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የከተማና መሠረተ ልማት ሚኒስቴር
THE FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA
MINISTRY OF URBAN AND INFRASTRUCTURE

ቁጥር 952 00250/85
Ref. No
ቀን 15/05/2017
Date

በአባሪ ዝርዝር
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ጉዳዩ፡ የገጠር ትስስርና ተደራሽነት ለምግብ ዋስትና ፕሮግራም (Rural Connectivity for Food Security Program) **Environmental and Social Management System Guideline (ESMSG) ስለመላክ፡፡**

በከተማና መሠረተ ልማት ሚኒስቴር አስተባባሪነት ከዓለም ባንክ በተገኘ ድጋፍ የገጠር ትስስርና ተደራሽነት ለምግብ ዋስትና ፕሮግራም (Rural Connectivity for Food Security Program) በሁሉም ክልሎችና ድሬደዋ ከተማ አስተዳደር ተግባራዊ እንዲደረግ በፕሮግራሙ ከተካተቱና ትኩረት ተሰጥቶባቸው እንዲዘጋጁ ቅድሚያ ከተሰጣቸው ሰነዶች መካከል የEnvironmental and Social Management System Guideline (ESMSG) አንዱ መሆኑ ይታወሳል፡፡

ይህንን ተከትሎ ፕሮጀክቶቹ ከዲዛይን ጀምሮ እስከ ግንባታ ድረስ ከአካባቢ እና ማህበረዊ ተጽዕኖ የጸዱ እንዲሆኑ ለማድረግ እንዲቻል ከዓለም ባንክ ጋር መግባባት የተደረሰበትና የፀደቀውን የEnvironmental and Social Management System (ESMS) Guideline 83 ገፅ ከዚህ ደብዳቤ ጋር በአባሪ አያይዘን የላክን መሆኑን እያሰወቅን፣ የተዘጋጀውን ሰነድ በሁሉም ፕሮግራሙ ፕሮጀክቶች እና ወረዳዎች ላይ የአካባቢ እና ማህበረዊ ተጽኖ ተግባራት ስርዓት እንዲዘረጋና ተግባራዊ እንዲደረግ እናሳውቃለን፡፡

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  ከ.መ.ል.ሚ

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በአባሪ ዝርዝር

- **ለኦሮሚያ ብሔራዊ ክልላዊ መንግስት**
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- **ለአማራ ብሔራዊ ክልላዊ መንግስት**
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- **ለደቡብ ምዕራብ ኢትዮጵያ ህዝቦች ክልላዊ መንግስት**
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Ministry of Urban and Infrastructure

Federal Democratic Republic of Ethiopia
Ministry of Urban and Infrastructure

ETHIOPIA RURAL CONNECTIVITY TO SUPPORT FOOD SECURITY PROGRAM (RCSFSP) - (P176303)
IDA Grant E308-ET

ENVIRONMENTAL AND SOCIAL MANAGEMENT SYSTEM GUIDELINE (ESMSG)

DRAFT

January 2025
Addis Ababa

Table of Contents

I. ABBREVIATIONS AND ACRONYMS

AADT	Annual Average Daily Traffic
ADR	Alternatives Dispute Resolution
AM	Accountability Mechanism
APA	Annual Performance Assessment
APAG	Annual Performance Assessment Guideline
APA	Annual Performance Assessment
ATI	Agricultural Transformation Institute
CHS	Community Health and Safety
CMI	Construction Management Institute
COC	Code of Conduct
CRMP	Cultural Resource Management Plan
DLI	Disbursement Linked Indicators
DR	Dispute Resolution
DRM	Disaster Risk management
DRMS	Disaster Risk Management System
EFY	Ethiopian Fiscal Year
ECA	Ethiopian Construction Authority
EHS	Environmental, Health, and Safety
EMP	Environmental Management Plan
EPA	Environment Protection Authority
EPACC	Ethiopian Program of Adaptation to Climate Change
ERA	Ethiopian Roads Administration
ES	Environmental and Social
E&S	Environmental and Social
ESA	Environmental and Social Assessment
ESIA	Environment and Social Impact Assessment
ESMG	Environment and Social Management Guidelines
ESMP	Environment and Social Management Plan
ESMS	Environmental and social Management System
ESMSG	Environmental and Social Management System Guidelines
ESSA	Environmental and Social Systems Assessment
ESS	Environmental and Social Standards
FDRE	Federal Democratic Republic of Ethiopia
FEACC	Federal Ethics and Anti-Corruption Commission
FPCO	Federal Project Coordinating Office
FPCO	Federal RCSFS Coordination Office
FSC	Federal Steering Committee
FSRP	Food Systems Resilient Project
FTC	Federal Technical Committee
GBV	Gender Based Violence
GHG	Green House Gas
GoE	Government of Ethiopia
GRM	Grievance Redress Mechanism
IDA	International Development Association
IPF	Investment Project Financing

ILO	International Labour Law Organization
MoF	Ministry of Finance
MUI	Ministry of Urban and Infrastructure
NGOs	Non-Governmental Organizations
OHS	Occupational Health and Safety
PAP	Program Action Plans
PAPs	Project Affected Persons
PCO	Project Coordinating Office
PforR	Program for Result
PIM	Program Implementation Manual
PIU	Program Implementation Unit
PPE	Personal Protective Equipment
RCAP	Rural Connectivity and Access Program
RCSFS	Rural Connectivity to Support Food Security
RCSFSP	Rural Connectivity to Support Food Security Program
REACC	Regional Ethics and Anti-Corruption Commission
REPA	Regional Environmental Protection Agency/Authority
RoW	Right-of-Way
RPCO	Regional Projects Coordinating Offices
RPPAs	Regional Public Procurement Agencies
RRE	Regional Road Entities
RSC	Regional Steering Committees
SLMP	Sustainable Land Management Project
STDs	Sexually Transmitted Diseases
TA	Technical Assistance
ToR	Terms of Reference
URRAP	Universal Rural Roads Access Program
VAR	vent-area ratio
VLD	Voluntary Land Donation
VLDP	Voluntary Land Donation Protocol
WB	World Bank
WROs	Woreda Road Offices
WSC	Woreda Steering Committee

II. EXECUTIVE SUMMARY

The Ministry of Urban and Infrastructure (MUI) has introduced the Ethiopia Rural Connectivity to Support Food Security (RCSFS) Operation with a Program-for-Results (PforR) for the IDA Grant E308-ET financing instrument at the regional levels and an Investment Project Financing (IPF) instrument at the Federal level. The PforR program of the Rural Connectivity to Support Food Security Operation will provide Performance Grants (PGs) for investments in woreda road construction, woreda road maintenance, trail bridge construction, approach road construction, and special structure construction, and institutional development and capacity building for 12 regional states and Dire Dawa city administration, 128 Woredas Road Entities, MUI, Ethiopian Roads Administration (ERA), Construction Management Institute (CMI), Ethiopian Construction Authority (ECA), Agricultural Transformation Institute (ATI) and other federal & regional agencies.

The IPF projects of the operation will strengthen digital agricultural markets and capacity building focusing on piloting E-market platforms and capacity building at the federal, regional, and Woreda levels. The project will have two windows. The first window will test innovative approaches to strengthen linkages between suppliers and buyers through a digital market platform. The second window will enable the Ministry of Urban and Infrastructure (MUI) to manage and coordinate the overall operation and to provide capacity and technical assistance support to the regions and Woredas during implementation.

The RCSFS will be implemented over a period of 5 years (April 1st 2024 to March 31st, 2029.), with four rounds of performance-based grant allocations: EFY 2018 (2025/26), EFY 2019 (2026/27), EFY 2020 (2027/28), and EFY 2021 (2028/29).

This Environmental and Social Management System (ESMS) Guideline is to be used by all Regional Road Entities (RREs) to ensure that all environmental and social issues are adequately addressed and that the relevant capacity and training needs are established in order for the recommended measures to be implemented effectively. The main purpose of the ESMSG is to:

- Establish clear procedures and methodologies for the environmental and social assessment, review, approval and implementation of construction works to be financed by the RCSFSP.
- Specify appropriate roles and responsibilities, and outline the necessary reporting procedures, for managing and monitoring environmental and social concerns related to program's component construction works.
- Provide practical information resources for implementing the ESMS Guideline.

The ESMS Guideline and its subsequent safeguard instruments will be disclosed on the MUI official website and publicly presented in Regional Road Entities, Wereda Road Offices prior to the program activities appraisal for public opinions.

a) PROGRAM SCOPE AND COMPONENTS

The Program encompasses the following components: Under Component one; upgrading/construction of 7,554 Km of Woreda road and Maintenance of 10,071 Km of Woreda roads, Component three; construction of 373 pedestrian suspension crossings (Trail Bridges) and

Construction of 746 Km of Approach Roads, Component four; construction of 715 special structures (pipe culverts, box culverts, bridges).

This program targets roads characterized by Annual Average Daily Traffic (AADT) of 75 vehicles or fewer per day, commonly referred to as "low volume" roads. These roads will be designed and implemented according to the Design Class DC2 road standards, ensuring they meet the necessary specifications for durability and performance.

b) ORGANIZATIONAL RESPONSIBILITIES FOR RCSFSP IMPLEMENTATION

The institutional arrangement and implementation of the Rural Connectivity to Support Food Security Program will be fully streamlined into the existing government structure at the Federal, Regional and Local levels and will use the framework that is being used for implementation of first and second URRP projects. Overall RCSFSP management will be led by the Ministry of Urban and Infrastructure (MUI) at the federal level and National Regional States and the Dire Dawa City Administration, including responsibilities to implement environment and social risk management, as defined in various regulations, laws, manuals and procedures.

As indicated above the MUI will be the lead implementing agency, with a Federal Program Coordination Office (FPCO) which is responsible for daily coordination of the operation. Infrastructure Development Division State Minister under MUI is responsible to oversee and guide the work of the RCSFS Program. MUI will prepare Memorandum of Understanding (MoU) to be signed with implementing organization, relevant sectors and regions. The FPCO will have expertise in the various Program focus areas, including 1 Environmental Specialist, 1 Social Specialists, and newly introduced areas on gender equity and Disaster Risk Management (i.e., 1 Gender Specialist and 1 DRM Specialist). The RCSFS Program Manager will report to and act under the direction of the MUI. MUI will be directly responsible for the following activities:

- MUI works with and through regional governments and local governments.
- MUI is mandated to establish the Federal RCSFS Coordination Office (FPCO) with all necessary managerial, technical and supporting staffs in consultation with development partners and implementing organizations.
- MUI is also responsible for FPCO and Regional PCOs human resource, finance, procurement, contract administration, and asset management.

Similar to the arrangements at the federal level, the RCSFS coordination involves the same institutions at the regional level and is expected to support the Woredas involved in the implementation of the program. The regional steering committee is expected to approve the RCSFS's overall plans and budgets at regional level. The RREs is required to oversee the implementation of the program in collaboration with relevant Bureaus such as Woreda Road Offices (WROs), Bureau of Finance and with all key project implementing partners.

c) RELEVANT POLICY, LEGAL AND INSTITUTIONAL FRAMEWORK OF ENVIRONMENTAL AND SOCIAL MANAGEMENT

The principal relevant laws and policies of the Republic of Ethiopia for the purposes of this

ESMS are:

- **Constitution (1995)**
- **Environmental Policy of Ethiopia** (1997)
- **Environmental Proclamation, Regulation and Guidelines Relevant to this project**
  - ✓ Proclamation 295/2002, Establishment of Environmental Protection Organs
  - ✓ Proclamation 299/2002, Environmental Impact Assessment
  - ✓ Proclamation 300/2002, Environmental Pollution Control
  - ✓ Proclamation 513/2007, Solid Waste Management
  - ✓ Proclamation No. 1156/2017, Labour
  - ✓ Proclamation No. 209/2000: Research and Conservation of Cultural Heritage
  - ✓ ESIA Directive 1/ 2008, Directive to Determine Projects Subject to Environmental Impact Assessment
  - ✓ ESIA Guideline, July 2000
  - ✓ Proclamation No. 661/2009 Food, Medicine and Health Care Administration and Control
- **Climate Resilient Green Economy** (CRGE, 2011)

Ethiopia: National Policy and Strategy on Disaster Risk Management (2013)

d) ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS OF THE PROGRAM

RCSFS Program Environment and Social Risk Rating

The overall ES risk of the Program is rated as "Substantial", both environmental and social risks being Substantial. The Program is expected to have a range of socioeconomic benefits including increased access to markets for local produce and products, employment of local workers on the Program activities, better access to health care and other social services, etc. However, the proposed Program investments such as construction of woreda roads to enhance rural accessibility; and construction of trail bridges, approach roads, and special structures can have significant environment, social, health and safety risks and also impacts if their appropriate identification and management is not put in place. The Program E&S risk rating was assessed considering criteria like Likely ES Effects, Contextual Risk Factors, Institutional Capacity and Complexity Risks and Political and Reputational Risks.

e) PROCEDURE FOR SCREENING AND DEVELOPMENT OF ES INSTRUMENTS

This ESMS requires that each RCSFSP project or activity proposed by the regions be screened for environmental and social risks and impacts using the Screening Checklist provided in Annex C. The screening will take place before RCSFSP projects approval and will determine the subprojects categories based on the national ESIA directives to determine projects subject to environmental and social impact assessment by the Government of Ethiopia (GoE). ESMP/ESIA studies will be guided by the GoE ESIA guideline. The Screening and follow-up ESIA study will yield an Environmental and Social

Management Plan (ESMP) which will be reviewed and approved by Regional Environmental Protection Authorities (REPAs). Upon approval by REPAs, the ESMP will guide resolution of all potential environmental and social impacts likely to be identified for each subproject or activity of RCSFSP.

Once implementation of the RCSFSP project has started, regular supervision missions should be carried out by the RREs' ES specialists and WROs Environmental Focal Persons, and also Environmental Specialists at federal level.

Stages of Environmental and Social Assessment

The main ten steps of environmental and social assessment are listed as follows:
Step 1 Initial Preparation and Consultations
Step 2 Project Identification
Step 3 Project Preparation (Study and Design)
Step 4 ES Screening
Step 5 Review and Approval of ES Screening Report by Environmental Protection Agencies
Step 6 Preparation of ES Instruments
Step 7 Review and Approval of ES Instruments by Environmental Protection Agencies
Step 8 Integration of ES Instruments in Design, Procurement and Contract Documents
Step 9 Implementation and Supervision
Step 10 Annual ES Reports and Audits

f) TRAINING AND CAPACITY BUILDING

One of the capacity building areas sought by the rural connectivity to support food security program is the provision of training. The training to be offered will address different target groups which will have a role in implementing the ESMS. During the assessment period, the ESSA team identified the existing technical capacity on environment, social and safety management practices as well as preparation and implementation of instruments at regional and district level is limited. Therefore, provision of an induction before the commencement of each activity and a consecutive on job training throughout the program implementation period are vital to ensure the capacity of implementing parties at all levels are at acceptable level.

Training to RREs project officers, safeguard specialists, and line agency staff at the RREs and WROs level on environmental, social and safety risks management is required in the form of a phased training. This general training and awareness/sensitization program will be developed as a training module. The training will specifically aim to build awareness and sensitize a broad audience, particularly RREs staffs, program managers, and woreda professional staffs to the requirements and key aspects of ESMS.

The primary emphasis of capacity building initiatives will be the three tiers of government: Federal, Regional, and Woreda Road Offices (WROs). MUI in collaboration with ERA and CMI along with centers of excellence in environmental and social management, capacity building trainings will provide for environmental and social management professionals and focal persons at each level.

g) MONITORING OF THE ESMS

Monitoring of the compliance of the RCSFS projects implementation with the mitigation measures set out in their ESMPs will be carried out by responsible RREs/RPCOs ES specialists and WROs ES focal persons for environmental and social management. RREs (RPCOs) ES specialists and WROs ES focal persons carry out this monitoring by regularly visiting the projects, and pursuing corrective measures, as required. Once implementation of the program has started, regular supervision missions should be carried out by RREs (RPCOs) safeguard specialists and WROs safeguard focal persons responsible for the project. Monthly, quarterly and annual environmental and social reports must be submitted to the Regional Environmental Protection Authorities (REPAs) and MUI (FPCO).

