeguard specialist involved in the project. The resources for implementing the training will be allocated from the respective component of EASTRIP, and will be coordinated by the Safeguard specialist at the RFU.

The training program/agenda below provides a sample training outline and course content.

Table 11-1: Proposed Training program on ESMF

Day 1
1. **Introduction to Environmental and Social Management Plans** This section will introduce participants to the theory and application of ESMF as a decision-making tool. It will outline the principles of ESMF and provide clear definitions on EMP practice terminology (e.g. screening and scoping, impacts [negative, positive, cumulative, strategic] natural resource base (water, soil, land, biodiversity, air, etc., mitigation and monitoring) and social baseline (employment, social, health, literacy etc)). 2. **Country Environmental Laws and Legislation & International Financial Institutions Safeguard Policies and** This section will discuss the relevant environmental and social laws and policies which apply to activities under the program under the respective constitution. The section will also discuss WB safeguard policies and their application to the project. 3. **Screening of investment projects**. A list of potential activities to be financed under the projects will be discussed. Application of the screening checklist will be explained using case studies. 4. **Impact Identification**. Potential impacts related to various types of activities will be discussed, in terms of their significance (adverse or minimal, positive or negative), magnitude (long term versus short term), and impact category (localized or cumulative). 5. **Occupational health and safety** (OHS) management protects the safety, health, and welfare of people at the workplace will be discussed **6. Labour Influx, Gender, Child Protection, HIV Prevention strategies** 7. **Stakeholder consultation and engagement** approaches with emphasis on how to build a common vision, enhance conflict management and resolution, and responsibility sharing among others
Day 2
8. Development of a practical **environmental and social management plan (ESMP)** – based on the detailed analysis, the project implementers at the site level may be required to development a comprehensive management plan on how to address each of the identified impacts 9. **Mitigation and Monitoring Mitigation measures** as they apply to various types of investment activities will be discussed, in terms of their application, cost and feasibility. Monitoring measures will also be recommended to measure the effectiveness of mitigation plans and to monitor performance. 10. **Responsibilities for Planning and Reporting** For each target audience, responsibilities for environmental and social management will be discussed as they relate to the Project implementation. This will include responsibilities for planning, management of impact identification and mitigation/monitoring, partnerships with local NGOs and technical service providers, community members, and reporting. 11. **Grievance Handling Redress Mechanisms** – collection, reporting and resolving grievances will be discussed for the projects

12 ESMF IMPLEMENTATION BUDGET

The ESMF implementation costs outlined here are for activities aimed at ensuring that project activities align with procedures recommended in this ESMF, and to support a capacity-building program for key actors. These costs are to be included in the sub project budget funds.

The estimated total cost for ESMF implementation is indicated in the table below.

Table 12-1: Overall costs for implementation of ESMF in EASTRIP

Activity	Description	Unit cost, US$	No	Total Cost, US$
CAPACITY BUILDING ON ESMF/ESIA				
Training on ESMF and ESIA	Training workshop/seminars for stakeholders on ESMF/ESIA implementation - MoE, NCPU, PIU staff	25,000	2 days	50,000
ESIAs for sub-projects				
Preparation of ESIA for subprojects	Undertaking EIAs and submitting reports to EPA for approval through short term consultancies or consultants	20,000	5	100,000
MONITORING SAFEGUARD CONSULTANTS				
Monitoring, Evaluation and reporting at the NCPU level (MoE)	Monitoring and evaluation exercises for every quarter	100,000	LS	100,000
Establishment of GRMs, Gender Action plan	Establishment of GRMs, zero tolerance program for sexual harassment, gender and inclusion strategy and action plan, stakeholder engagement plan, communication strategy including I formation Education and Communication (IEC) materials, development of prototypes of generic workers codes of conduct etc	200,000	LS	200,000
OTHER ACTIVITIES				
Annual environmental and Social Audit	Hire a consultant to do Annual Environmental and Social Audits	50,000	LS	50,000
TOTAL EST BUDGET				**$300,000**

NB: Budget for ESMF at PCU level is not added on this budget. An estimated USD 300,000 will be required for ESMF/ESIA monitoring during the project implementation by a safeguard specialist to assist the PCU office (at IUCEA) to oversee the overall implementation safeguards for the ALL the countries participating in EASTRIP,

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ANNEX 1 – Sample Environment and Social Screening Tool

The Environmental and Social Screening Form (ESSF) has been designed to assists in the evaluation of sub projects for the East Africa Skills for Transformation and Regional Integration Project (EASTRIP). The form is designed for assessment of environmental and social impacts and their mitigation measures, if any, so that requirements for further environmental analysis can be determined. This form must be completed by the Project Implementation Unit (PIU) safeguard specialist (or any other appointed person) appropriately trained to do so and in consultation with the key stakeholders of the sub-project. The form will form part of the approval requirements for implementation of the sub-project activities.

PART A: GENERAL INFORMATION

1. Name of sub-project:
   ……
2. Sector ……..

3. Name of the Institution:
   ……

4. Name of Town:…….

5. Name of County.……

6. Name of Executing Agent
   ……..
7. Name of the Approving Authority
   ……

Details of the Person Responsible for Completing this ESSF:

8. Name:
   ……..
9. Job title:
   ……..

10. Telephone Number:……..

11. Fax Number:
    ……
12. E-mail Address:
    ……
13. Date:
    ……
14. Signature:

    ……

PART B: BRIEF DESCRIPTION OF THE SUB-PROJECT
Please provide information on the type and scale of the sub-project (area, required land and approximate size of total building floor area).

Estimated area of land where project will be located……

Is the land owned by the institution? …….

Approximate sizes of buildings ……..

Approximate costs of construction works……

Provide below information about the nature of project activities during the construction of the facilities including support/ancillary structures and activities required to build it, e.g. need to quarry or excavate borrow materials, laying pipes/lines to connect to energy or water source, access road etc.

PART C: BRIEF DESCRIPTION OF THE ENVIRONMENTAL and PHYSICAL OF PROJECT LOCATION SITUATION

Describe the sub-project location, sitting, surroundings (include a map or even a sketch map)
Describe the land formation, topography, vegetation in and adjacent to the project area.
Estimate and indicate where vegetation may have to be cleared

PART D: NATURAL HABITAT IMPACTS

Will the project?

No	Description	Yes	No	Not Known
1	Be located within or near environmentally sensitive areas (e.g. intact natural forests, mangroves, wetlands) or threatened species? *NB: If the answer is yes, the sub-project should not proceed.*	☐	☐	
2	Adversely affect environmentally sensitive areas or critical habitats – wetlands, woodlots, natural forests, rivers, protected areas including national parks, reserves or local sanctuaries, etc.)? *NB: If the answer is yes, the sub-project should not proceed.*	☐	☐	
3	Affect the indigenous and endangered/threatened biodiversity (flora and fauna)? *NB: If the answer is yes, the sub-project should not proceed.*	☐	☐	
4	Cause any loss or degradation of any natural habitats, either directly (through project works) or indirectly? *NB: If the answer is yes, the sub-project should not proceed.*	☐	☐	
5	Increase human-wildlife conflicts? *NB: If the answer is 'yes', please include in the ESMP a mitigation with sub-project application.*	☐	☐	

PART E: ENVIRONMENTAL ISSUES

Will the project?

No	Description	Yes	No	Not Known
1	Create a risk of increased soil erosion?	☐	☐	
2	Create a risk of increased deforestation?	☐	☐	
3	Create a risk of increasing any other soil degradation	☐	☐	
4	Affect soil salinity and alkalinity?	☐	☐	
5	Divert the water resource from its natural course/location?	☐	☐	
6	Cause pollution of aquatic ecosystems by sedimentation and agro-chemicals, oil spillage, effluents, etc.?	☐	☐	
7	Introduce exotic plants or animals?	☐	☐	
8	Involve drainage of wetlands or other permanently flooded areas?	☐	☐	
9	Cause poor water drainage and increase the risk of water-related diseases such as Malaria	☐	☐	
10	Reduce the quantity of water for the downstream users?	☐	☐	
11	Result in the lowering of groundwater level or depletion of groundwater?	☐	☐	
12	Create waste that could adversely affect local soils, vegetation, rivers and streams or groundwater?			
13	Reduce various types of livestock production?	☐	☐	
14	Affect any watershed?	☐	☐	

No	Description	Yes	No	Not Known
15	Focus on biomass/bio-fuel energy generation?	☐	☐	
16	Project will pollute air directly (construction cement /dust)	☐	☐	
17	Project will lead to practices that worsen air quality	☐	☐	
18	Project will lead to a change in engine or fuel use that could cause serous air problems	☐	☐	
19	The project will generate noise from construction activities	☐	☐	
20	Project operation will result in increase in noise generation	☐	☐	
21	Project could make people to move to high noise level area	☐	☐	
22	Project could result in noisy working environments for staff	☐	☐	
23	The project will increase demand for conventional energy sources	☐	☐	
24	The project will create demand for demand for other energy sources (wood and charcoal)	☐	☐	

PART F: SOCIAL ISSUES

Will the project?