ESMS implementation will also be supported by conducting annual environmental and social performance audits (including audit of implementation of ESMPs) by REPAs. The REPAs shall submit the audit findings for RREs for their correction and MUI for their required actions. The MUI will submit the program's safeguard implementation report and audit findings to the World Bank for review.

1. INTRODUCTION

The Transport Sector 10-Year Perspective Development Plan (2021 – 2030), launched by the GoE in early 2021, identifies focus areas and six goals as follows: Goal 1, Ensuring the fairness and accessibility of the transport infrastructure; Goal 2, Making the transport service integrated, fair and accessible; Goal 3, Creating a safe transport service; Goal 4, Making the logistics service efficient and reliable; Goal 5, Creating a climate resilient transport infrastructure and services; and Goal 6, Increasing the efficiency of the sector by building implementation and enforcement capacity. The 10-year plan Rural Connectivity and Access Program (RCAP) comprises rehabilitation and upgrading of existing roads, including rural roads and heavy maintenance of roads.

The Ethiopian Rural Connectivity to Support Food Security Program (ERCSFSP) will contribute to the implementation of the RCAP, which is part of the GoE's Transport Sector's 10-year perspective development plan (an updated version of the previous URRAP). URRAP was one of the primary road sector programs with important goals implemented in Growth and Transformation Plans, GTP I and GTP II. With this road development program, it was possible to significantly improve the road sector performance both in terms of coverage and quality. Its implementation led to the construction of more than 50 thousand km of all-weather roads. Moreover, the program created opportunities for technology transfer, jobs creation and impetus in other sectors, especially in agriculture, manufacturing, and business formation.

However, the goal of linking every rural community to a main road has not yet been fully realized. Road connectivity year-round plays an important role in rural communities by improving accessibility to basic social services and economic opportunities, and in this way can contribute to reducing poverty and enhancing social inclusiveness / social cohesion / social wellbeing of those rural communities. The achievement of this goal is a key reason the Government has launched this successor program of RCAP.

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The IPF projects of the operation will strengthen digital agricultural markets and capacity building focusing on piloting E-market platforms and capacity building at the federal, regional, and Woreda levels. The project will have two windows. The first window will test innovative approaches to strengthen linkages between suppliers and buyers through a digital market platform. The second window will enable the Ministry of Urban and Infrastructure (MUI) to manage and coordinate the overall operation and to provide capacity and technical assistance support to the regions and Woredas during implementation.

The RCSFS will be implemented over a period of 5 years (April 1st, 2024 to March 31st, 2029), with four rounds of performance-based grant allocations: EFY 2018 (2025/26), EFY 2019 (2026/27), EFY 2020 (2027/28), and EFY 2021 (2028/29).

This ESMS Guideline is to be used by all RREs/RPCOs in order to ensure that all environmental and social issues are adequately addressed and that the relevant capacity and training needs are established in order for the recommended measures to be implemented effectively. The main purpose of the ESMSG is to:

- Establish clear procedures and methodologies for the environmental and social assessment, review, approval and implementation of construction works to be financed by the RCSFSP.
- Specify appropriate roles and responsibilities, and outline the necessary reporting procedures, for managing and monitoring environmental and social concerns related to program's component construction works.
- Provide practical information resources for implementing the ESMS Guideline.

Public Disclosure

For RCSFS program, the Government of Ethiopia procedures require that the ESMSG is prepared and publicly disclosed prior to program appraisal. This allows the public and other stakeholders to comment on the possible environmental and social risks and impacts of the project, and particularly on measures and plans to prevent or mitigate any adverse environmental and social impacts. To this end, this document will, when agreed between the MUI, and the Environmental Protection Authority (EPA), be publicly released through the MUI, and in public locations in cities prior to project appraisal. Likewise, subsequent ESIAs, ESMPs and other ES instruments will be disclosed in the same manner prior to start of the physical work.

2. DESCRIPTION OF RURAL CONNECTIVITY TO SUPPORT FOOD SECURITY PROGRAM

2.1. Program Objective

The Program Development Objective (PDO) is to enhance the climate resilient accessibility of target populations to food markets and services; and strengthen the institutional capacity for rural roads management.

The program's aims to interconnect with rural communities as well as isolated areas during all seasons and weather and to improve rural living standards by increasing access to markets and social and economic services. In order to achieve this objective, the following sub-objectives are included: (i) link rural community centers to the nearest main roads to interconnect villages and areas with economic and social potential; (ii) connect rural areas that have become isolated due to geographic reasons or climate impacts; (iii) solve crossing problems in lowland areas that are regularly affected by climate impacts, and (iv) strengthen policy, institutional and strategic frameworks that support the provision of climate resilient rural roads, including strengthening rural road maintenance management.

In addition to the above overarching objectives, the program aims at contributing to other cross-cutting objectives. This includes improving road safety, building resilience of the rural road network and of the communities served to natural disasters and climate change impacts, mainstreaming gender, extending the service life of the rural road assets through best practice asset management practices and sustained maintenance and deepening institutional reforms in the rural roads sector.

The PDO indicators are:

- Improved climate resilience and all-season connectivity assets constructed and operationalized: (a) upgraded rural road assets (kilometer); (b) new trail bridge assets (number); and (c) new special structures (number).
- Rural population that benefits from improved access to sustainable transport infrastructure and services (number, of which female).
- Enhanced readiness of Regional Roads Entities (RREs) for initiating program implementation complying with minimum eligibility conditions (number).

The operation is anchored around three sets of key results areas uniting the PforR and the IPF components:

a) Institutional development and capacity building
b) Climate resilient rural accessibility
c) Longevity and sustainability of investment.

The investments under the IPF will strengthen food and agriculture markets and institutional capacity.

2.2. Program for Results Operation Rationale

The operation will be financed through a Program-for-Results (PforR) instrument and Investment Project Financing (IPF) component. In general, the PforR will focus on the transport sector and roads portion of the operation (US$250 million), while the IPF component will focus on strengthening digital

agricultural markets and institutional development and capacity building (US$50 million). The PforR financing is suitable given that: (i) the Program will support an existing government program in infrastructure; (ii) the instrument allows flexibility for advancing delivery while ensuring compliance with country systems for fiduciary and environment and social standards requirements using disbursement linked indicators, and Program Action Plan; (iii) the instrument builds government capacity to deliver and sustain its infrastructure at all levels (from federal to regional to Woreda levels) without the need for oversight at the transaction level and also helps improve corporate governance, autonomy, and accountability; and (iv) the rural roads program entails multiple dispersed projects for which the use of an IPF would entail high transaction costs for both the World Bank and the Government.

The PforR financing instrument will support the road sector's 10-year development plan in general, and the Rural Connectivity and Access Program (RCAP) in particular. Through a long-term partnership, the World Bank has supported the road sector in Ethiopia with time-tested strengthening of technical, fiduciary, and environment and social capacities. Previous operations have used IPF financing with a focus on the oversight of specific investments, given the initial limited capacity and the need to ensure compliance with fiduciary and environment and social requirements. The capacity of ERA has improved dramatically and its ability to deliver its road sector program following the existing systems is at a level that justifies a transition towards a result-based engagement. Since the rural roads and bridges targeted for intervention are at the lower functional classification levels under the RREs and Woredas, the Program envisages the active participation of MUI and ERA as oversight and technical support entities to ensure program results are achieved in a satisfactory manner.

The IPF component of the operation (project) will strengthen digital agricultural markets and institutional development and capacity building focusing on piloting E-market platforms and on institutional development and capacity building at the federal, regional, and Woreda levels. The project will have two windows. The first window will test innovative approaches to strengthen linkages between suppliers and buyers through a digital market platform through ATI. This platform is designed to revolutionize market access for market actors in the agricultural value chain. The platform acts as a central hub, fostering direct connections between producers and potential buyers at domestic and international markets, improving efficiency and transparency throughout the marketing process.

The platform will empower smallholder farmers with market access through an integrated digital ecosystem. This ecosystem will comprise a user-friendly digital marketplace platform which is designed to link producers with domestic and international potential buyers without the involvement of intermediaries. Its main aim is to improve market access for smallholder farmers by facilitating an alternative market outlet through, linking them directly with potential buyers across the country and around the world, and providing accurate, timely and relevant market-related advisory services including market price, climate impacts and response. It will also be linked to a National Market Information Systems (NMIS) initiative which currently has extensive experience in collecting weekly market data on 19 commodities from 311 marketplaces and disseminating the validated information to all users across the country in different local languages via IVR 6077 short codes, web (www.nmis.et).

2.3. Program Beneficiaries

The implementation of a digital market linkage platform for agricultural commodities is expected to benefit a wide range of actors within the agricultural sector in the country. Here are some of the key beneficiaries:

a. Producers

The digital market linkage platform for agricultural commodities in the country is designed to be a game-changer for producers, particularly those located in remote areas. The platform can bypass the traditional middlemen, connecting producers directly with potential buyers in both domestic and international markets. This not only empowers producers with greater control over their products but also translates to potentially higher profits. Furthermore, the platform provides real-time market data, acting as a transparent window into current pricing trends. In addition, it provides this valuable market related information, farmers can make informed decisions about when and where to sell their produce, maximizing their earning potential. This increased access to new markets, especially for geographically isolated farmers, opens doors to a wider customer base and a more stable income. Ultimately, the platform empowers farmers by giving them the tools and knowledge to navigate the agricultural market with greater confidence and success.

b. Traders, Institutional buyers and Aggregators

They can benefit from the platform by increasing efficiency, the platform can streamline the trading process, reducing time and costs associated with finding buyers and sellers. The platform can also benefit them by reducing the information asymmetry through providing reliable data on supply and demand, which can help them to make better decisions about sourcing and pricing.

c. Consumers

Consumers can benefit from the platform with access to fresh, high-quality produce and connect them with farmers who are using the best practices. Besides, consumers can get competitive pricing for commodities they are looking to buy with increased competition among traders which can lead to lower prices for them. The platform can provide consumers with information about the origin of commodities.

d. Other stakeholders

Beyond farmers, traders, and consumers, the platform can also be a valuable tool for policymakers to understand market trends and develop better agricultural policies. Researchers can use the platform to gather data on agricultural markets, and financial institutions can leverage it to improve financial services for smallholder farmers.

2.4. Program Coverage

In order to identify program woredas and kebeles, equitable selection criteria that consider different parameters has been used. The following parameters are identified to be criteria for selecting woredas:

- **Woreda Population**: For densely populated regions such as Tigray, Amhara, Oromia, Central Ethiopia, Sidama, Southern Ethiopia, Harari, and Dire Dawa greater than 100,000 people. For sparsely populated regions such as Somali, Benishangul Gumuz, Gambella, Southwest Ethiopia and Afar greater than 50,000 people.
- **Highly Potential for Agriculture Production**: Woredas with marketable surplus production, high potential for food crops, cash crops, horticulture production and alignment with Food Systems Resilient Project (FSRP) as well as with Livelihood Resilience Project (LLRP).
- **Woredas with Low Road Density**: Woredas not connected with URRAP, regional road programs and other program interventions.
- **Topography and Terrain Conditions**: Suitable topography for construction of low volume roads, for the use of intermediate mode of transport, areas that require special structures and trail bridges.
- **Availability of Private Institutions**: Existence of competent cooperatives, unions and private investors/organizations to overtake agriculture commodity market hub and market service to the farmers based on agreement with the government.

Table 1. Woreda Selection Criteria and Weightage

Indicator 1- Woreda Population (35% weightage)	
Assigned Point	**Narrations**
1	Low Woreda's population in the region
2	Medium Woreda's population in the region
3	High Woreda's population in the region
Indicator 2- High Potential for Agriculture Production (30% weightage)	
Assigned Point	**Narrations**
1	Woredas with lowest surplus crop & cash crop production potential
2	Woredas with medium surplus crop & cash crop production potential
3	Woredas with highest surplus crop & cash crop production potential
Indicator 3- Woreda with Low Road Density (20% weightage)	
Assigned Point	**Narrations**
1	Few no of kebeles are connected in the Woreda
2	Medium no of kebeles connected in the Woreda
3	High no of kebeles connected in the Woreda
Indicator 4- Topography and Terrain Condition (8% weightage)	
Assigned Point	**Narrations**
1	Woredas with escarpment terrain (for road) Woredas with few gorges or rivers (for trail bridge /special structure)
2	Woredas with mountainous terrain (for road) Woredas with medium number of gorges or rivers (for trail bridge /special structure)
3	Woredas with rolling terrain (for road) Woredas with lots of gorges or rivers (for trail bridge /special structure)
4	Woredas with flat terrain (for road)
Indicator 5- Availability of Private Institutions (7% weightage)	
Assigned Point	**Narrations**
1	Small no of private institution (for Agro logistics)
2	Medium no of private institution (for Agro logistics)
3	High no of private institution (for Agro logistics)

Regional administrations are responsible for the selection of beneficiary woredas, and project sites based on their respective needs. To this effect, regions selected woredas on the basis of the above criteria and number of woredas and resource allocation were determined on the basis of FDRE House Federation approved "The Federal General-Purpose Grant Distribution Formula 2017/18 - 2019/20" and EFY 2016 Federal Budget proclamation. The 128 woredas that are targeted at participating in RCSFSP are listed below.

Table 2. RCSFS Program Woredas Distribution across Regions

Regions	Number of RCSFSP Woredas
Tigray	8
Afar	5
Amhara	28
Benishangul Gumuz	3
Somali	12
Oromia	35
Gambela	3
South West Ethiopia	6
South Ethiopia	9
Central Ethiopia	8
Sidama	7
Harari	1
Dire Dawa	1
Total	**126**

The table below provides a list of program woredas.

Table 3. RCSFS Program Woredas

Oromia region RCSFS program woredas (35 woredas): Bale Gasagar, Limu Bilbilo, Gedeb Asasa, Kofale, Agarfa, Sinana, Gindhir, Gololcha, Moyale, Yabello, Liban, Odo Shakiso, Bule Hora, Karcha, Gurawa, Meta, Gamachis, Habro, Chora, Diddesa, Darimu, Alge Sachi, Goma, Limu Kosa, Gumbichu, Sululta, Wuchale, Amaya, Nono, Wayu Tuka, Gutu Gida, Babo Gambel, Sayo, Gidami, Jardaga Jarte
Amhara region RCSFS program woredas (28 woredas): Shibel Berenta, Goncha Siso Enese, Jabi Tehnan, Dega Damot, Tegede, Lay Armachiho, Quara, Metema, Ayehu Guagsa, Jawi, Fogera, Tach Gaint, Telemt, Beyeda, Raya Kobo, Habru, Qalu, Dessie area, Dihana, Ziquala, Moretna Jiru, Ankober, Jale Timuga, Aretuma Farsi, Semien Achefer, Semien Mecha, Tsegede, Welkait
Somali region RCSFS program woredas (12 woredas): Erer, Gursum, Gaashaamo, Lagahida, Lasdankeyre, Mustahil, Raso, Elkari, Doloado, Garbo, Qadadumo, Galhamur
South Ethiopia region RCSFS program woredas (9 woredas): Gedeb, Kindo Koisha, Boloso Bombe, Semen Ari, Malie, Gerese, Melo Koza, Kena, Amaro
Central Ethiopia region RCSFS program woredas (8 woredas): Soro, Misha, Enor, Sodo, Aalicho Weriro, Kacha Bira, Wera, Toba
Tigray region RCSFS program woredas (8 woredas): Raya Azebo, Ahferom, Geralta, Asgede, Ganta Afashum, Abergele Yechila, Degua Temben, Seharti
Sidama region RCSFS program woredas (7 woredas): Dale, Arbegona, Bona Area, Bensa, Aleta Wendo, Gorche, Aroressa
South West Ethiopia region RCSFS program woredas (6 woredas): Adyo, Esera, Shey Bench, Yeki, Me'Enet Goldeya, Konta Koysha
Afar region RCSFS program woredas (5 woredas): Chifra, Adaar, Burumodayto, Telalak, Hadeleala
Benishanguel-Gumuz region RCSFS program woredas (3 woredas): Abrahamo, Manbuk, Sedal
Gambella region RCSFS program woredas (3 woredas): Godere, Akobo, Itang
Harari region RCSFS program woredas (1 woreda): Sofi
Dire Dawa city administration RCSFS program woredas (1 woreda): Dire Dawa Rural

2.5. Program Scope and Components

The Program encompasses the following components: Under Component One; upgrading/construction of 7,554 Km of Woreda road and Maintenance of 10,071 Km of Woreda roads, Component three; construction of 373 pedestrian suspension crossings (trail bridges) and

construction of 746 Km of approach roads, Component four; construction of 715 special structures (pipe culverts, box culverts, bridges).