No	Description	Yes	No	Not Known
1	Be project located in a rural or remote area?	☐	☐	
2	Displace people from their current settlement?	☐	☐	
3	Interfere with the normal health and safety of the worker/employee?	☐	☐	
4	Reduce the employment opportunities for the surrounding communities?	☐	☐	
5	Reduce settlement (no further area allocated to settlements)?	☐	☐	
6	Will the project potentially involve an influx of workers to the project location?,	☐	☐	
7	Will the influx be considered significant for the local community?			
8	What is the expected frequency and extent of contact between the local community and outsiders?			
9	Reduce income for the local communities?	☐	☐	
10	Increase insecurity due to introduction of the project?	☐	☐	
11	Increase exposure of the community to communicable diseases such as HIV/AIDs	☐	☐	
12	Induce conflict?	☐	☐	
13	Introduce new practices and habits?	☐	☐	
14	Lead to child delinquency (school drop-outs, child abuse, child labour, etc.?	☐	☐	
15	Lead to gender disparity?	☐	☐	
16	Is the project area known to have history of Gender based violence?	☐	☐	
17	Is there a potential for the project to increase gender based violence	☐	☐	

No	Description	Yes	No	Not Known
18	Lead to social evils (any form of gender based violence, drug abuse, excessive alcohol consumption, crime, sex workers etc.)?	☐	☐	
19	Based on the socio-economic, cultural, religious and demographic qualities of the local community and the incoming workers, is there a possibility that their presence or interaction with the local community could create adverse impacts?	☐	☐	

PART G: LAND ACQUISITION AND ACCESS TO RESOURCES

Will the project?

No	Description	Yes	No	Not Known
1	Require that land (public or private) be acquired (temporarily or permanently) for its development	☐	☐	
2	Use land that is currently occupied or regularly used for productive purposes (e.g. gardening, farming, pasture, fishing locations, forests)	☐	☐	
3	Displace individuals, families or businesses?	☐	☐	
4	Result in temporary or permanent loss of crops, fruit trees and pasture land?	☐	☐	
5	Adversely affect small communal cultural property such as funeral and burial sites, or sacred groves?	☐	☐	
6	Result in involuntary restriction of access by people to legally designated parks and protected areas?	☐	☐	

NOTES

Any activities assigned the environmental category A cannot be funded because the parent project has been assigned the environmental category B; and The screener should determine whether any of the safeguard policies described in the ESMF are triggered by the proposed activity, and if so, appropriate mitigation measures as per the triggered OP should be presented in this section.

GUIDE ON POSSIBLE ACTION TO BE TAKEN

If all the above answers are "No", there is no need for further action and the Environmental category will be "C".

If there is at least one "Yes", an ESIA/ESMP will be required for the sub-project. Approval by relevant authority will be required depending on the impacts.

RECOMMENDED ACTION TO BE TAKEN

(Insert "YES" or "NO" as appropriate)

(i) NO – Minimal or no adverse impacts - Simple ESMP only ……

(ii) YES – Less/minimal adverse and mitigatable impacts (Project report or Partial ESIA)……..…

(iii) YES - Adverse impacts – ESIA required ……..

THIS FORM HAS BEEN COMPLETED BY:

Name: ……..Title: ……

Date: ……..Signature: ……

Approved by

Name: ……..……Title: ……

Date: ……..Signature: ……

ANNEX 2 – Chance Find Procedures

Chance find procedures are an integral part of the project EMMP and civil works contracts. The following is proposed in this regard:
If the Contractor discovers archeological sites, historical sites, remains and objects, including graveyards and/or individual graves during excavation or construction, the Contractor shall:

- Stop the construction activities in the area of the chance find;
- Delineate the discovered site or area;
- Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be arranged until the responsible local authorities or the Ministry of State for National Heritage and Culture take over;
- Notify the supervisor, Project Environmental Officer and Project Engineer who in turn will notify the responsible local authorities and the Ministry of Culture and Tourism immediately (within 24 hours or less);

Responsible local authorities and the Ministry of Culture and Tourism would then be in charge of protecting and preserving the site before deciding on subsequent appropriate procedures. This would require a preliminary evaluation of the findings to be performed by the archaeologists attached to the ministry. The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage, namely the aesthetic, historic, scientific or research, social and economic values.

Decisions on how to handle the find shall be taken by the responsible authorities and the Ministry of Culture and Tourism. This could include changes in the layout (such as when finding irremovable remains of cultural or archeological importance) conservation, preservation, restoration and salvage.
Implementation for the authority decision concerning the management of the finding shall be communicated in writing by relevant local authorities.
Construction work may resume only after permission is given from the responsible local authorities or the Ministry of Culture and Tourism concerning safeguard of the heritage.

ANNEX 3 – Sample ToR for Environmental and Social Impact Assessment (ESIA)

TERMS OF REFERENCE FOR CONDUCTING ENVIRONMENT AND SOCIAL IMPACT ASSESSMENT STUDY FOR PROJECTS UNDER EASTRIP.

Project Background

The World Bank in partnership with East African countries is developing an East Africa regional skills initiative, the East Africa Skills for Transformation and Regional Integration Project (EASTRIP) to support skills development for the Northern Corridor Initiative Project (NCIP) and other mega projects in the region. The Project is expected to be approved by the World Bank board in or around October 2018 and will be implemented in the next five years or so. The Project will be financed with a combination of national and regional IDA credits and IDA grant totaling approximately US$300 million. The EASTRIP initially covers three Eastern Africa countries including Ethiopia, Kenya, and Tanzania but can be expanded to include other countries. The Project's development objective is to increase the access and improve the quality of Technical and Vocational Education and Training (TVET) programs in selected centers to contribute to support regional economic corridors. The objectives and results will be achieved through activities grouped under three components, whereby Component I and II are at national levels and III at regional Level.

The Project will target the development of specialized technical skills in priority sectors including; transportation, energy, agro-processing, light manufacturing, and information and communications technology. Sector focus may differ from country to country depending on country priorities.
The Inter-University Council for East Africa (IUCEA), which is an institution of the East African Community (EAC), responsible for coordination of higher education and research in the EAC has been selected through a competitive process to be the Regional Facilitation Unit (RFU) of EASTRIP. IUCEA) has received funding from the World Bank IDA grant in the form of a Project Preparation Advance (PPA) fund for the establishment and operation of the Regional Facilitation Unit (RFU), and preparatory activities of Component 3 for the EASTRIP initiative.

The project will cover three countries namely, Tanzania, Kenya and Ethiopia. The initial scoping of the proposed project interventions suggests that the potential environmental and social impacts will be minimal to moderate, largely reversible and site-specific due to the nature of the envisioned activities.

Project Description

The proposed East Africa Skills for Transformation and Regional Integration (EASTRIP) involves three East African countries including Ethiopia, Kenya, and Tanzania. The project's development objective is to increase the access and improve the quality of TVET programs in selected Regional TVET Centers of Excellence and to support regional integration. The project supports the development of highly specialized TVET programs at diploma and degree levels for training of technicians and TVET faculty, as well as industry recognized short-term training, targeting regional priority sectors in transport, energy, manufacturing, and ICT. The objective will be achieved through complementary interventions at three different levels—center, national, and regional.

This Project has been assigned the Environmental Category "B", predicated on the premise that implementation of activities under the Project could trigger the Bank's Policies and Operational Policies on Environmental Assessment (BP/OP 4.01). In view of this categorization, the Recipient through its implementing agency is required to prepare site-specific Environmental and Social Impact Assessment (ESIA) that needs to be cleared by the Environmental Protection Authority (EPA) and disclosed in-country and in the Bank's InfoShop.

The project has three components with a series of sub-components namely;

Component 1: Strengthening selected Regional TVET Centers of Excellence for high-quality skills development in priority sectors (US$189 million IDA credit). This component will focus on; strengthening center governance and management, institutionalizing industry links, developing/implementing market relevant and competency-based training programs, Training of school managers and teachers, upgrading key instructional facilities and equipment, and outreaching and support for non-project national TVET.

Component 2: Capacity Building for national TVET Systems (US$21 million IDA credit). This component will focus on; strengthening national TVET quality assurance, capacity building for TVET policy development and implementation, promoting regional integration, National project coordination, and M&E.

Component 3: Enhancing regional collaborative capacity on TVET and project coordination (US$10 million regional IDA grant). This component will focus on; Harmonization of standards and mutual recognition of qualifications for priority occupations, Incubation of a regional TVET technical body for policy research, advocacy, strategy development, and dissemination of good practices, Capacity building for Africa skills competition, Regional project coordination and M&E.

Key Performance indicators
The Project Development Objectives (PDO) will be measured by the following key indicative PDO level indicators:

a) PDO Indicator 1: Increase in student enrollment and completion at flagship TVET institutions in programs aimed at meeting skill needs of priority sectors
b) PDO Indicator 2: Graduates of accredited TVET programs employed in occupations in the priority sectors six months after graduation, and
c) PDO Indicator 3: Increase in number of enrolled students coming from another country in the region.

Objectives of the Assignment

The primary objective of the consultancy is to undertake an Environment and Social Impact Assessment (ESIA) of the projects under EASTRIP in order to ensure compliance with;

(i) The Environmental Impact Assessment Proclamation No 299/2002, and EIA and Audit Regulations
(ii) World Bank's Environmental and Social Safeguards requirements

The ESIA will identify significant environmental and social impacts associated with the proposed projects and recommend appropriate mitigation measures for integration in all phases of the projects cycle. The ESIA will also generate an Environmental and Social Management Plan that describes in detail the mitigation measures to be carried out, the costing, scheduling and responsibility of such measures, and a detailed monitoring process and its schedule.

The Project Management

The overall responsibility for project execution/implementation will be a Project Implementation unit (PIU) at the TVET institution level. At the national level, the Ministry of Education will provide leadership and ensuring effective coordination through the National Project Coordinating Unit (NPCU). A Regional Facilitation Unit (RFU) at IUCEA will provide oversight for project implementation at the regional level.

The method of selection

A Firm/Consortium will be selected on the basis of **Quality and Cost Based Selection** procedures in accordance with the policies of the International Development Association (IDA) detailed Guidelines: Selection and Employment of Consultants by World Bank Borrowers, published in May 2004, and revised in October 2006 and May 2010. A copy of the guidelines can be obtained at the following website: www.worldbank.org/procure.