Construction/upgrading of woreda roads: The objective of this activity is the construction of a road with DC2 standard having 15 cm gravel pavement thickness and triangular side drains. Selected material for surfacing is needed to construct 7,554 km of roads, which will have DC2 road standard (6 m width and 15 cm gravel thickness). Construction/upgrading of woreda roads involve earthworks (clearing, cutting, benching, embankment filling, compacting, etc.), drainage structures construction (side ditches, hydraulic structures), gravel pavement laying, and retaining wall construction, where required. These activities will involve the use of hand tools and mechanized equipment. Materials such as earth fill, rock fill, selected materials, crushed aggregate, coarse/fine aggregate, masonry stone, water, etc. will be required.

Maintenance of woreda roads: A total of 10,071 km of rural roads will be maintained. Maintenance activities involve brush clearing, shoulder rehabilitation, culverts cleaning, ditch clearing, repair erosion damage through selected or rock fill, dry and mortared masonry repair, gabion repair, reshape and compact road camber, spot repair of gravel pavement using selected material or crushed aggregate, and blade gravel road. Road maintenance is done using simple and inexpensive hand tools. Mechanized methods may be selected where required.

Construction of pedestrian suspension crossings (trial bridges): The aim of this activity is construction of trail bridges; either suspended or of suspension type. 373 pedestrian trail bridges will be constructed. The major structural elements of suspended trail bridges are steel wire ropes, which are anchored by gravity blocks or rock anchors at either side of the river. The 70cm walkway is considered for pedestrian traffic, whereas the 106cm walkway can be applied for crossings where pack animal traffic is also expected. Suspension type bridges have an upward cambered walkway. The main cables are hung over the towers and anchored to the main anchorage foundations. The walkway cables (spanning cables) are anchored to the tower foundations. The main components of this bridge are main cables and spanning cables, towers, walkway system, main anchorage foundations and walkway/tower foundations.

Construction of special structures: The goal of this activity is the construction of special structures that are pipe culverts, box culverts, bridges, etc. 715 special structures will be constructed.

Approach roads: 746 km of approach roads will be constructed at either side of the special structures.

In the course of constructing and maintenance of roads, pedestrian suspension crossings and special structures, the following major activities will be executed by the implementing institutes, selected contractors and consultants:

- Contract administration and project management (works and consultancy)
- Design (geometric, pavement, drainage structures, geotechnical)
- Construction (earthwork, drainage structures, pavement, and retaining walls)
- Construction materials sourcing (selected fill, crushed/coarse/fine aggregate, masonry stones, water, etc.)
- Engaging skilled and unskilled manpower
- Use of hand tools and mechanized equipment
- Construction monitoring and supervision

- Quality control (material sampling and testing, field testing, etc.)
- Cost monitoring
- ES risk management.

This program targets roads characterized by Annual Average Daily Traffic (AADT) of 75 vehicles or fewer per day, commonly referred to as "low volume" roads. These roads will be designed and implemented according to the Design Class DC2 road standards, ensuring they meet the necessary specifications for durability and performance.

The following table provides breakdown of planned projects by region.

Table 4. RCSFSP Projects Distribution across Regions

Regions	New Road Construction (km)	Road Maintenance (km)	Trail Bridge (No.)	Approach Road Construction (km)	Special Structures (No.)
Oromia	2,603	3,471	129	257	246
Amhara	1,632	2,175	81	161	154
Somali	754	1,005	37	74	71
South Ethiopia	529	705	26	52	50
Tigray	455	607	22	45	43
Central Ethiopia	453	604	22	45	43
Sidama	302	403	15	30	29
South West Ethiopia	235	313	12	23	22
Afar	228	304	11	23	22
Benishanguel - Gumuz	138	184	7	14	13
Gambella	100	134	5	10	10
Dire Dawa	66	89	3	7	6
Harari	57	77	3	6	5
Total	**7,554**	**10,071**	**373**	**746**	**715**

2.6. Relevant Disbursement Linked Indicators (DLIs)

The program DLIs are mainly the outcome level indicators in which the outputs involve km of roads and bridges that are constructed to climate resilient standards, implementation of rural road maintenance reducing vulnerability to climate risks and ensuring sustainable rural road assets and year-round connectivity. The outcome indicators measure improvements in beneficiaries accessing connectivity infrastructure and institutional strengthening aspects. Annual target has to be set up for each indicator over the implementation period of the project. The annual target with respect to each indicator has to be realistic and achievable and, therefore, has to be set up carefully based on empirical evidence. The Program fund will also be disbursed against DLIs.

The program has seven (7) DLIs and of these the following are related to ES management:

- **DLI-1: Enhanced Readiness of Regional Road Entities for initiating Program implementation (Number)** - This DLI is non-scalable and will be met when participating Regional Road Entities achieve minimum eligibility conditions during the first year of the Program including the following conditions related to ES management:

    i. All staff in critical positions in place including environmental and social (ES) Specialists.
    ii. Established a functional Environmental and Social Management System with adequate documentation and reporting.

DLI-1 will be assessed annually during all program years, but payment will be affected only during the program's first year. During subsequent years the Minimum Access Conditions (MACs) will be complied with by the regions to be eligible to get assessed for other regional DLIs. RREs will meet DLI-1 each subsequent year to be eligible for other DLIs.

- **DLI-5: Climate resilient and all-Season Connectivity assets operationalized (Length, Kilometer)** – This DLI is achieved when the climate resilient designs of the planned interventions ensure all season connectivity. The DLI is scalable, and assets completed as well as partially completed will be eligible for reporting achievement of DLI per Verification Protocol. A comprehensive review will be carried out during the Annual Performance Assessment. The review covers engineering designs prepared by the contractor and approved by the Supervision Consultant and its physical construction at site. The review also includes quality assurance, compliance with and implementation of Environmental and Social Management Plans, etc. The assessment will verify and certify that the DLIs have been fully or partially achieved. The MAC will remain as a precondition for assessing achievements under this DLI throughout the Program period.
- **DLI-6: Enhanced Safeguards Compliance by Regional Road Authorities (including all Woredas under them) as assessed through timely annual audits and safeguard reviews by Regional environmental regulatory authorities (Number)** - This DLI is non-scalable and will be achieved upon completion by the Regional Road Entities (RREs) and all Woredas under them based on:
    i. ES screening according to the Environment and Social Management System Guidelines (ESMSG)
    ii. Preparation of Environment and Social Management Plans (ESMPs)/Environmental and Social Impact Assessments (ESIAs)
    iii. Review and approval of ESMPs, screening reports by the regulatory agency
    iv. Documented evidence of the implementation of the ESMPs
    v. ES considerations in the contract documents
    vi. Annual ES auditing by the regional EPA.

  The MAC will remain as a precondition for assessing achievements under this DLI throughout the Program period.

3. ORGANIZATIONAL RESPONSIBILITIES FOR RCSFSP IMPLEMENTATION

The RCSFSP will follow existing Government institutional mechanisms and framework that is being used for implementation of the first and second URRP projects. The following section describes the organizational responsibilities for RCSFSP implementation. Overall RCSFSP management will be led by the Ministry of Urban and Infrastructure (MUI) at the center, National Regional Governments, and the Dire Dawa City administration, including responsibilities to implement environmental and social risk management, as defined in various regulations, laws, manuals and procedures.

As indicated above, the MUI will be the lead implementing agency, with a **Federal Program Coordination Office** (FPCO) which is responsible for daily coordination of the operation. The FPCO will have expertise in the various Program focus areas, including newly introduced areas on gender equity and disaster risk management. The RCSFS Program Manager will report to and act under the direction of the MUI. The main tasks of the program's FPCO are:

- Support the day-to-day coordination, management and supervision of the program Operation.
- Responsible for national level standardization.
- Provision of capacity building at national, regional and woreda levels.
- Preparation of national RCSFS plan
- Conducting M&E and preparation of national performance report and providing technical support at national level.
- Support and assist procurement process of IPF component.
- Support and assist program management and implementation of activities at federal, regional and woreda levels (all under the IPF window), including the procurement and management of the APAs, value for money audits, and to ensure the timeliness.
- Support and assist overall program operation monitoring and evaluation and development of RCSFS Management Information System to regions and woredas.
- Prepare operation reporting, including quarterly, semi-annual and annual progress reports as well as mid-term and implementation completion reports and submit to MUI for approval.
- Environmental and social safeguards implementation support to all relevant federal organizations, regions and woredas.
- It will also play advisory role for proper implementation of the program components and subcomponents.
- Support and assist program operation resources are budgeted for and disbursed within the expenditure framework.
- Support and assist timely financial report for the RCSFS funds utilization at federal level.

The **FPCO** will have the following teams:

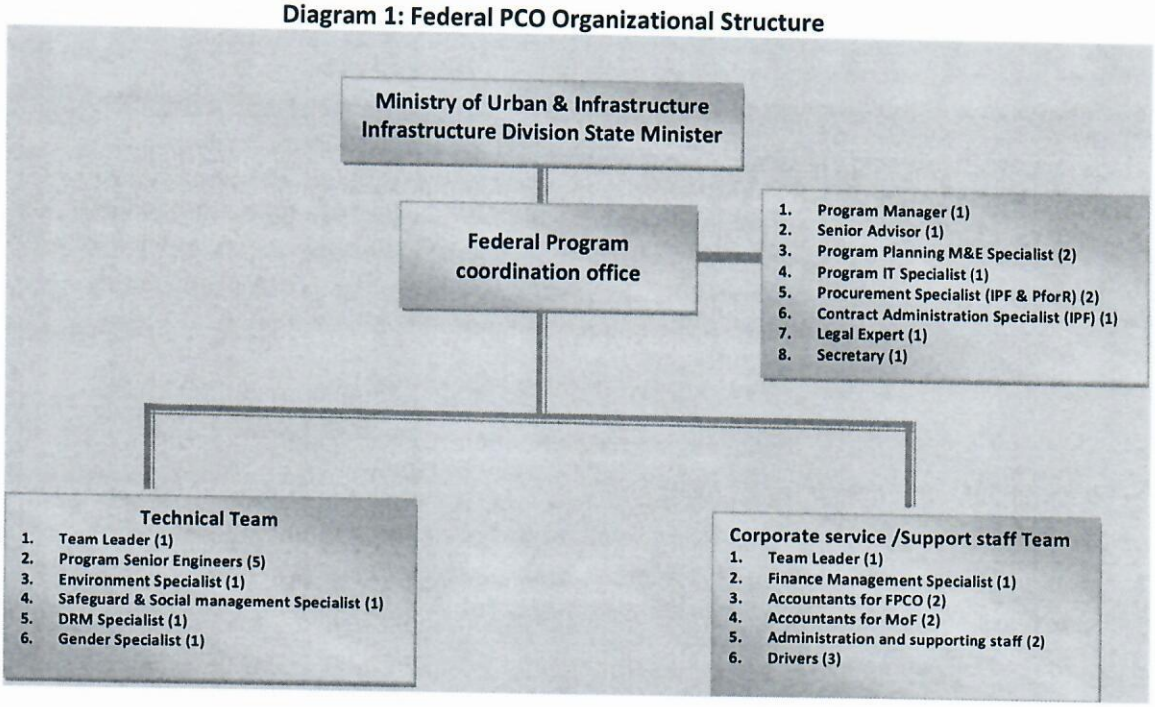
Program Coordination Office: This wing of the FPCO is mainly responsible, overall coordination and supervision of the program, preparation of national RCSFS plan, conducting M&E and preparation of national performance report and providing program coordination support at national level. It is also accountable to MUI monitoring and evaluation, procurement, contract administration and legal works. Generally, issues like physical plan and accomplishment, financial plan and accomplishment, community participation plan and accomplishment, job creation plan and accomplishment and other issues stated at performance indicator level will be handled.

Technical Team: This wing of the FPCO is mainly concerned to assess and fill the capacity gaps encountered, particularly, in engineering, environment and social management, resilient and DRM as well as Gender and Community Engagement aspects by the actors of the program. Additionally, the team ensures the existence of achievement of standard in all regions that should be followed.

Corporate Service / Support Staff Team: The overall financial, accountant and logistical support for the office shall be done under the jurisdiction of this wing.

- Overall responsibility for day-to-day coordination and management of the operation.
- Capacity building, including direct support to regional and urban local governments, and issuance of guidelines and standard regulations for matters such as municipal revenue generation, assets management, service delivery standards, and the like.
- Program management and implementation of activities under the IPF window, including the procurement and management of the APAs and the value for money audits and to ensure the timeliness.
- Overall operation monitoring and evaluation.
- Operation reporting, including the semi-annual progress reports.
- Accounting for the RCSFSP funds to MoF.

Diagram 1: Federal PCO Organizational Structure



ES Structure at Federal Program Coordination Office

The ES structure at the FPCO is comprised of:

- 1 Environmental Specialist
- 1 Social Development Specialist
- 1 Disaster Risk Management (DRM) Specialist
- 1 Gender Specialist.

3.1. Federal Organizational Responsibilities

Ministry of Urban and Infrastructure (MUI) is the lead ministry responsible for the RCSFSP overall coordination and management, chairing the steering and technical committees, and representing the project at the highest level of Government. Infrastructure Development Division State Minister under MUI is responsible to oversee and guides the work of the RCSFS Program. MUI will prepare Memorandum of Understanding (MoU) to be signed with implementing organization, relevant sectors, National Regional States, and Dire Dawa City Administration.

MUI will be directly responsible for the following activities:

- MUI works with and through National Regional States, Dire Dawa City Administration and local governments.
- MUI is mandated to establish a Federal RCSFS Coordination Office (FPCO) with all necessary managerial, technical and supporting staffs in consultation with development partners and implementing organizations.
- MUI is also responsible for FPCO and Regional PCOs human resource, finance, procurement, contract administration, and asset management.

Ministry of Finance (MoF) will be responsible for financial management of the RCSFS, including fund flow, disbursement, reporting and arranging program auditing. MoF will also be responsible for compilation of fiscal reports, drawdown of funds from IDA, transfers of funds to MUI, Regional States (including Dire Dawa City Administration) per the request from MUI.

Ministry of Transport and Logistics will be responsible for preparing safety standards for the rural roads and traffic management for RCSFS program.

Ministry of Health is responsible for health service access and rural road connectivity issues in RCSFS program.

Ministry of Education is responsible for education service access and rural road connectivity issues in RCSFS program.

Ministry of Water and Energy is responsible for water and energy service access and rural road connectivity issues in RCSFS program.

Ethiopian Roads Administration (ERA), Construction Management Institute (CMI) Ethiopian Construction Authority (ECA) under **MUI** will have technical support role such as engineering and standards, project supervision and regulatory tasks, identification of contractors, consultants as well as capacity building RREs, WROs and contractors and consultants.

Agriculture Transformation Institute (ATI) under Ministry of Agriculture is responsible for implementation Window 1 Piloting an E-market Platform of IPF component for improving physical access to markets with digital solutions to further strengthen linkages between related market actors by developing a comprehensive digital market platform including information on agricultural inputs and on climate related market risks, and response and recovery frameworks, tracing the flow of both agricultural outputs and inputs as well as providing a platform to link farmers and small traders directly with buyers and to promote modern contract farming management – serving as a virtual market.

Environment Protection Authority (EPA): responsible for the overall regulating the environmental and social risk management process, collaboration with the regional environmental protection agencies, as well as promotes a mechanism that for social, economic and environmental justice and support in building a climate resilient rural road infrastructure in RCSFS.

Federal Ethics and Anti-Corruption Commission (FEACC): is responsible for investigation and recommendation appropriate action for corruption and unethical conduct; prevent the occurrence of corrupt practices and corruption monitoring and reporting.

Office of The Federal Auditor General (OFAG): is responsible for the annual program audit and report in respect to each financial year.