Scope of the services required for Environment and Social Impact Assessment (ESIA) Consultant

The project scope will include Literature review; detailed and updated description of the project design and proposed implementation schedule, costs, as well as suitable alternative options; an in-depth analysis of the environmental and social baseline conditions; an outline of policy, legal and institutional framework governing the education sector with specific focus on TVET sector; an exhaustive stakeholder (public) consultation; establish details of significant environmental and social impacts associated with the construction, operation, decommissioning and post-decommissioning of the project; recommend appropriate mitigation measures for all adverse environmental and social impacts and develop an environmental and social management plan (ESMP) for all project phases giving actions, responsibilities, cost estimates, timeframes and monitorable parameters.
The consultant shall carry out an Environmental and Social Impact Assessment and prepare Environmental and Social Impact Assessment (ESIA) report in accordance with the Environmental Impact Assessment Proclamation, NO. 299/2002, and respective regulations and World Bank's Environmental and Social Safeguards requirements (OP 4.01).

Specific Tasks of the ESIA consultancy services

The scope of services will include but not be limited to the following:

i. **Task 1. Scoping of Environmental and Social Issues;** As part of the Inception Phase, the Consultant shall undertake scoping of key environmental and social issues with a view to determine the key issues and questions the main environmental study should assess and key issues that might affect the design of the different options. This will include a preliminary analysis of potential key direct and indirect impacts of the Project, environmental and social conditions in the potentially affected areas. The Consultant shall use this as a starting point for further refining the scope of the environmental and social studies through a consultative process.

ii. **Task 2. Literature Review:** The Consultant will be required to undertake desktop study analysis on the available literature on the proposed project and its potential impacts. Literature available to the client shall be provided to the consultant which will serve as a starting point for the consultant to gather Environmental and Social information pertaining the project.

iii. **Task 3. Legislative and Regulatory Framework:** The Consultant shall identify and describe all pertinent regulations and standards (both local and international) governing the environmental quality, solid and liquid waste management, health and safety, protection of sensitive areas, land use control, ecological, and socio-economic issues at the local, national and international levels. Compliance issues should also be stated.

iv. **Task 4. Description of the Baseline Environment:** The Consultant is required to collect, collate and present baseline information on the environmental characteristics of the existing situation. This description will involve:
    a) *Physical environment* (topography, landforms, geology, soils climate and meteorology, air quality, hydrology, etc.).
    b) *Biological environment* (i.e., flora and fauna types and diversity, endangered species, sensitive habitats, etc.).

c) *Social and cultural environment*, (i.e., population, land use, planned development activities, community structure, employment and labour market, sources and distribution of income, cultural properties, etc).

The Consultant is to concisely describe the proposed project; its geographic location; general layout of facilities including maps at appropriate scale where necessary; raw materials; products and by-products; wastes to be generated; project alternatives.

v. **Task 5. Carry out public participation and consultations on the positive and negative impacts of the proposed project:** The Consultant shall carry out a detailed public consultation exercise to collect the views and opinions of stakeholders which will be incorporated in the final report. The Consultant shall organize forums for public participation to enable interested & affected parties to present their concerns and opinions regarding the proposed project. The views of the public will be solicited and incorporated in the main ESIA report. Stakeholders to be consulted will have been identified at the scoping stage. Among others, the following should be consulted: EPA, regional and local Environmental Officers, respective regional leadership (both technical and political), the local communities, and other stakeholders identified during the ESIA process.

vi. Task 6: Analysis of alternatives of the proposed project; The consultant will analyze the proposed project together with public participation and consultations observations and report the project alternatives in accordance with project location, choice of materials and equipment, construction and operation methods and routine maintenance of the proposed project. The consultant will check different options for the proposed project that would maximize the project benefits for the client and advise accordingly**.**

vii. **Task 7. Identify potential environmental and impacts that could result from the proposed project:** The Consultant shall analyse and describe all significant changes expected due to the proposed project. These would encompass environmental, ecological and social impacts, both positive and negative, as a result of interaction between the proposed project and the environment that are likely to bring about changes in the baseline environmental and social conditions discussed in Task 4. The Consultant shall differentiate between short, medium and long-term impacts. During the analysis, the consultant shall consider both biophysical and socio-economic factors that will include but not limited to the impacts of: Population resettlement/relocation; Socio-economic characteristics of the difference target groups near the project; Physical and social infrastructure change; Change in economic activities; Development resources; Removal of structure /sites; Vegetation clearance and disturbance; Effects on flora and fauna; Air quality; Water quality, Improved access; Accident rates; and Visual/aesthetic change.

viii. **Task 8. Identify potential social risks that could result as a result of labour influx:** The Consultant shall analyse and describe all significant potential risks that could result from the influx of labour due to the project. This will include but not limited to labour conflict, gender-based violence, child exploitation, spread of communicable diseases such as HIV/AIDs, illicit behaviour and crime, impacts on community dynamics, etc.

ix. **Task 9. Occupational Safety & Health concerns:** The Consultant shall analyse and describe all occupational health and safety concerns likely to arise as a result of construction and operations of the proposed facility. The Consultant shall make recommendations on corrective and remedial measures to be implemented under the environmental management plan. The Consultant will include emergency/disaster preparedness plans for proposed project.

x. **Task 10. Propose Mitigation Measures to the identified environmental and social impacts.** The consultant shall come up with the feasible mitigation measures for the negative impacts that could result from the proposed project.

xi. **Task 11. Development of Environmental and Social Management Plan to mitigate**

negative impacts: The Consultant shall develop a comprehensive Environmental and Social Management Plan (ESMP). The plan should recommend a set of mitigation, monitoring and institutional measures to eliminate, minimize or reduce to acceptable levels of adverse environmental and social impacts and/or maximize socio-economic benefits. The Consultant shall provide cost outlays for the proposed measures as well as their institutional and financial support.

xii. **Task 12. Development of Environmental and Social Monitoring Plan:** The Consultant will be required to give specific descriptions, and technical details of monitoring measures, including the parameters to be measured, methods to be used, sampling locations, frequency of measurements, and definition of thresholds that will signal the need for corrective actions as well as deliver monitoring and reporting procedures. The Consultant will provide time frames and implementation mechanisms, staffing requirements and cost outlays.

xiii. Task 13: Environmental & Social Impact Assessment Report: The main output shall be an Environmental & Social Impact Assessment Report. The report shall be in the English Language and has to be clear and concise. The report will be in a format acceptable to Environmental Protection Agency (EPA) (or respective Regional EPA or Woreda Environment office) and the client.

Expected Outputs of ESIA

The main output of the ESIA assignment will be an ESIA report for the respective Project. More specifically, the ESIA Report will be expected to include (but not limited to) the following:

- Executive Summary
- Description of the Proposed Project
- Policy, Legal and Administrative Framework
- Baseline Data
- Consultation and Public Participation
- Analysis of Alternatives
- Potential Positive and Negative Environmental Impacts
- Occupational, Health and Safety concerns
- Social issues related to Labour influx, gender based violence, child labour, impacts on local communities where the project will be located
- Proposed Mitigation Measures
- Environmental and Social Management Plan
- Environmental and Social Monitoring Plan
- Gender Management Plan
- Appendices: List of people consulted, Minutes of consultations, other relevant documents related to the study.)

Expected Output

The main outputs of this assignment will be individual ESIAs reports for each of the subproject, prepared in accordance with the World Bank Safeguard Policies (especially OP. 4.01 and other relevant policies) and the EPA EIA and Audit Regulations.

Deliverables, Duration and Timing for Study

The assignment shall be carried out and completed within twelve (12) weeks, from the date of the Contract signing.

a) ***Inception Report;*** The consultant will prepare a report based on the understanding of the terms of reference for the study and the expected deliverables of the assignment. The consultant will prepare a Report after Two (2) weeks of commencing the assignment. The inception report will summarize consultant's initial observations, including the revised

understanding of the terms of reference and the description of the methodology to be used, planned deliverables, including an appreciation of any limitations or constraints and how these will be overcome. The Client shall review the Inception Report and give feedback to the Consultant within one (01) week.

b) ***Draft Environmental and Social Impact Assessment (ESIA) Report;*** The consultant will prepare and present a draft ESIA report to the client for comments within Eight (8) weeks of commencement of the assignment, summarizing the work accomplished, in accordance with the objectives and scope of work as agreed with the client. The Client shall review and comment on the submitted reports within two (02) weeks from the date of report receipt.

c) ***Final ESIA Report;*** The consultant will prepare and submit the Final ESIA Report incorporating all revisions deemed appropriate two (2) weeks after the receipt of the Client's comments on the Draft ESIA report.

The consultant shall submit to the Client four (4) hard copies as well as two (2) CDs containing soft/ electronic copies (in word document and 'pdf' format) of the Final ESIA Report.

The timeframe of implementation of the assignment:

No.	Item	Outputs Vs Payment	Duration
1.	Preparations of inception report	Inception Report (20%)	Two (02) weeks
2.	Review of the Inception Report by the Client	Review comments on the Inception Report	One (01) week
3.	ESIA Study Preparation of the draft Environmental & Social Assessment report	Draft ESIA report (40% payment)	Five (05) weeks
4	Review and Quality Assurance by the Client	Review comments on draft ESIA report	Two (02) weeks
5	Incorporation of review comments & finalisation of the ESIA report	Final ESIA report (40% payment)	Two (02) weeks

Note:
The last 40% payment for the Final Environmental and Social Assessment report shall be paid after submission and ***approval*** of acceptable Environmental and Social Assessment report by EPA (or relevant authority).