The **Public Procurement and Property Disposal Service (PPPDS):** is responsible for procurement activities of the project and procurement capacity building of program operation entities.

Ethiopian Disaster Risk Management Commission (EDRMC): is responsible for establishment of disaster risk management system (DRMS) of the program and DRMS capacity building of program operation entities.

3.2. Regional Organizational Responsibilities

Similar to the arrangements at the federal level, the RCSFS coordination involves the same institutions at the regional level and is expected to support the Woredas involved in the implementation of the project. The regional steering committee is expected to approve the RCSFS's overall plans and budgets at regional level. The RREs is required to oversee the implementation of the program in collaboration with relevant Bureaus for the implementation of the program.

- The **Regional Road Entities (RREs): -** On behalf of the Regional Government, the RREs are the lead institution administratively responsible for implementation of PforR component RCSFS at regional, woreda and project site levels including program planning, procurement and payment, contract administration, guiding, directing, leading, and supporting the project management, M&E, reporting, fiduciary, and environmental and social risk management of the program. It is also responsible for daily coordination of the operation of the program and specifically, capacity building support of the Woredas in their jurisdiction; preparation of consolidated progress reports covering all Woredas and projects as well as oversight and backstopping support related to all aspects of the operation.
- The **Bureau of Finance:** is responsible for overall financial management at regional level and transfers funds to the beneficiary entities in the region and be responsible for allocating matching fund.
- **All Key Project Implementing Partners** at the regional level such as Bureaus of Transport, Agriculture, Health, Education, Water, Construction Authority, Environment Agency, Ethics, and Anti- Corruption, General Auditor, Procurement agency and Disaster and Risk entities will be responsible for their part in RCSFS proper implementation and operation.
- Building the capacity of the regional level leaders and professional staff is crucial as they had been required to support Woredas and projects and professional staff.
- At each region, Program Coordination Office (RPCO) will be established under RREs and will be accountable to Bureau Head of Regional Road Entities.
- The staffing level of RPCO will depend on the size of Woredas they are supporting in their respective regions and on the basis of this regions are classified into three categories.

ES Structure at Regional Level

ES structure at regional level comprised of:

Category One Regions with > 10 Program Woredas (Oromia, Amhara & Somali Regional States):

- 1 Environmental and DRM Specialist
- 1 Social and Gender Specialist.

Category Two Regions with 5 to 10 Program Woredas (South Ethiopia, Tigray, Central Ethiopia, Sidama, Southwest Ethiopian & Afar Regional States):

- 1 Environmental and DRM Specialist
- 1 Social and Gender Specialist.

Category three Regions with < 5 Program Woredas (Benishangul, Gambella, Harari Regional States & Dire Dawa City Administration):

- 1 Environmental and DRM Specialist
- 1 Social and Gender Specialist.

3.3. Woreda Organizational Responsibilities

Woreda Road Offices (WROs) will be the ground level Program implementers. Depending on their capacities, these desks are responsible for managing the day-to-day Program implementation in their respective jurisdictions with high community participation. The WROs are responsible for E&S screening of projects based on the Environmental and Social Management Systems Guideline (ESMSG); preparation of project specific ES instruments; and overall monitoring of implementation of ES requirements, with support from the RREs ES Specialists. Each woreda will have a qualified ES focal person.

3.4. RCSFS Program Management Structure

Federal Steering Committee: Members of Federal Steering Committee (FSC)

a) Ministry of Urban and Infrastructure (**Lead Ministry**) – Chairperson
b) Ministry of Finance – Member
c) Ministry of Transport and Logistics - Member
d) Ministry of Education - Member
e) Ministry of Health - Member
f) Ministry of Water and Energy – Member
g) Ethiopian Road Administration - Member
h) Ethiopian Construction Authority - Member
i) Construction Management Institute - Member
j) Agriculture Transformation Institute - Member
k) Federal Program Coordination Office - Secretary

Roles and Responsibilities of Federal Steering Committee

- Strategic oversight of the program, including providing strategic guidance and direction on program implementation
- Approval of major RCSFS strategic and policy issues
- Make decisions on changes in the RCSFS program document including program scope and objectives, the organizational structure and management, budget as well as other changes which will have major financial implications
- Approval of the major guidelines, strategies and manuals relevant for RCSFS implementation

- Review and endorse the annual work plans, budgets program expenses approved by the RCSFS Technical Committee
- Acting on issues that require high-level strategic directions and decisions
- The Steering Committee is expected to meet on a quarterly basis.

Federal Technical Committee

Members

a) All heads (or their delegates) of relevant Lead Executive Office Heads or senior professionals from the Federal Ministries and agencies represented in the steering committee.
b) The technical committee is expected to meet on a quarterly basis and would be chaired by Infrastructure Development Division State Minister of MUI.
c) The Federal PCO will serve as a secretary of the Federal Technical Committee.

Roles and Responsibilities of Federal Technical Committee

- Federal Technical Committee is responsible for follow up on regular project coordination and management issues, including capacity building, M&E, impact evaluation, planning, system development, financial management, procurement management, and other coordination activities, besides serving as the liaison between the Federal Steering Committee and the Federal PCO; it is also responsible for the coordination of ad hoc technical committees and implementing agencies, Regions, Woredas and reports on their work to Steering Committee at Federal level.
- To ensure regular coordination and management of the program, a Project technical committee will be established at all levels during implementation of RCSFS.
- Make decisions and refer to steering committee questions involving wider program issues as required.
- Ensure that key program principles and commitments laid out in the design document are adhered to by implementers.
- Reviews and consolidates annual project plans, budgets, progress reports, APAs, audits report and studies and refer to steering committee for final approval.
- Organize and coordinates review meetings, regular monitoring, and technical assistance to regions and Woredas.
- Oversee the development of manuals and guidelines on the implementation of the program and initiates discussions on PIM revision and approve amendments as necessary.

Regional Steering Committees (RSC)

Members of Regional Steering Committees (RSC)

Bureau of Regional Road Entities – Chairperson
Bureau of Finance – Member
Bureau of Transport and Logistics - Member
Bureau of Education - Member
Bureau of Health - Member
Bureau of Water and Energy – Member
Regional Construction Authority - Member
Bureau of Agriculture - Member
Regional Program Coordination Office - Secretary

Roles and Responsibilities of RSC

- Implement the Region's RCSFS Program

- Prepare detail integrated RCSFS plan, distribute for action and follow up the execution
- Report the timely progress of work to the Federal PCO
- Coordinate, control and follow-up of the Activities at Woreda and local level
- Coordinating the other regional bureaus; owning the program at regional level, providing direction in line with the federal PCO and Conducting Region level program evaluation and follow-up
- Strategic oversight of the project, including providing strategic guidance and direction on program implementation at regional level
- Review and endorse the annual work plans, APA and VfM audits, budgets program expenses approved by the RCSFS Technical Committee at Regional level
- Acting on issues that require high-level strategic directions and decisions
- The Steering Committee is expected to meet on a quarterly basis.

Woreda Steering Committee (WSC)

Members of WSC

a) Woreda Administrator- Chairperson
b) Office of Woreda Road – Secretary
c) Office of Finance – Member
d) Office of Transport and Logistics - Member
e) Office of Education - Member
f) Office of Health - Member
g) Office of Water and Energy – Member
h) Office Agriculture - Member

Roles and Responsibilities of WSC

- Make sure the security of the project sites is sound.
- Work closely with the Woreda road Office
- follow-up the works of contractors' and consultants' and report to regional steering committee, RRE and RPCO
- Give directions for the activities/responsibilities of Village Development Associations

Regional Technical Committee

Members

a) All department or deputy Bureau Heads (or their delegates) of relevant Regional Bureaus and agencies represented in the regional steering committee.
b) The technical committee is expected to meet on a monthly basis and would be chaired by Deputy Bureau Head of RREs.
c) The Regional PCO will serve as a secretary of the Regional Technical Committee.

Roles and Responsibilities of Regional Technical Committee

- Regional Technical Committee is responsible for follow up on regular project coordination and management issues, including capacity building, M&E, impact evaluation, planning, system development, financial management, procurement management, and other coordination activities.
- To ensure establishment of a Program technical committee at all their respective Woreda levels during implementation of RCSFS.
- Make decisions and refer to regional steering Committee questions involving wider program issues as required.
- Ensure that key program principles and commitments laid out in the design document are adhered to by implementers.

- Reviews and consolidates annual project plans, budgets, progress reports, APAs, audits report and studies and refer to the regional steering committee for final approval.
- Organize and coordinates review meetings, regular monitoring, and technical assistance to Woredas and projects; and liaise with Regional PCO for technical assistance and capacity building.

Woreda Technical Committee

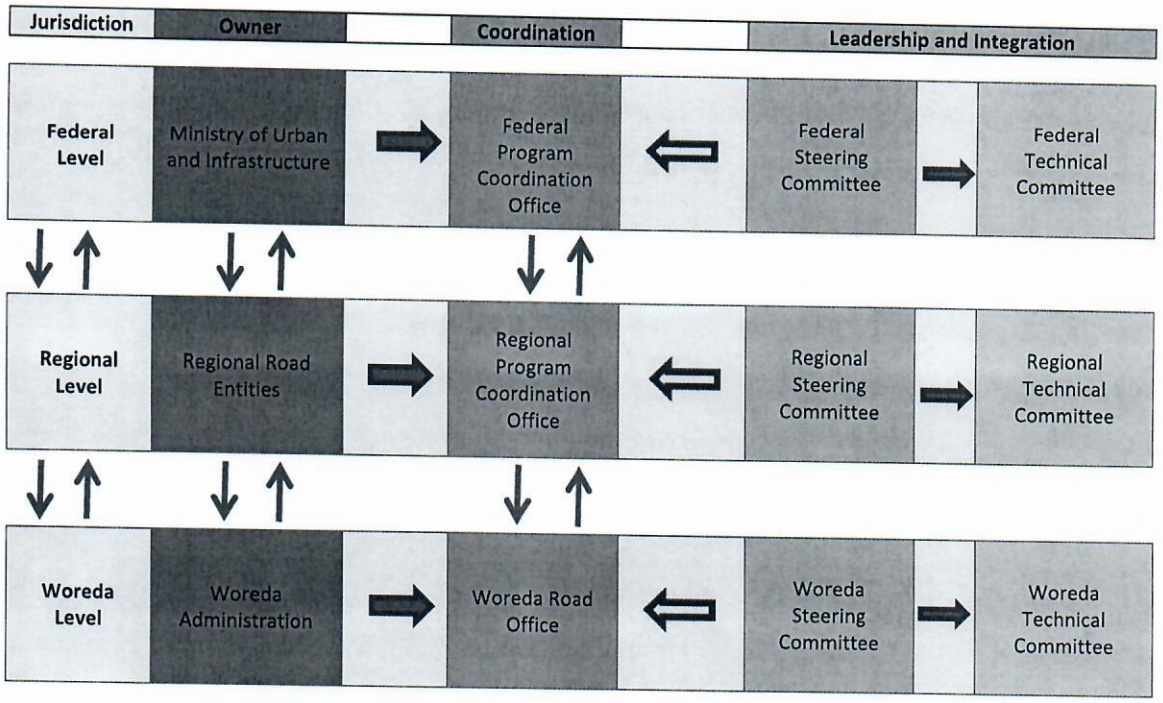
Members

- All delegates from the Woreda Offices represented in the Woreda steering committee.
- The technical committee is expected to meet on a monthly basis and would be chaired by Woreda Road Office.
- The WRO road specialist will serve as a secretary of the Woreda Technical Committee.

Roles and Responsibilities of Woreda Technical Committee

- Make sure security of the project sites is sound
- Follow-up the works of contractors' and consultants at project level
- Involve in community mobilization and engagement in program operation
- Give direction for the activities/responsibilities of Village Development Associations
- Make decisions and refer to Woreda steering Committee questions involving wider program issues as required
- Organize and coordinates review meetings, regular monitoring, and technical assistance to the program
- The Woreda technical committee is expected to meet on a monthly basis.

Diagram 2: RCSFS Overall Institutional Arrangement



4. ESMS POLICY AND LEGAL FRAMEWORK

4.1. Applicable Policies, Laws and Guidelines

This section describes the legal and regulatory requirements for environmental and social protection and risk management in Ethiopia. The Ethiopian Constitution adopted in 1995 provides the framework for environmental protection and management in Ethiopia.

- Article 43: The Right to Development identifies citizens' right to: improved living standards and sustainable development and participate in national development and to be consulted with respect to policies and projects affecting their community.
- Article 44: Environmental Rights stipulations that all citizens have the right to a clean and healthy environment; and those who have been displaced or whose livelihoods have been adversely affected as a result of state programs have a right to commensurate monetary or alternative means of compensation, including relocation with adequate state assistance.
- Article 92: Environmental objectives are identified as: government shall endeavor to ensure that all Ethiopians live in a clean and healthy environment. The design and implementation of programs shall not damage nor destroy the environment. Citizens also have a right to full consultation and to expression of views in the planning and implementation of environmental policies and projects that directly affect them. Government and citizens shall have the duty to protect the environment.

The **National Conservation Strategy** (1995) takes a holistic view of natural and cultural resources and seeks to present a coherent framework of plans, policies and construction works related to environmental sustainability. The Strategy consists of five volumes including: the Natural Resource Base, Policy and Strategy, Institutional Framework, the Action Plan and Compilation of Construction works Program.

A number of proclamations and supporting regulations contain provisions for the protection and management of the environment and put into effect the principles of the Constitution and the Environmental Policy. Specifically, the Environmental Impact Assessment Proclamation No. 299/2002 contains provisions designed to ensure sustainable development while Proclamation 299/2002 makes Environmental and social impact assessment mandatory not only for development projects but also for policies, plans and programs.

4.2. Relevant Policies, Proclamations, Regulations, and Guidelines

The **Environmental Policy** of Ethiopia was approved by the Council of Ministers in 1997. It is comprised of 10 sector and 10 cross-sector components, one of which addresses 'Human Settlements, Urban Environment and Environmental Health'. The Policy is based on the findings and recommendations of the National Conservation Strategy of Ethiopia. The Policy contains elements that emphasize the importance of mainstreaming socio-ecological dimensions in development programs and projects.

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 sound management of the environment and use of resources so as to meet the needs of the present generation without compromising the ability of future generations to meet their own needs.

The Environmental Policy provides a number of guiding principles that require adherence to the general principles of sustainable development. In particular, the need to ensure that Environmental and social impact assessment:

- Considers impacts on human and natural environments
- Provides for early consideration of environmental impacts in project and program design
- Recognizes public consultation processes as essential to effective management
- Includes mitigation and contingency plans
- Provides for auditing and monitoring
- Is a legally binding requirement

Proclamation 299/2002, Environmental Impact Assessment makes ESIAs mandatory for implementation of major development projects, programs and plans. The Proclamation is a tool for harmonizing and integrating environmental, economic, cultural, and social considerations into decision making processes in a manner that promotes sustainable development. The law clearly defines:

- Why there is a need to prepare ESIAs
- What procedure is to be followed in order to implement ESIA
- The depth of environmental impact studies
- Which projects require full ESIA reports
- Which projects need partial or no ESIA report
- To whom the report must be submitted

Proclamation 300/2002, Environmental Pollution Control requires developmental activities to consider environmental impacts before their establishment. The Proclamation requires ongoing activities to implement measures that reduce the degree of pollution to a set limit or quality standard. Thus, one of the dictates of the legislation is to ensure, through inspection, the compliance of ongoing activities with the standards and regulations of the country through an environmental audit.

Proclamation 295/2002, Establishment of Environmental Protection Organs establishes the organizational requirements and identifies the need to establish a system that enables coordinated but differentiated responsibilities of environmental protection agencies at federal and regional levels. The Proclamation indicates duties of different administrative levels responsible for applying federal law.

Proclamation 513/2007, Solid Waste Management aims to promote community participation to prevent adverse impacts and enhance benefits resulting from solid waste management. It provides for preparation of solid waste management action plans by urban local governments.

ESIA Directive 1/ 2008, Directive to Determine Projects Subject to Environmental Impact Assessment was issued to determine the categories of projects subject to the Environmental Impact Assessment Proclamation 299/ 2002. To this end, the Environmental Impact Assessment Proclamation is to be applied to the types of projects listed under these directives. The types of projects subject to ESIA in the urban sector include roads, solid waste facilities, and water supply schemes.

Proclamation 159/2008, Prevention of Industrial Pollution Regulation: As a follow up to Proclamation 300/2002, a regulation to prevent industrial pollution was developed by the Federal

Environmental Protection Authority to ensure compatibility of industrial development with environmental conservation. This Proclamation includes comprehensive industrial pollution standards for a range of industrial and mining activities.

Guideline for Environmental Management Plan (draft), May 2004 outlines measures for preparation of an Environmental Management Plans (EMP) for proposed developments in Ethiopia and institutional arrangements for implementation of EMPs.

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.

ESIA Guideline, July 2000: The ESIA Guideline Document provides essential information covering the following elements:

- Environmental Assessment and Management in Ethiopia
- Environmental and social impact assessment Process
- Standards and Guidelines
- Issues for sector Environmental and social impact assessment in Ethiopia covering agriculture, industry, transport, mining, dams and reservoirs, tanneries, textiles, hydropower generation, irrigation projects and resettlement
- The guideline contains annexes that:
  - Identify activities requiring a full ESIA, partial/preliminary measure or no action
  - Contain sample forms for application
  - Provide standards and guidelines for water and air

Waste Handling and Disposal Guideline, 1997: The Waste Handling and Disposal Guidelines have been in use since 1997. The Guidelines are meant to help industry and local authorities handle medical waste situation at the local level.

4.3. Occupational Safety and Health Policy and Law

The ESMS Guidelines will also ensure compliance with the relevant requirements of the Occupational Health and Safety Policy of Ethiopia, legislation and guidelines, including

a) Ethiopian Federal Democratic Republic constitution ensures the right of workers to work in a healthy and safe working environment as stipulated in Article 42(2).

b) Ethiopian has signed the international labour law organization (ILO) to fulfill the county's obligation upon ratification of the Occupational Health and Safety (OSH) and working Environment Convention No. 155(1981) to formulate, implement and periodically review national OSH and working environment policy.

c) The Council of ministries of the Federal Democratic Republic of Ethiopia at its 69th Regular Session of 18 July 2014, having discussed and making amendments on the National Occupational Safety and Health Policy and Strategy, has decided that the policy be implemented thereon.

d) **Proclamation NO.4/1995, Establishment of Labour and Social Affairs Organs**, determine standards and measures for the safety and health of workers and follow up their

implementation; collect, compile and disseminate information on safety and health of workers.

e) **Proclamation (42/93):** The Labour proclamation requires an employer to take the necessary measures to adequately address occupational health and safety of the workers.

f) **Proclamation No. 1156/2019** is the principal national legislation on labour issues. The Proclamation covers all establishments with one or more workers and addresses a wide range of issues such as employment relations and contracts, obligations of employers and workers, wages and working time, working conditions and occupational safety and health, occupational injuries, labour disputes and conciliation. It also sets out provisions for the labour inspection service, giving inspectors wide-ranging duties and enforcement powers and prohibiting the obstruction of inspectors in performing their duties.

g) **Directive of 2008 Occupational Safety and Health,** the other significant piece of recent legislation in this area is the Occupational Safety and Health Directive, which was adopted in July 2008. This is also very wide-ranging in its application, covering all employment sectors but with specific provisions for the manufacturing and construction sectors. Without prejudice to the Labour Proclamation, this Directive lays down general duties of employers and the duties and rights of workers, and the need for certain organizational measures such as a safety and health policy and arrangements, and for personal protective equipment. It also specifies measures for controlling a wide range of risks, such as those from chemicals, noise, radiation, machinery, working at heights, boilers and lifting equipment. There are also specific provisions for the recording and notifying of occupational accidents and diseases.

h) **Compensation** for workers having accidents, we understood that Workmen's Compensation Policy is not compulsory in Ethiopia. However, one public and many private insurance companies provide Workmen's Compensation and Group Personal Accident Insurance Schemes for various undertakings that have arrangements for such coverage. Workmen's Compensation cover provides for death or bodily injury of workers/employees inflicted by an accident or occupational diseases arising from the workplace during the time of work.

i) Ethiopia has ratified **21 ILO Conventions.** The implementation of these Conventions rides to a significant degree on the capacities of the labour inspection services. Among the ratified Conventions the most important are Discrimination (Employment and Occupation) Convention 1958 (No. 111), the Occupational Safety and Health Convention 1981 (No. 155) and the Worst Forms of Child Labour Convention 1999 (No. 182) all depend on the labour inspection services for their enforcement at the enterprise level.

j) The Council of ministries of the **Federal Democratic Republic of Ethiopia** at its 69th Regular Session of 18 July 2014, having discussed and making amendments on the National Occupational Safety and Health Policy and Strategy, has decided that the policy be implemented thereon.

4.4. Environmental Guidelines and Standards

Ethiopia has robust standards for pollution control, emissions and waste as outlined in the Proclamation for Environmental Pollution Control. However, the implementation quality and enforcement standards are highly uneven across Project Implementation. The Federal Environment Protection Authority (EPA) have produced a number of documents to guide any person or organization who is undertaking activities that may have positive or negative impacts on social, physical or cultural environments. These are described in table 3 below.

Table 5. Guidelines and Standards

Guideline / Standard	Description
ESIA Guideline, July 2000	The ESIA Guideline document provides essential information covering: • Environmental assessment and management in Ethiopia • The environmental and social impact assessment process • Standards and guidelines • Issues for sectoral environmental and social impact assessment in Ethiopia covering: agriculture, industry, transport, mining, dams and reservoirs, tanneries, textiles, hydropower generation, irrigation projects and resettlement projects. • Annex 1 identifies the schedule of activities for which a full ESIA, partial measure or no action is required.
ESIA Procedural Guideline, November 2003	The guideline outlines the screening, review and approval process for development projects in Ethiopia and defines the criteria for undertaking an ESIA.
Environmental and Social Management System, 2014	The framework developed to support construction works lending operation has since been used by the Ministry of Urban and Infrastructure. The ESMSG defines the procedures for screening or various environment and social risks and impacts; identification and evaluation of risks and required due diligence; mitigation and monitoring measures to address key risks related to construction works in urban infrastructure.
Labour Proclamation 1156/2019	The Labour proclamation requires an employer to take the necessary measures to adequately occupational health and safety of the workers.
Ethiopian Roads Authority Environmental Procedures Manual, 2001	Ethiopian Roads Authority prepared this manual for the use and technical guidance for design personnel of the Ethiopian Roads Authority and consultants doing an Environmental Assessment Study during road design. The manual was developed in order to standardize Environmental Procedures for design of new roads and rehabilitation of existing roads.

4.5. Institutional Roles and Responsibilities for ES Management

The below Table 6 summarizes the roles and responsibilities of institutions involved in environment and social management in Ethiopia.

Table 6. Institutional Roles and Responsibilities for the ESMS

Entity	Roles and Responsibilities for Environmental and Social Management
Federal and Regional Environmental Protection Authorities (Agencies)	As the national entity for environmental management, EPA is responsible for: Enforcing and ensuring compliance to the ESIA proclamation Reviewing ESIAs and monitoring the implementation of ESIA recommendations Regulating environmental compliance and developing legal instruments that ensure the protection of the environment Ensuring that environmental concerns are mainstreamed into sector activities, Coordinating, advising, assessing, monitoring and reporting on environment-related aspects and activities
Ministry of Urban and Infrastructure	Plan and Implement infrastructures to improve the quality of services and the quality of life by integrating environmental and social concerns, in planning, designing, implementation and monitoring
Ministry of Water and Energy/Regional Water Bureaus	Prevent and control pollution of water resources

Ministry of Work and Skill	Implement Occupational health and Safety activities in their respective regions, in line with the mandates and roles and responsibilities of their respective Ministry.

The current system of government in Ethiopia is organized into a federal structure, comprised of the federal government and 12 regional states Addis Ababa and Dire Dawa City Administration. Government administration of ESIA in Ethiopia is shared between the federal government and regional states. The Environmental Protection Organs Establishment Proclamation (295/2002) established the institutions responsible for the regulation of ESIA; these include the Federal Environmental Protection Authority, Regional Environmental Agencies and the Sector Environmental Units.

Federal Environmental Protection Authority (EPA) is the lead agency responsible for formulating policies, strategies, laws and standards to ensure social and economic development activities sustainably enhance human welfare and safety of the environment (Article 6, Proclamation 295/2002). The regulation of ESIA is one of the key responsibilities entrusted to EPA. In this respect, the EPA is responsible for establishing a system for undertaking ESIA in public and private sector projects. The Federal EPA is responsible for developing a directive that identifies categories of projects likely to generate adverse impacts and require a full ESIA, and for issuing guidelines that direct preparation and evaluation of ESIA reports (Proclamation 299/2002, Articles 5 and 8).

In addition, the Federal EPA is responsible for evaluating ESIA reports of projects that need to be licensed and executed by the federal government and projects that are likely to generate inter-regional impacts. The Federal EPA is also responsible for monitoring, auditing and regulating implementation and performance of such projects. The Federal EPA holds primary responsibility for providing technical support on environmental protection and management to regional states and sector institutions.

Regional Environment Authorities: 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 Agriculture).

Sector Environment Units: The other environmental organs stipulated in the Environmental Protection Organs Establishment Proclamation (295/2002) are 'Sector Environmental Units' which have been established in some of the line Ministries. These Sector Environment Units have the responsibility of coordinating and implementing activities in line with environmental protection laws and requirements (Article 14, Proclamation 295/2002). Article 13 of the ESIA Proclamation 299/2002 requires that public instruments undertake ESIA. To this end, Sector Environmental Units play an important role in ensuring that ESIA is carried out on projects initiated by their respective sector institutions. However, the capacity of these units is limited.

4.6. World Bank Environment and Social Risk Management

The World Bank has made the assessment of the governments Environmental and Social Management Systems against its own "Six Core Principles" for the Rural Connectivity to Support Food Security Program. The assessment was made based on the review of documents, field observations, analysis of the environmental and social effects of the proposed Program and consultations and discussions with key Program implementing stakeholders The ESSA is organized by six Core Principles for *Program for Results Financing* and synthesizes the main findings using the SWOT (Strengths-Weaknesses-Opportunities-Threats) analysis applied to the P-for-R context.

World Bank six core principles are:

Core Principle 1: General Principles of Environmental and Social Management
Core Principle 2: Natural Habitats and Physical Cultural Resources
Core Principle 3: Public and Workers Safety
Core Principle 4: Land Acquisition and Loss of Access to Resources
Core Principle 5: Underserved and Vulnerable Groups
Core Principle 6: Social Conflict
Note that the Assessment of Environmental and Social Management Systems against the 6 Core Principles is attached as Annex A.

5. ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS OF THE PROGRAM

5.1. RCSFS Program Environment and Social Risk Rating

The overall ES risk of the Program is rated as **"Substantial",** both environmental and social risks being Substantial. The Program is expected to have a range of socioeconomic benefits including increased access to markets for local produce and products, employment of local workers on the Program activities, better access to health care and other social services, etc. However, the proposed Program investments such as construction of woreda roads to enhance rural accessibility; and construction of trail bridges, approach roads, and special structures can have significant environment, social, health and safety risks and also impacts if their appropriate identification and management is not put in place. The Program E&S risk rating was assessed considering the following criteria:

i) **Likely ES Effects** - The most significant risks and impacts of the Program include loss of vegetation cover, modifications of natural drainage patterns, deterioration of surface water quality, soil erosion and land degradation, health risks related with air emissions, generation of waste, involuntary resettlement (and physical and economic displacement), occupation health and safety (OHS) risks arising from physical, chemical and biological hazards, and community health and safety risks (exposure to dust, noise, and vibration; spread of communicable diseases; traffic and road safety risks; security risk; risk of GBV/SEA/SH).

ii) **Contextual Risk Factors**: The Program will be implemented throughout the country. The country is recently facing a deteriorated security environment including armed conflicts and social tensions, particularly in some regions. This contextual risk could impede successful Program implementation in some of the areas.

iii) **Institutional Capacity and Complexity Risks**: The MUI has prior experience in implementing World Bank financed programs including those implemented (or under implementation) through P-for-R financing mechanism including implementation of Environmental and Social Management System Guidelines (ESMSG). However, the current assessment shows that the existing ESRM capacities and experiences of the regional transport bureaus or road authorities require capacity strengthening. Further, ESRM practice at Woreda level is limited, mainly attributed to capacity constraints including E&S staff and other resources.

iv) **Political and Reputational Risks**: Urban and rural road projects are commonly implemented throughout the country, including the predecessor government URRAP. Although ESRM of road projects varies from project to project, it has shown improvement in recent years. Considering this, the Program implementation is not anticipated to cause significant E&S risks or impacts, including reputational and political risks to the implementing institutions and the World Bank.

These potential beneficial and negative impacts of the Program are further discussed in the following sections.

5.2. Description of Beneficial Environmental and Social Impacts

5.2.1. Overall Social Benefits of the Program

Rural transportation, without a doubt, plays a crucial role in rural development because it provides local populations access opportunities that improve their livelihoods. As a result, transportation connects rural communities to markets and agricultural input suppliers, as well as educational and

career possibilities, and health and social services. Rural transport also aids family and community development by giving crucial access to social and political events and gatherings outside of the locality. Improved transportation may contribute not only to a better rural economy, but also to a higher level of social well-being in both individual families and the community. An impact evaluation study conducted by the World Bank estimated that rural roads developed under Road Sector Development Plan (RSDP) increased household welfare by 23 percent between 2012 and 2016. Moreover, households were less likely to fall into, or remain in, poverty when connected by rural roads in drought areas, indicating the role of rural roads in strengthening resilience to drought shocks (The World Bank, 2021). The analysis also found that rural road development has affected agricultural and non-agricultural work. More farmers have come to sell their crops once connected to rural roads. More households particularly women and the youth have engaged in wage jobs in remote communities. By connecting to markets, rural roads have widened the economic base in otherwise physically and economically isolated communities (The World Bank, 2021).

5.2.2. Impacts of Accessibility

The development of new rural access roads often improves the life and livelihood of rural communities. The improvement in rural road connectivity increases access to educational opportunities, markets and to social services including health care. As a result of increased access to modern transportation facilities, both the rural as well as the urban communities benefit from it. This leads to improvement in socioeconomic growth.

5.2.3. Enhanced Market Opportunity

Rural roads have contributed significantly by creating linkages, thus increasing the opportunities to access goods and services located in nearby villages or major towns/markets. This means that through the improved transportation services, rural roads can lead to improved access to market centers for the rural producers and ensure better availability of inputs and raw materials at reduced prices which can highly impact the income opportunities of the rural poor. Simply put, if the rural producers are able to travel to the markets to sell their produce or buy raw materials for enhancing production, then they can increase their income considerably. It is also important to note that new rural roads have a pronounced beneficial impact on women in general by reducing their burden to travel to marketplaces merely by foot.

5.2.4. Increased Production

Rural roads have proved to be essential for sustaining agricultural development. Rural roads have provided a boost to agricultural activities by making fertilizers, seeds and other inputs needed for farming reach farmers in time. This has shown a beneficial impact on improving the quality and quantity of agricultural produce, which then allow farmers to earn better by selling the good produce in the market. This has resulted in increased earnings. Moreover, the rural road accessibility has also decreased the burden of carrying farm produces and byproducts from farm fields to farmers houses by enabling farmers to use simple animal drawn carts for transport, benefiting women and other members of the farmer's household by decreasing the burden of carrying. Improvement in agricultural productivity can not only reduce rural poverty directly by increasing income of poor households but it can also cause decline in poverty indirectly by raising agricultural wages and lowering food prices.

5.2.5. Employment Opportunities

The URRAP access road projects usually involved a contribution from the beneficiary communities in the form of free labour in opening up the RoW. However, once the RoW is cleared, the construction work will continue with the help of machineries and select material. Several employment opportunities are created during the construction and maintenance phases of the Program. This will be a significant positive impact since unemployment is currently quite high in the country.