Qualification of the Consultant

A suitably qualified and experienced individual consultant with Graduate (Master's level) Degree in Environment, Natural Resources Management or related field and with at least four (04) years of relevant experience or a holder of a Bachelor's Degree in Environment, Natural Resources Management or related field and at-least five (05) years' working experience in environmental and social assessment for development projects, and familiarity with the Federal Republic of Ethiopia Government and World Bank's safeguard policies and procedures. The consultant must be a Registered (Lead Expert) with EPA.

Any Facilities, Services or Resources to be provided by the client

The client will provide the following;

- Relevant materials which will include the relevant safeguards documents such as the ESMF, Aide Memoires, project's progress reports, including the environmental implementation review sections, assessments reports, and the Project Appraisal Documents
- Relevant background documentation and studies;

- Make all necessary arrangements for facilitating the work of the Consultant and to provide access to Project sites, relevant government authorities, and other Project stakeholders.
- Any other information to facilitate the consultant to carry out the assignment.

Communication and Reporting Requirement

All official communications regarding the project work shall be addressed to the Project Manager at the TVET institution. However, the Environmental and Social Safeguards Specialist at PIU shall coordinate the Consultancy and will be the contact persons for day to day running of the assignment.

ANNEX 4 – Summary of Consultation Discussion

ENVIRONMENTAL & SOCIAL MANAGEMENT FRAMEWORK (ESMF) FOR EAST AFRICA SKILLLS FOR TRANSFORMATION AND REGIONAL INTERGRATION PROJECT (EASTRIP) – ETHIOPIA

VIEWS FROM STAKEHOLDERS CONSULTED ON 23RD AND 24TH AUGUST 2018 2016 AT VARIOUS OFFICES IN ADDIS ABABA AND HOLETA TVET POLYTECHNIC COLLEGE, HOLETA.

Agenda

1. Introduction to EASTRIP
2. Presentation of Environmental and Social Management Framework of EASTRIP - ETHIOPIA
3. Feedback from participants
4. Way forward

Present

16 participants were consulted one-one one and others in groups (at Holeta College) as per the attached attendance sheet.

The consultations used a format of introducing the project by the World Bank representative, Mr Biruk Tekle, and the consultant then explained the objectives of ESMF, and then presenting the key finidings of the framework and anticipated impacts.

Views from the participants

Comment/Question/Clarifications	Response
Project benefits	The participants indicated that the projects will improve the much-needed technical skills that are needed by the rapid growth of Ethiopia economy The participants also indicated that the projects will spur economic growth in their areas of influence, especially those located outside Addis Ababa.
Quality of ESIA reports	The EPA, Regional and Woreda representatives raised a concern of poor quality documents they have been receiving at their offices for approval. They advised the project to ensure they hire competent experts to conduct their ESIAs.
Poor Implementation of ESMPs during construction	The stakeholders noted that there has been weak implementation of mitigation measures as directed in the ESMPs by the contractors during construction. They noted that most contractors do not quote for mitigation measures and therefore have not budget to implement ESMPs. The consultant informed the participants that the World Bank new requirements is that the contractor is held contractually by signing a CESMP which is embedded in the contract to take full responsibility of

Comment/Question/Clarifications	Response
	implementing the ESMPs. Failure to implement the ESMPs now can lead to dismissal of the contractor
Environmental risks	The key areas of concerns the EPA and Woreda officials noted based on their experience is air, noise and water pollution. They advised that these areas will require critical monitoring during project implementation
Social risks	The participants informed the consultant that it will be important for the contractors to use as much labour as possible. They noted that there is a high unemployment rate in areas where the projects will be located, especially for the youth. They therefore recommended the local youth to be considered first in employment during project implementation.
Capacity building and training The participants acknowledged that most of the participating institutions lacked trained environmental and social specialists who have the experience of managing safeguards, most of them not having undertaken World Bank financed projects	The EPA indicated that they have noted most institutions do not have capacity to implement safeguards at the institutional levels. This was confirmed by Holeta college representatives who indicated that training and capacity building will be necessary for successful implementation of safeguards during construction. The participants were informed that as part of the ESMF management and monitoring, capacity building and training will be carried out for the project implementation unit (PIU) and National project coordinating team (NPCU) staff on safeguards management. The project will also conduct training for contractors who will be undertaking the projects during construction. It was also highlighted that the ESIA and ESMP implementation will be part of the contract within the main contract documents with the contractors.
	Next Steps After presentation, the participants were informed that the ESMF document will be completed and as per the requirements of the country laws and World Bank guidelines, the document will be disclosed on the Ministry of Education website and World Bank infoshop. The consultant assured the participants that the issues discussed will be taken into consideration in the ESMF and in the overall project design to ensure proper environmental and social safeguard considerations are put in place especially during project construction period. He reminded them to ensure the ESMF is used as a tool during preparation of the ESIAs for each subproject.