Depending on their socio-cultural norms, women's engagement in the construction and maintenance of rural URRAP roads differs across the country. Women in the Somali Region are unlikely to engage in unskilled physical labour due to socio-cultural norms; instead, women are likely to engage in office and professional jobs. Women from Oromia, the former SNNP and Sidama regions are encouraged to engage in and profit from the employment possibilities generated by URRAP, which includes both unskilled and skilled positions. It is, therefore, expected that RCSFSP will have similar employment opportunities.

5.2.6. Health

When compared to densely populated areas, rural communities are more vulnerable to major health crises, facing personnel and medicine shortages, insufficient hospital bed capacity, and substandard medical equipment.

These challenges are made more acute by poor road conditions in rural areas that can prevent patients from reaching hospitals and accessing health services. This is particularly true during the rainy season when flooding is common.

The rural road development benefits the rural community by alleviating the transport accessibility problem to health care facilities. Rural women have benefited by the development of rural access roads for it allows access for ambulances and other motorized vehicles to take them to health care facilities during pregnancy and delivery.

5.2.7. Education

Improved rural access road connectivity can also enhance access for the rural children and youth to education services. It has opened an opportunity for the youth and children in the rural areas to travel to nearest towns and cities and get better and higher education which will lead them to better opportunities and earn improved living conditions for their family.

5.3. Description of the Likely ES Adverse Effects Associated with the Program

The major adverse environmental and social risks and impacts are described in the following sections. The adverse environmental and social risks and impacts are related to activities carried out during construction, operation, and maintenance phases of the URRAP projects and are relevant to the RCSFS Program. The ESMSG has further assess the Program E&S risks and impacts and provides mitigation measures based on the mitigation hierarchy and with operational details.

5.3.1. Soil Erosion and Degradation

Soil erosion may be caused by exposure of soil surfaces to rain and wind during site clearing, earth moving, and excavation activities. The mobilization and transport of soil particles may, in turn, result in sedimentation of surface drainage networks, which may result in impacts to the quality of natural water systems and ultimately the biological systems that use these waters. One of the major adverse impacts of rural road projects is related to soil erosion caused by construction activities. As rural roads

are mostly done by community labor combined with machinery support in a cost saving way, slope cuts appear to remain unattended exposing the soil for sheet and rill erosion. In some cases, poor drainage works of rural roads also have a role in exacerbating the erosion problems resulting in gully formation and associated land degradation. As a result, there is a need to pay more attention to prevent and control soil erosion impacts caused by rural road construction activities by treating freshly cut slopes with proper mitigation measures.

Recommended soil erosion and water system management approaches include:

- Sediment mobilization and transport will reduce or preventing erosion by:
  - To the extent practical, scheduling activities to avoid heavy rainfall periods (i.e., schedule earthworks during dry seasons)
  - Contouring and minimizing length and steepness of slopes
  - Mulching to stabilize exposed areas
  - Re-vegetating areas promptly
  - Designing channels and ditches to safely convey design flows
  - Lining steep channel and slopes.
- Providing effective short-term measures for slope stabilization, sediment control and subsidence control until long term measures for the operational phase can be implemented.
- Providing adequate drainage systems to minimize and control infiltration.

5.3.2. Impacts of Construction Material Sites

As rural road projects are implemented across the regions of the country and in many woredas, the need to source construction materials for the widely distributed projects will be a challenge which could prompt woreda authorities to allow the use of available nearby select material sources. This will led to proliferation of degraded land by construction material sources once used for rural road projects. Besides the land degradation and erosion problems caused by material sources, in some instances, communal and private lands were used by other projects as material sites without paying compensation, triggering grievances from the owners. On the other side, the use of long serving material sites without taking necessary measures to prevent nearby resident communities from impacts of landslide and other operations can also become a source of public safety concern.

The following mitigation measures can be considered:

- Seek approval for use of existing construction material sources from the concerned woreda offices.
- To the extent possible, avoid use of construction material sources with legacy ES issues, risks, and impacts.
- Rehabilitate disturbed areas of the construction material sites as soon as possible after construction is completed.
- Remove and dispose solid wastes (such as spoil or excess materials) to an approved site.
- Representatives from contractor, consultant and local administration shall visually assess reinstatement of material sites for approval.
- Handover construction material sites to local administration once construction is completed and record the handover.

5.3.3. Impacts on Terrestrial Vegetation

The Program will not finance activities that have adverse risks and impacts to biodiversity and natural and critical habitats, including any protected areas. Further, no major vegetation clearance is expected during Program implementation, given that major vegetation clearance will, in most cases, affect habitats (natural/critical), protected areas, and biodiversity and is thus excluded from Program financing. However, during preparation of RoWs for the rural road construction, some vegetation along the routes may be be affected. Such impacts on terrestrial vegetation can be minimized by taking necessary mitigation measures such as:

- Restricting the RoW clearance to the design route only and avoiding unnecessary vegetation clearance.
- The impacts of RoW clearance on perennial trees will be compensated through proper arrangements, including applying a minimum ratio of 10 planted, locally adapted trees against each cut tree and adequate maintenance of the planted trees until they have passed the critical phase. The minimum ratio for tree replanting is based on experience in the country, which considers the survival rate of trees planted.

5.3.4. Dust Emission

During the construction and operation phases of rural road projects, dust re-suspension will affect the nearby resident communities found along the route. Emission of large quantities of dust may lead to significant impacts on construction workers and the residents. Further, rural roads being dust roads, the impacts of dust re-suspension are observed to continue well through the operating periods. The magnitude and significance of the dust re-suspension impact varies from place to place depending on the type of geology, road selected materials applied, and climate of the area. As a result, there will be a need to include mitigation options to minimize the impact of dust re-suspension on the workers and nearby residents along the route. Mitigation actions for construction and operation phases dust impacts may include:

- To the extent possible, wet/shower earthworks and road construction surface to reduce dust suspension, particularly near settlement areas.
- Paving the rural roads with proper selected materials that will reduce dust re-suspension. The optimum content of fine materials required for binding purpose should be determined with the potential of dust re-suspension in mind.
- Carrying periodic maintenance of the rural roads.
- Intercepting the dust by planting trees along the residential areas
- Administering speed limits to vehicles and motorists in densely populated areas.

5.3.5. Impacts on Solid Waste

Non-hazardous solid waste generated at construction sites includes excess fill materials from earthwork activities, scrap wood and metals, and small concrete spills. Hazardous solid waste includes contaminated soils, which could potentially be encountered on-site due to previous land use activities, or small amounts of machinery/equipment maintenance materials, such as oily rags, used oil filters, used oil, as well as spill cleanup materials from oil and fuel spills. Techniques for preventing and controlling nonhazardous and hazardous construction site solid waste include:

- Establishing waste management priorities at the outset of activities based on an understanding of potential Environmental, Health, and Safety (EHS) risks and impacts and considering waste generation and its consequences.
- Establish and enforce daily site clean-up procedures, including maintenance of adequate disposal facilities for construction debris.
- Establishing a waste management hierarchy that considers prevention, reduction, reuse, recovery, recycling, removal and finally disposal of wastes.

5.3.6. Impacts Hazardous Materials

The rural roads construction projects are not expected to be machine intensive, and most construction activities will be performed using hand tools and light machineries and equipment. However, construction activities may pose the potential for the release of petroleum-based products, such as lubricants, hydraulic fluids, or fuels during their storage, transfer, or use in equipment. Mitigation measures for prevention, minimization, and control of such impacts include:

- To the extent possible, avoid fuel refilling, oil changes, and machine/equipment maintenance in the work areas. Given the smaller scale of construction activities, consider conducting such activities at fuel filling stations and garages operated by others.
- Providing adequate secondary containment for fuel tanks and for the temporary storage of other fluids such as lubricating oils and hydraulic fluids.
- Using impervious surfaces for refueling areas and other fluid transfer areas, if such areas are within construction limits.
- Training workers on the correct transfer and handling of fuels and chemicals and the response to spills.
- Providing portable spill containment and cleanup equipment on site and training in the equipment deployment.

5.3.7. Impacts on Surface Water Quality and Demand

Surface water quality may be affected by siltation of nearby rivers, streams, lakes, and wetlands, which could be caused by soil erosion occurring during rural roads construction, operation, and maintenance activities. Effects from indirect siltation are primarily caused by agricultural farm fields, which tend to increase significantly when new rural roads expand into previously inaccessible areas and when existing rural roads are rehabilitated, improved, or upgraded.

Although the planned rural roads construction and maintenance, as well as structures construction, are not expected to be machine intensive, there might be certain use of vehicles, trucks, earthmoving machines, concrete mixers, etc. These may lead to pollution of surface and groundwater due to leakage and spills of fossil fuel, oil, and lubricants. Further, there could be similar spills as well as contamination from toilets and sanitary facilities used by contractors.

On the other hand, large quantities of water are needed to prepare and compact the road surface during construction and maintenance. Although this demand for water is temporary, it may significantly affect local water supplies. In arid and semi-arid areas such as the lowland parts of the country, drawing water for road improvements may decrease the amount of water available for aquatic species, farm production and even for domestic purposes, especially if the water is taken during dry seasons. Potential mitigation option to minimize such adverse impacts of siltation and water demand for rural road construction in arid and semi-arid areas include:

- Developing pits that can minimize erosion and sedimentation by constructing earth-lined retention basins and settling ponds.
- Water quality deterioration caused by pollution from fossil fuel, oil products and chemicals can be minimized with timely maintenance of leaking machinery parts and good housekeeping practices at vehicles and machines use and parking areas.
- Providing portable spill containment and cleanup equipment onsite and providing training in equipment deployment.
- Supplement water from other sources during dry seasons. Arrange for alternative water supply sources when project water requirement interferes with requirement of local demand, such as considering water harvesting by constructing ponds.
- Consult with the local communities and administration on the use, amount and location of construction water sources.
- Reducing demands on water for construction.
- Adapt water conservation measures to avoid loss of water.
- Direct water abstractions towards lower sections of catchments (higher-order streams).
- Avoiding abstractions from ecologically sensitive catchments and streams.
- Time water requiring construction works to avoid overlapping between maximum demand periods and low-flow conditions.

5.3.8. Impacts of Altered Drainage and Flooding

Existing man-made and natural drainages are usually modified during construction phases of the rural roads and bridges. In some cases, the modified drainages become a source of accelerated erosion that damages farmers' fields. When drainages of rural roads are not properly designed and fitted with side ditches and culverts, they often direct flood to farming fields and seriously affect/erode the farmland and damage crops. Such drainage impacts often occur during interim construction periods and in certain cases are left behind unattended through operation periods of rural roads. The accelerated erosion impacts caused by modified drainages need a quick mitigation intervention when they occur to avoid grievances by communities. The following mitigation measures can be considered.

- Avoid modifying surface water resources (rivers and streams) including restricting, accumulating, and concentrating flows.
- Provide adequately sized hydraulic structures that do not restrict flow or create backwater.
- Provide culverts (where necessary) at appropriate intervals so that flow will not be accumulated.
- Provide adequately sized side ditches to safely convey runoff. Do not direct the outlet of side ditches towards settlement areas, housing structures, and farms.

5.3.9. Adverse Impacts on Community Health and Safety

Communicable Disease Prevention

Communicable diseases pose a significant public health threat to the local communities. Health hazards typically associated with large development projects are those relating to poor sanitation and living conditions, sexual transmission and vector-borne infections.

Spread of water born diseases caused by creation of stagnant waters is one of the adverse community health impacts that are likely to occur during construction phases of the rural roads. Creation of stagnant waters usually results from poor road design and maintenance as well as in open construction material sites. The stagnant waters would become a public health hazard by breeding mosquito and spreading malaria especially in the lowland areas. Borrow pits can also create artificial

ponds that may inadvertently breed mosquitoes or harbor water-borne diseases. These potential adverse impacts on public health would need to be prevented by avoiding standing water spot sections through proper design and maintenance of rural roads as well as remediation and leveling of construction material sites.

Other communicable diseases of most concern during the construction phase due to labor mobility are sexually transmitted diseases (STDs), such as HIV/AIDS. Recognizing that no single measure is likely to be effective in the long term, successful initiatives typically involve a combination of behavioral and environmental modifications.

Recommended mitigation measures include:

- Provide active screening and treatment of workers and prevent illness among workers in local communities.
- Undertake health awareness initiatives.
- Conduct immunization programs for workers in local communities to improve health and guard against infection.
- Provide treatment through standard case management in on-site or community health care facilities.
- Promoting collaboration with local authorities to enhance access of workers' families and the community to public health services and promote immunization.

Traffic and Road Safety

The occurrence of traffic hazards is another adverse public safety impact that occurs during construction and operation phases of the rural road projects. The movement of construction vehicles and machinery along the access road route often causes traffic accidents on humans and animals. Moreover, and perhaps more adverse, is the traffic accident impacts that occur during operation phases of the rural roads. The traffic accidents that occur during operational phases mostly relate to overloaded vehicles which are usually two and three-wheeler motorists. The following mitigation measures can be considered:

- Emphasizing safety aspects among drivers of construction vehicles and machines.
- Improving driving skills and requiring licensing of construction drivers.
- Avoiding dangerous routes and times of day to reduce the risk of accidents.
- Minimizing pedestrian interaction with construction vehicles.
- Regular maintenance of vehicles and use of manufacturer approved parts to minimize potentially serious accidents caused by equipment malfunction or premature failure.
- Collaboration with local communities and responsible authorities to improve signage, visibility and overall safety of roads, particularly along stretches located near schools or other locations where children may be present. Collaborating with local communities on education about traffic and pedestrian safety (e.g. school education campaigns).
- Coordination with emergency responders to ensure that appropriate first aid is provided in the event of accidents
- Using locally sourced materials, whenever possible, to minimize transport distances.
- In order to minimize the occurrence of traffic accident hazards to the surrounding communities, it will be necessary to introduce proper traffic safety signs along the rural access roads as well as traffic management and control mechanisms.

Labor Influx

Because projects under the program are low-volume rural roads construction projects that tap into local work force, their' labor inflow demand is limited. It is expected that most of the works will be

done by workers from the community and only a limited expert must come from outside the community. Hence, a significant influx of labor is not expected. Though the degree of labor inflow is minimal, due to the Program context in rural areas, a risk of sexual violence must be considered and addressed, where sexual interactions took place between male employees and local girls and women. Hence, the Program will produce a GBV action plan and an obligatory and binding code of conduct (COC) for workers and ensure that all workers regardless of where they are from need to get training on the COC and signed it.

Sexual Exploitation and Abuse/Sexual Harassment

Women benefit from rural road development, but more effort is needed to ensure long-term and balanced benefits for women and other vulnerable populations. Although the nature and scale of the infrastructure of the program doesn't trigger significant risk on GBV, due to the context of the implementation mainly in rural settings, remote and volatile security situation of the country, GBV can be a potential risk including lack of strict follow up in the implementation of code of conduct, lack of appropriate case reporting mechanism, lack of GBV service providers and lack of trainings related to GBV. Hence, the Program should develop a GBV action plan and implement it throughout the Program intervention. Sexual transmitted diseases (STDs) are another risk of the Program. Although the Program will not face significant labor influx, there might be a risk of the STDs and hence, Contract workers and local communities shall be provided with training on awareness creation about HIV/AIDS and other STDs, communicable diseases.

Structural Safety of Infrastructure

There is a structural safety risk to the communities in the program areas during use of program structures, particularly trail bridges and special structures. If these structures are not designed, constructed, and installed appropriately, they may structurally fail during the operation period and pose a significant safety risk to the user communities. Reduction of this potential hazard is best accomplished during the design phase when the structural designs can be adapted more easily. The following measures should be considered and incorporated, as appropriate, into the planning, sitting, and design phases of program structures:

- Application of locally regulated or national recognized design codes to ensure structures (such as the trail bridges) are designed and constructed in accordance with sound engineering practice.
- Incorporation of safety engineering criteria to prevent failures due to natural risks posed by earthquakes, wind, flooding, landslides, etc. To this end, all project structures should be designed in accordance with engineering design criteria mandated by site-specific risks.
- Engineers responsible for designing and constructing structures should certify the applicability and appropriateness of the structural criteria employed. For instance, for open drainages, appropriate foot crossing should be constructed so that it can be accessible by all community members including the elderly, people with disability, children and pregnant women.

5.3.10. Impacts on Scenic Quality

Road construction materials such as selected fill, crushed aggregates, and gravel will be required for the construction activities and will be obtained from quarries and borrow pits. The sites from which these materials will be extracted may be significantly affected in several ways including landscape changes and poor visual quality. Landscapes coupled with ecosystems can provide non-material benefits, such as the aesthetic value of an area to residents and visitors. The cumulative effects of improperly located and poorly managed quarries and borrow pits supplying construction materials for rural road projects may cause significant loss in scenic value. Under some circumstances, such damage can lower tourism revenues. The following mitigation measures can be considered:

- Carryout proper site selection for siting construction material sources and follow proper procedures approved by the engineer and woreda administrations. This may include avoiding sensitive locations such as habitats, areas where there is significant scenic value, and locations near settlement areas.
- Limit disturbance to steep slopes and natural vegetation on the slopes where construction materials are sourced.
- Install cut-off drains above cut slopes to reduce the effect of runoff down the slope.
- Remove all dangerous and loose stones from cut faces.
- Re-vegetate unstable slopes as soon as possible after use of the material source ended.
- Reinstate all construction material sites to acceptable levels, if such sites are developed by the program.
- If construction materials are sourced from sites developed by others, conduct ES due diligence to ensure that the sites are properly managed.

5.3.11. Impacts of Land Acquisition and Resettlement

Investments that require involuntary land acquisition will be excluded from the Program. If the investments require land acquisition, it should be very minimal and only on a voluntary basis. The stakeholder consultations carried out with key URRAP implementing institutions in the regional states have revealed that impacts related to land acquisition and resettlements occurring during URRAP access road construction were usually addressed in two ways. The first approach, widely applied by the woreda level URRAP offices, was to carry out a series of consultations with the project affected persons and beneficiary communities about the expected and potential benefits and impacts and acquire a strip of land on a voluntary donation basis. The second approach, when found feasible to the Woreda Administration concerned, is to provide replacement land for the project affected persons (PAPs).

The assessment also revealed that the application of the above approaches to handling land acquisition and resettlement impacts over the URRAP I and II program years had resulted in a mix of reactions by the community. During the early stages of the URRAP, it was reported that many members of rural communities used to voluntarily cede parts of their land holdings to clear the RoW for the rural access roads crossing their villages, mainly due to their strong desire for the infrastructure. However, in recent years, the voluntary land acquisition approach has also been challenged by grievances of PAPs as the amount of land required increased and it became increasingly difficult to acquire land for RoW voluntarily and without proper compensation. Moreover, it has been explained during the consultations that many of those PAPs who had been given a replacement land for farm compensation had been complaining due to the fact that they were not compensated for the lost property developed on the farm fields lost for RoW (e.g. fruit trees, coffee trees, etc.) as it will take them months if not years to grow it back on the empty replacement land. It has also been stated that PAPs with stronger grievances are those whose livelihood support mainly depend on the plot of farmland ceded partly or holly for the RoW without compensation. However, in the RCSFS Program, appropriate design options will be used to use existing foot paths and reduce the impact of land. However, if any rural road requires a significant amount of land beyond the scope of voluntary land donation, that project will not be financed under the Program, but rather transferred to its next phase. MUI in coordination with ERA will do a series of consultations on the procedure for land acquisition and avoidance of involuntary resettlement. Staff responsible for ESRM at all levels will be adequately trained to ensure that PAPs are consulted meaningfully on the voluntary land acquisition modality, and they shall be communicated, the land acquisition is fully voluntary, and they have the possibility to say no. Besides, consultation will be conducted with the community and the key woreda administration to avoid any pressure on PAPs to give land due to fear for pressure from the community and/or the woreda administration. VLD should avoid the risk of exclusion of most

vulnerable communities from projects or causing disproportionate impacts on the most vulnerable community members. To achieve this VLD should not be more than 10% of the farmland and the remaining land should be viable. Community consultations should ensure that livelihoods of the most vulnerable such as informal users of donated land are protected through measures such as in-kind land allocation, offering employment opportunities and other mechanisms.

VLD includes the following:

- Open and inclusive community consultation on need for land, possibility of VLD and conditions for VLD to determine the size of land to be donated, and the current use of land.
- Identify the land users both formal/recognized and informal users of communal and public land.
- Ensure that the land donor, spouse and family understand fully the extent and purpose of the donation and the implications.
- Ensure that the land to donate by individuals does not exceed 10% of total land holding and that the remaining land remains viable. The donated land should not adversely affect the livelihood of the person.
- Ensure that land donors are made aware that refusal is an option and there is no coercion.
- To ensure that communities are not excluded from project benefits, where VLD is not endorsed by the potential donors, the community need to weigh the consequences and discuss measures that could sufficiently compensate potential land donors for their loss over the long term.
- PAPs will be informed about the existence of a project, Grievance Redress Mechanism (GRM) to air their complaints on the VLD process and VLD itself.
- Donation of land should not occur if it requires any household relocation, loss of structures or fixed assets on affected portion of land.
- The donor may request monetary or non-monetary benefits or request community assistance/incentives as a condition for donation.
- Land donation documentation will include 1) evidence of consultation including minutes and participants 2) assessment of impact on land through voluntary donation 3) signed memorandum for each instance of land donation establishing informed consent.
- Communities shall be informed about the existence of a project GRM to air their complaints on the VLD process and VLD.

A strong monitoring mechanism will be established, and periodic reports will be submitted to the World Bank. Besides, the World Bank will conduct implementation support missions and closely monitor the application of the VLDP. The VLDP has been included as part of the ESMSG in Annex L.

5.3.12. Impact on Occupational Health and Safety (OHS)

Rural road construction projects, being labor-intensive, provide employment to a large number of people, and thus the emphasis on safety and well-being is important. Some of the major OHS risks during construction of rural road projects include:

- The absence of OHS requirements in procurement documents and contract agreements.
- Involvement of employees in activities for which they have not been trained.
- Involvement of workers in activities for which they have not been provided with suitable protective clothing.
- Using faulty, broken, or inadequate instruments for a given task in road construction activities.
- Exposing employees to extreme environments such as extended heat from sunlight or heavy rains.
- Contractors/supervisors fail to provide first aid kits, safe drinking water, and food for workers.

- Workers are not provided with hygienic shelters on the job site or at campgrounds.
- Cases of SEA/SH at workplace and lack of skills to address them adequately.
- Absence of informatory signposts indicating that work is in progress.

OHS risk emanates from physical, chemical, and biological hazards.

Physical Hazards

Physical hazards represent potential for accidents or injury or illness due to repetitive exposure to mechanical action or work activity. Single exposure to physical hazards may result in a wide range of injuries, from minor and medical aid only, to disability, catastrophic, and/or fatal. Multiple exposures over prolonged periods can result in disabling injuries of comparable significance and consequence.

Therefore, contractors and supervisors are obliged to implement all reasonable precautions to protect the health and safety of workers. The program should engage contractors that have the technical capability to manage the occupational health and safety issues of their workers, extending the application of the hazard management activities through formal procurement agreements.

The application of prevention and control measures to occupational hazards should be based on comprehensive job safety or job hazard analyses. The results of these analyses should be prioritized as part of an action plan based on the likelihood and severity of the consequence of exposure to the identified hazards. The physical OHS risks include:

- Slips and falls on the same elevation associated with excessive waste debris, loose construction materials, liquid spills, etc. are also among the most frequent causes of lost time accidents at construction sites.
- Work at Heights: Falls from elevation associated with working with ladders, scaffolding, and partially built or demolished structures are among the most common causes of fatal or permanent disabling injury at construction or decommissioning sites. If fall hazards exist, a fall protection plan should be in place.
- Struck By Objects: Construction and demolition activities may pose significant hazards related to the potential fall of materials or tools, as well as ejection of solid particles from abrasive or other types of power tools which can result in injury to the head, eyes, and extremities.

Preventive and protective measures should be introduced according to the following order of priority:

- Minimizing the hazard through design of safe work systems and administrative or institutional control measures. Examples include job rotation, training safe work procedures, workplace monitoring, limiting exposure or work duration, etc.
- Providing appropriate **Personal Protective Equipment (PPE)** refers to protective clothing, helmets, goggles, or other garment or equipment designed to protect the wearer's body from injury by blunt impacts, electrical hazards, heat, chemicals, and infection, for job-related occupational health and safety purposes.
- **Health and Safety Warning Signs:** Safety signs and signals are one of the main means of communicating health and safety information. This includes the use of signs, hand signals, spoken communication and the marking of pipe work containing dangerous substances.
- **Safety Policy:** Site managers should develop procedures setting out the safety and health standards of construction activities. The site manager should assign OHS inspectors who are responsible for seeing that the standards are achieved, and who have the authority to allocate responsibilities to management and supervisors at all levels and to see they are carried out.
- **First aid Kits:** Construction sites are dangerous places, and first aid and rescue equipment should always be available. What is needed depends on the size of the site and the numbers employed.

- **Accident Reporting**: Contractors, supervising engineers, and RREs shall keep record of OHS accidents/incidents, timely report to the concerned parties (including the World Bank), conduct root cause analysis of the accidents, and develop and implement corrective action plans.

Chemical Hazards

Chemical hazards in construction, operations, and maintenance activities may be principally associated with exposures to dust during construction and paving activities, exhaust emissions from equipment and motor during all construction and maintenance activities, and exposure to hazardous chemicals.

Chemical hazards represent potential for illness or injury due to single acute exposure or chronic repetitive exposure to toxic, corrosive, sensitizing or oxidative substances. They also represent a risk of uncontrolled reaction, including the risk of fire and explosion, if incompatible chemicals are inadvertently mixed. Chemical hazards can most effectively be prevented through a hierarchical approach that includes:

- Replacement of the hazardous substance with a less hazardous substitute.
- Implementation of engineering and administrative control measures to avoid or minimize the release of hazardous substances into the work environment keeping the level of exposure below national established or recognized limits
- Communicating chemical hazards to workers through labeling and marking according to national recognized requirements and standards. Any means of written communication should be in an easily understood language and be readily available to exposed workers and first-aid personnel.

Biological Hazards

Biological agents represent potential for illness or injury due to single acute exposure or chronic repetitive exposure to biological agents such as wastewater, infectious diseases, and venomous animals/insects. Biological hazards can be prevented most effectively by implementing the following measures:

- Work processes, engineering, and administrative controls should be designed, maintained, and operated to avoid or minimize release of biological agents into the working environment. The number of employees exposed or likely to become exposed should be kept to a minimum.
- Contractors and engineers should review and assess known and suspected presence of biological agents at their place of work and implement appropriate safety measures, monitoring, training, and training verification programs.
- Measures to eliminate and control hazards from known and suspected biological agents at the place of work should be designed, implemented and maintained in close co-operation with the local health authorities and according to recognized national standards.

Personal Protective Equipment (PPE)

Personal Protective Equipment (PPE) provides additional protection to workers exposed to workplace hazards in conjunction with other engineering controls and safety systems. PPE is considered to be a last resort that is above and beyond the other engineering controls and provides the worker with an extra level of personal protection. Recommended measures for the use of PPE in the workplace include:

- Active use of PPE if alternative technologies, work plans or procedures cannot eliminate, or sufficiently reduce, a hazard or exposure.

- Identification and provision of appropriate PPE that offers adequate protection to the worker, co-workers, and occasional visitors, without incurring unnecessary inconvenience to the individual.
- Proper maintenance of PPE, including cleaning when dirty and replacement when damaged or worn out. Proper use of PPE should be part of the recurrent training programs for employees.
- Selection of PPE should be based on the hazard and risk ranking described and select in accordance with criteria on performance and testing established by recognized organizations.

5. ESMS PROCESSES: PREPARATION AND IMPLEMENTATION

General: The Ethiopia Rural Connectivity to Support Food Security (RCSFS) Program envisioned sound Environmental and Social Management System (ESMS) during program preparation and implementation period, to ensure the required Environmental, Social and Health and Safety (ESHS) management measures are considered and applied for environmentally friendly, socially acceptable, and economically feasible implementation of the program. The establishment and strengthening of ESMS have various components, including preparation and implementation of guidelines, instruments and manuals, assignment of staffing, ensuring technical and financial capacity development of the program, and implementing the ESMS.

Objective: The objective of this ESMS is to ensure the establishment and strengthening of Environmental and Social Management System (ESMS) of the main implementing institutions at all levels (federal, regional, woreda) and other relevant sectoral bureaus during program implementation and operation periods. The expected output of implementation of this guideline is to ensure the environmental and social management system (ESMS) is established and strengthened at all levels.

Basic Principles: A sound ESMS is required during RCSFSP activities or projects construction and operation phases, to ensure the required Environmental, Social, Health, and Safety (ESHS) measures are applied for sustainable implementation of the Program. These include:

- Assesses the arrangements for managing environmental, social, health and safety risks and benefits associated with the program in a manner consistent with the *Program for Results Financing* mechanism.
- All projects under the program are screened for environmental and social risks and impacts as per the preset criteria and checklist before commencement of construction activities and request approval from the relevant environmental regulatory institutions as all levels, where applicable
- Adequate staffing with Environmental and Social Specialists at national level (MUI) and at all RREs with specific responsibilities for addressing the program's environmental, social, health and safety issues. At woreda level, a qualified ES focal person will be appointed at all program woredas.
- Sufficient and applicable technical capacity and facilities for the environmental, social, health and safety management will be in place over the program period.
- Development at federal level and implementation of this ESMSG at all levels.
- An annual environmental and social performance audit (including audit of implementation of ESMPs) and quarterly ESHS performance review.

This chapter sets out the processes and identifies the responsibilities for implementing the Environmental and Social Management System (ESMS). It details issues that will be addressed; the next steps to be taken and describes the various elements of this ESMSG including:

- The ES risk management processes including ES screening, instruments preparation and implementation.
- Strengthening relationship with the relevant regulatory bodies including for review and approval of ES screening reports and instruments, monitoring, and annual audits.
- Guidelines on identifying environmental and social risks and impacts of the program activities including the planned construction works; and
- Compliance mechanisms.

5.1. Key Issues and Proposed Actions within the ESMSG

In order to ensure that the required system is in place, the proposed program is required to demonstrate implementation of program activities are in an environmentally friendly and socially acceptable manner, which ascertain the program sustainability. In this regard, the program develops an Environmental and Social Management System Guideline (ESMSG) and makes available for relevant implementing institutions at all levels. Other safeguards instruments like ESIAs and ESMP, if required, will be prepared during implementation period at all levels before the commencement of project construction activities.

The RCSFSP's investments or projects have the potential to provide significant social benefits, and to deliver environmental benefits, depending on the type of construction works under the program. However, these activities may generate adverse environmental, social, health and safety risks and impacts owing to:

- Inherent **environmental risks** involved in infrastructure projects, including soil erosion and land degradation; depletion, pollution or contamination of surface and groundwater sources; impact on vegetation, habitats, and ecosystem services; , and secondary impacts owing to the sourcing and extraction of construction materials.
- **Social risks** during construction of projects such as traffic and road safety risks; dust and noise generation; an influx of people to certain areas due to better facilities provision and improved access; risks of disruption to livelihoods and potential for economic resettlement and displacement of people associated with land take; and indirect social impacts from the downstream effects of program activities.
- **Occupational and community health and safety risks** and impacts due to physical, chemical, biological, and psychosocial hazards, which can cause harm or adverse effects to workers and communities residing within and around the project area.
- **Weak capacity** of Regional Road Entities to integrate measures to prevent or mitigate environmental and social risks and impacts into the design and procurement of projects, during construction, and operation of the projects.

These risks are taken seriously by the GoE and MUI owing to the importance of the environmental, social, health and safety risks and impacts involved and the need to ensure improvements in people's well-being. People's livelihoods are often dependent on a sustainable environment, and adverse environmental or social impacts of infrastructure projects should be carefully avoided. The GoE has developed its institutions and legal framework for environmental and social management over the past fourteen years. The activities set out in this ESMSG, therefore, build on the GoE's laws, policies and procedures in environmental and social management.