ANNEX 5 – Consultations List of Attendants

EAST AFRICA SKILLS FOR TRANSFORMATION AND REGIONAL INTEGRATION PROJECT (EASTRIP)

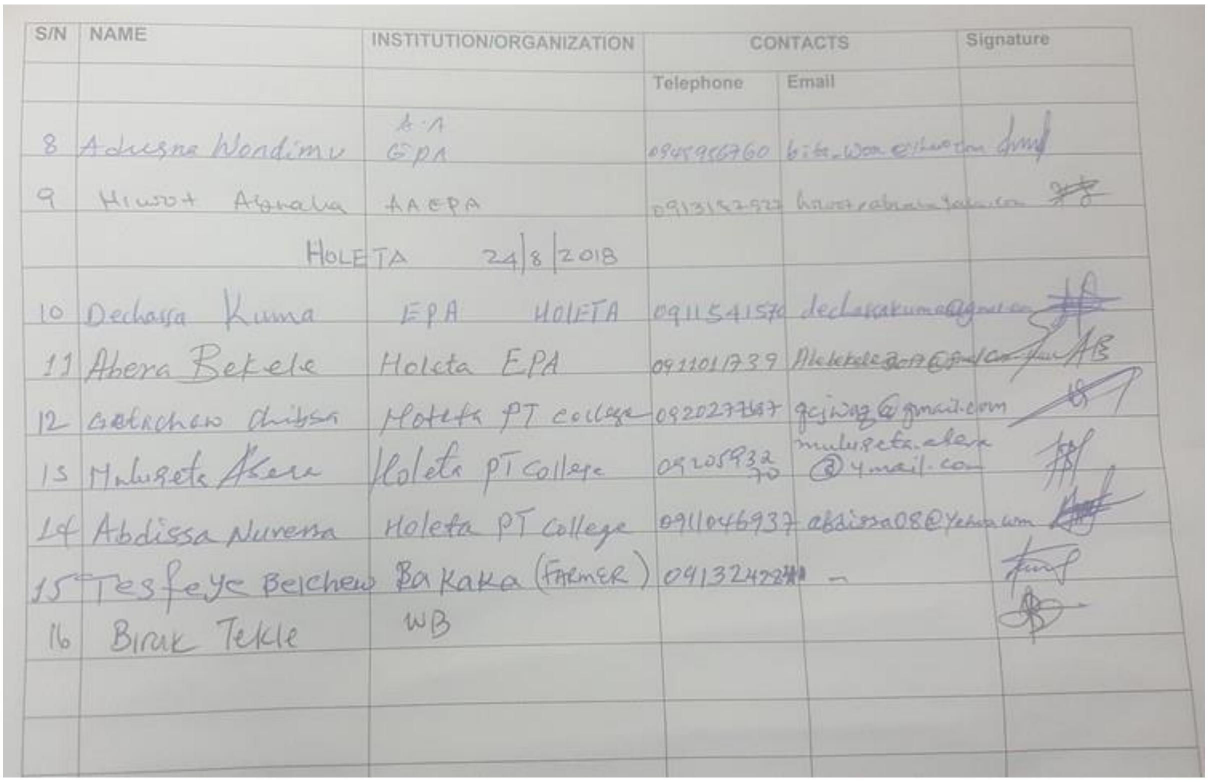
ESMF CONSULTATIONS WORKSHOP

VENUE ADDIS ABABA (various) and HOLETA

Date 23rd and 24th AUGUST 2018

ATTENDANCE LIST

S/N	NAME	INSTITUTION/ORGANIZATION	CONTACTS		Signature
			Telephone	Email	
1	Mama Githugi	Consultant EASTRIP	+254724527506	[illegible]	[signature]
2	Fenesgen Kebebew	MOE - Gender Directorate	0931-528699	lemessa.219@yahoo.r	[signature]
3	Getahun Debalepa	MOE - planning & Resource mob.	0911566975	getahundo@yahoo.com	[signature]
4	Leake Tesfahunegn	MOEFCC - EIA Expert	0960703716	leaketes@gmail.com	[signature]
5	Alemayehu w/Kirkos	MOE - special Needs team Leader	0911360349	alemsne@gmail.com	[signature]
6	Said Abdella	A.A. Env. Prot. Authority	0911375728	oosman1994@yahoo.com	[signature]
7	Bayu Tolosa	" "	0938943931	tolosabayou@yah..	[signature]
8	ALEMI ASEFA	" "	0920530124	[illegible]@Yahoo.com	[signature]



S/N	NAME	INSTITUTION/ORGANIZATION	CONTACTS		Signature
			Telephone	Email	
8	Adugna Wondimu	A.A EPA	0945956760	[illegible]	
9	Hiwot Abraha	AAEPA	0913152927	[illegible]	
	HOLETA 24/8/2018				
10	Dechassa Kuma	EPA HOLETA	091154157[illegible]	[illegible]	
11	Abera Bekele	Holeta EPA	0911011739	[illegible]	
12	Getachew Chibsa	Holeta PT college	0920277[illegible]	[illegible]@gmail.com	
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16	Biruk Tekle	WB			