5.2. Responsibilities for the ESMSG Screening and Appraisal Processes

Guiding Principles

The proposed Program includes various activities and given the scale and nature of the anticipated program activities, an Environmental and Social Assessment (ESA) might be necessary for identification and development of measures aimed at avoiding, minimizing, mitigating, and/or compensating/offsetting environmental and social risks and impacts to levels that are acceptable during preparation, implementation, and operation of the proposed program activities.

The overall guiding principles of the proposed RCSFSP ESMSG implementation are the following, but not limited to:

- Conforming to the national and regional environmental and social assessment requirements and standards;
- Ensuring no harm or minimum impact to the nearby social and biophysical environment that can be mitigated easily by employing best practices methods;
- Proposed projects will undergo for environmental and social impacts screening;
- Preparing ES instruments based on the recommendations of the ES screening;
- The planning and implementation process will integrate ESIAs, ESMPs, or other relevant environmental and social management instruments, as required;
- Promoting adequate and timely technical support to MUI, Regional Road Entities, Woreda Road Offices, and other federal, regional and woreda levels relevant bureaus and offices; and
- Promoting supervision and monitoring of implementation of projects by all relevant parties including MUI, Regional Road Entities, and Woreda Road Offices with the support from the respective environmental and social regulatory institutions at the federal, regional, and woreda levels.

The following table outlines the proposed roles and responsibilities for the different steps in implementation of the ESMSG.

Table 7. Outline of Roles and Responsibilities for Implementation of the ESMSG

Activity	Lead Role for Implementation	Lead Role for Review, Approval, and Monitoring
Completion of ES screening of all program activities/projects using the form in Annex C: Screening Form	Regional Program Coordination Offices (RPCOs)/Regional Road Entities (RREs) and Woreda Road Offices (WROs) The Federal Program Coordination Office (FPCOs) provides technical support and overall guidance	REPAs are responsible for review and approval of ES screening report and instruments, periodic monitoring, and annual ES audits
Preparation of ES instruments based on the screening recommendation including ESIAs, ESMPs, and other instruments	Independent consultants will be hired by RPCOs/RREs for projects that fall under Schedule 1 (which require Full ESIAs) RPCOs/RREs + WROs for projects that fall under Schedule 2 (which require preliminary ESIAs or ESMPs) RPCOs/RREs + WROs for projects that fall under Schedule 3 (which require generic ES clauses) FPCOs provides technical support and overall guidance	
Integration of ES instruments or ESMPs in works design, procurement, and contract documents	RPCOs/RREs and WROs Design consultants FPCOs provides technical support and overall guidance	
Implementation of ES instruments (ESIAs, ESMPs, etc.)	RPCOs/RREs for implementation and monitoring WROs for implementation and monitoring Works contractors for implementation Supervision Consultants for monitoring FPCO for monitoring Regional Environmental Protection Authorities for the annual environmental and social auditing	
Monitoring of ESMPs implementation		
Annual ES audits		
Inspection and supervision of occupational health and safety	MUI/FPCO, Regional Road Entities/RPCOs and Woreda Road Offices	BoLSAs are responsible for periodic monitoring

5.3. Overview of the ESMS Processes

The ESMS has been designed in accordance the Ethiopian laws and regulations on environmental and social risk management. The main legal requirements are summarized in the:

- ESIA Guideline, July 2000
- ESIA Procedural Guideline, November 2003
- Guideline to Prepare ESMP, November 2004

The ESIA procedural guideline categorizes projects into Schedule 1, Schedule 2, and Schedule 3. The descriptions of these categories are provided in the below table.

Table 8. Environmental Procedural Guideline Indicative[1] Project Schedules

SCHEDULE 1:
Projects which may have adverse and significant environmental and social impacts, and, therefore, require full ESIA. All projects in environmentally sensitive areas should be treated as equivalent to Schedule 1 activities irrespective of the nature of the project. For the RCSFSP, Schedule 1 projects may include: (i) New construction, upgrading, or rehabilitation of major[2] rural roads (ii) All projects in environmentally sensitive areas
SCHEDULE 2:
Projects of the type or scale or with other relevant characteristics that have potential to cause environmental and social impacts, but which do not warrant a full ESIA. Schedule 2 projects require Preliminary ESIAs. For the RCSFSP, Schedule 2 projects may include: (i) New construction of rural roads (ii) Maintenance of rural roads (iii) Trail bridges (iv) Approach roads (v) Special structures
SCHEDULE 3:
Projects which would have no impact and may not require ESIA. Under RCSFSP, Schedule 3 projects are not expected.

The implementation of environmental and social management system will be attained through the procedures and steps described in the below section and Table 5.

5.4. Procedures and Steps for Environmental and Social Risk Management

This section describes the steps and procedures for environmental and social risk management to ensure that environmental and social risks and impacts are adequately addressed over the program implementation period. The RCSFSP-ESSA highlights the proposed Program planning and focuses on ensuring the implementation of project activities are environmentally friendly and socially acceptable with no harm principle through applying best practices and sound mitigation measures.

The proposed program has various activities that might require full ESIAs and preliminary ESIAs (or ESMPs) based on the Ethiopian Environmental legislations. However, it is recommended that all activities should avoid sensitive areas and take steps to ensure that projects are implemented in such a way that they satisfy the World Bank Core Principles for PforR financing. Thus, to confirm that the

[1] This categorization is only "indicative" and should be further confirmed during the ES screening process. Further, these projects shall pass through exclusion criteria indicated in Annex B.

[2] Major rural roads can be longer in length, pass through concentrated settlement areas and areas with special features that needs further attention.

anticipated adverse risks and impacts are small in scale and can be managed with best practice methods, every potential project that will be funded under this program is subject to environmental and social screening, including the program exclusion criteria indicated in Annex B.

The environmental and social risk management processes will be implemented on all potential projects or activities under the RCSFSP. The dedicated ES specialists at RREs/RPCOs with regular support from MUI/FPCO respective ES specialists are required to conduct environmental and social screening and instruments preparation before commencement of the project construction activities. The ES specialists will use the environmental and social screening form for screening and this form is annexed to this ESMSG (Annex C).

Based on consultations with relevant stakeholders and review of the Program ESSA and appraisal documents, the following key steps and procedures were identified during the environmental and social risk management processes (Table 5). Further, the sections below describes the environmental and social management system processes in detail.

Table 9. General ESMS Procedures to be Applied for RCSFSP Projects and Activities

Preparation and Consultation

***Objective*:** Ensure that environmental and social issues are introduced to communities

***Actions*:**

- Educate communities on environmental, social, health and safety issues and requirements
- Promote environmentally beneficial woreda connectivity construction projects
- Ensure conformity with national construction standards and norms

ES Screening

Objective: RREs/RPCOs and WROs carry out ES screening using the Screening Form. Classify projects as Schedule 1, 2 or 3 depending on the type and level of negative impacts. Prepare recommended ES instruments (ESIAs, preliminary ESIAs/ESMPs, etc.)

***Actions*:**

Ensure that environmental, social, health and safety issues are considered during preparation and prioritization of capital construction works by using ESMSG screening format (see to Annex C)

Preparation of ES Instruments (ESIAs, preliminary ESIAs/ESMPs, other instruments)

Objective: Ensure that environmental, social, health and safety risks and impacts have been analyzed and appropriate mitigation measures designed

Actions: Prepare ES instruments based on the following details:

Full ESIAs for Schedule 1 projects

Preliminary ESIAs/ESMPs for Schedule 2 project

No ESIA for Schedule 3 projects but include generic ES clauses in works contract documents

Prepare other plans (such as waste management plan, workers safety management plan, etc.) as part of the ES instruments for Schedule 1 and 2 projects based on the specific need

Simultaneously with ES instruments preparation, ES requirements or ESMPs will be integrated in the project's design, procurement, and contract documents

Review and Approval

Objective: Review the environmental and social screening reports along with ES instruments and ensure that measures have been incorporated

Actions: Once program's activities or projects have been screened, approval is required from relevant environmental regulatory bodies

Once ES instruments are prepared, approval is required from the relevant environmental regulatory bodies once these instruments are approved and ES requirements or ESMPs are integrated in design and contract documents, project's construction works can commence

Implementation and Supervision

- Undertake site visits to ensure that environmental and social requirements and mitigation measures, as required by contracts, have been implemented by the RCSFSP construction works projects.

Monitoring and Evaluation

- Site visits during RCSFSP construction projects execution and operation to assess how environmental and social mitigation measures are succeeding or have succeeded in minimizing risks and impacts.

- Require changes to projects design and/or implementation if unforeseen impacts occur.
- Approval on implementation of all ES requirements is required to issue final payment for projects.

- Determine if changes are needed to improve the environmental and social assessment process
- Meet with contractors and community representatives to gather feedback
- Quarterly ESHS performance review and Annual ESHS audits are carried out by MUI/RREs and regional environmental authorities, respectively.

STEP 1: INITIAL PREPARATION AND CONSULTATIONS

At the start of, and before completing, the exercise to prepare the 5-Year Capital Investment Plan and prioritize the projects to be funded by the program, the RREs/RPCOs technical and ES specialists who are responsible for the program will:

a) Review ESMSG requirements. Obtain copies of all relevant federal and regional laws, guidelines and procedures relating to environmental and social management. Ensure that there is a good knowledge of ESMSG requirements at different levels in the regional program implementing entities (including steering and technical committees), RREs/RPCOs – councils, professional and technical staff.

b) Distribute the ESMSG to their respective program woredas.

c) Contact the Regional Environmental Protection Authority:

Provide them with a copy of this ESMSG;

Provide them with details of the contact at the RREs/RPCOs; and

Inform the Regional EPA that all program activities or projects will be screened and categorized as Schedule 1, 2 or 3 based on then national ESIA procedural guideline, or any other regional guidelines which are equivalent to the national guideline.

d) Identify and review all projects proposed for prioritization and funding.

e) Identify interested and affected communities[3], NGOs, businesses, etc., and inform them of the proposed activities and its potential impacts. Identifying the relevant stakeholders and engaging appropriate representatives is important. It is vital to ensure that the consultation is inclusive as well that includes the elderly, women and other people with special needs. Disclosure of project information including the risks and impacts should be in a timely and accessible manner. Feedback can be obtained from the stakeholders provided that they are given enough time to understand and review the information shared.

Similarly, the program woredas, through the WROs, shall perform the following initial activities:

a) Endorse the ESMSG
b) Review and familiarize the requirements of the ESMSG
c) Contact the woreda environmental protection units/offices and discuss on the requirements of the ESMSG and roles/responsibilities at Woreda level.

STEP 2: PROJECT IDENTIFICATION

A "project" refers to any activity, particularly infrastructure development activity, supported or financed by the program. For the purpose of this ESMSG, "project", "subproject", or "program activity" are interchangeably used to refer to any program financed activities or investment, particularly those involving infrastructure development. Based on the scope of the program, the

[3] Individuals or groups concerned with or affected by an activity and its consequences. These include local communities, work force, customers, or consumers, environmental interested groups and the general public.

following projects will be implemented (i) new rural roads construction or upgrading, (ii) rural roads maintenance, (iii) construction of pedestrian trail bridges, (iv) construction of approach roads, and (v) construction of specialized structures (culverts, bridges). The program woredas and regions are responsible for identification of projects based on the prioritization criteria defined in the Program Implementation Manual (PIM). The identified projects will be included in the 5-years or annual capital investment plan. The identified projects will be endorsed or approved by the regional steering committees.

STEP 3: PROJECT PREPARATION (STUDY AND DESIGN)

Based on the annual capital investment plan, the RREs/RPCOs will prepare studies and designs for the identified projects. The RREs/RPCOs may engage engineering consultancy firms to prepare the studies, designs, and procurement documents for the projects. The woreda ES focal persons at WROs and ES Specialists at RRES/RPCOs will engage through the project preparation process as in the following details:

- Feasibility studies/preliminary designs will be used for ES screening (see Step 4 below), including checking the eligibility of the project for funding under the program using the exclusion criteria (see Annex B).
- Simultaneously prepare ES instruments (ESIAs, ESMPs, etc.), which is Step 6 below, during the detailed engineering designs and procurement documents (design drawings, bill of quantities, and technical specifications) preparation of the projects. The engineering designs are expected to provide input for the ES instruments (particularly in defining the specific locations and features of the projects) while design and construction recommendations in the ES instruments are expected to be integrated into the design and procurement packages.

STEP 4: ES SCREENING

ES screening is a key environmental and social management process aimed at determining appropriate studies and follow-up that might be required during project preparation and implementation. The screening aims at categorizing the projects into one of the environmental and social risk categories consistent with national ESIA guidelines. ES screening determines whether or not a project requires ESIA, Preliminary ESIA/ESMP, or other ES instruments, and the level at which the assessment should occur. Screening is completed using both desk appraisal and field surveys. Further, stakeholder consultation will be conducted during the screening process. Screening helps to determine the characteristics of the prevailing local bio-physical and social environment with the objective of assessing the potential risks and impacts of the construction and maintenance activities on them. The RREs/RPCOs ES specialists and WROs ES focal person will conduct the ES screening by completing the form contained in Annex C. ES screening is typically conducted by the woreda ES focal persons while the RREs/RPCOs ES specialists will provide support and oversight. To complete ES screening, ES Focal Persons and Specialists should (i) gain adequate information/data on the proposed project activities and resources requirement, (ii) gain adequate knowledge on the baseline conditions of the project area, and (iii) have been trained on the ES screening process.

Once the process is completed the findings and recommendations will be incorporated in an ES Screening Report. The ES Screening Report will describe,

a) The project or proposed activities including construction methods, resources requirements, and ancillary facilities (if any),
b) Characteristics of the location (sensitivity of the area), i.e., the baseline conditions of the project area,
c) The anticipated ES risks and impacts,

d) Degree of public interest and the outcome of initial consultations or engagements conducted,
e) Institutional requirement,
f) Environmental and social enhancement and mitigation considerations,
g) The recommended ES risk category and ES instruments.

The outcome of the ES screening will be that each RCSFSP's project is categorized as being a Schedule 1, 2, or 3:

a) Project are checked for eligibility for financing under the project using the program exclusion criteria in Annex B. If a project is not eligible then it will be either avoided, re-sited, or re-designed.

b) Schedule 1 projects are fed into the standard Full ESIA process as determined by EPA/REPA;

c) Schedule 2 projects will not require full ESIA, but will necessitate Preliminary ESIA or ESMP with environmental and social mitigation and enhancement measures in the design and implementation of projects through the use of ESMPs and standard construction contract clauses; and

d) Schedule 3 projects are not subject to environmental and social assessments as no potential ES risks and impacts are anticipated; but will still apply generic environmental and social clauses as part of the construction/works contract agreement.

Step 5: Review and Approval of ES Screening Report by Environmental Protection Agencies

The ES Screening Report will be submitted to the Regional Environmental Protection Authority with a request for approval. The Regional Environmental Protection Authority will review the Screening Report and will:

(a) Accept the document with conditions relating to its implementation. In such a case, the RREs/RPCOs ES Specialists and WROs ES Focal Persons shall consider the recommendations during projects ES instruments preparation and implementation. The recommendations shall be integrated in the ES instruments, and subsequently in procurement and contract documents.

(b) Accept the document with required and/or recommended amendments. In this case, the RREs/RPCOs ES Specialists and WROs ES Focal Persons shall consider the recommendations, revise/amend the ES screening report, and resubmit it to the regional environmental protection authorities for review and approval.

(c) Reject the document with comments as to what is required to submit an acceptable ES Screening Report. Here, the RREs/RPCOs ES Specialists and WROs ES Focal Persons shall address the comments and come up with a new ES screening report. This may involve changing the project site or redesigning the project to satisfy the requirements. In special conditions, the proposed project may not be possible to implement, and thus other replacement projects may be needed.

The ES Screening Report may be submitted to the Zonal and Woreda environmental protection offices if they have jurisdiction for review and approval, and also for implementation follow-up.

Step 6: Preparation of ES Instruments

As indicated above, the screening process will determine that a project falls in one of Schedule 1, 2, or 3 categories according to the national ESIA guidelines. The national guidelines recommend the type of ES instrument to be prepared for projects falling under each category.

SCHEDULE 3 PROJECTS

Schedule 3 projects are not subject to environmental and social assessments as no potential ES risks and impacts are anticipated. However, generic environmental and social clauses shall be included as part of the works contracts (see Annexes M and N).

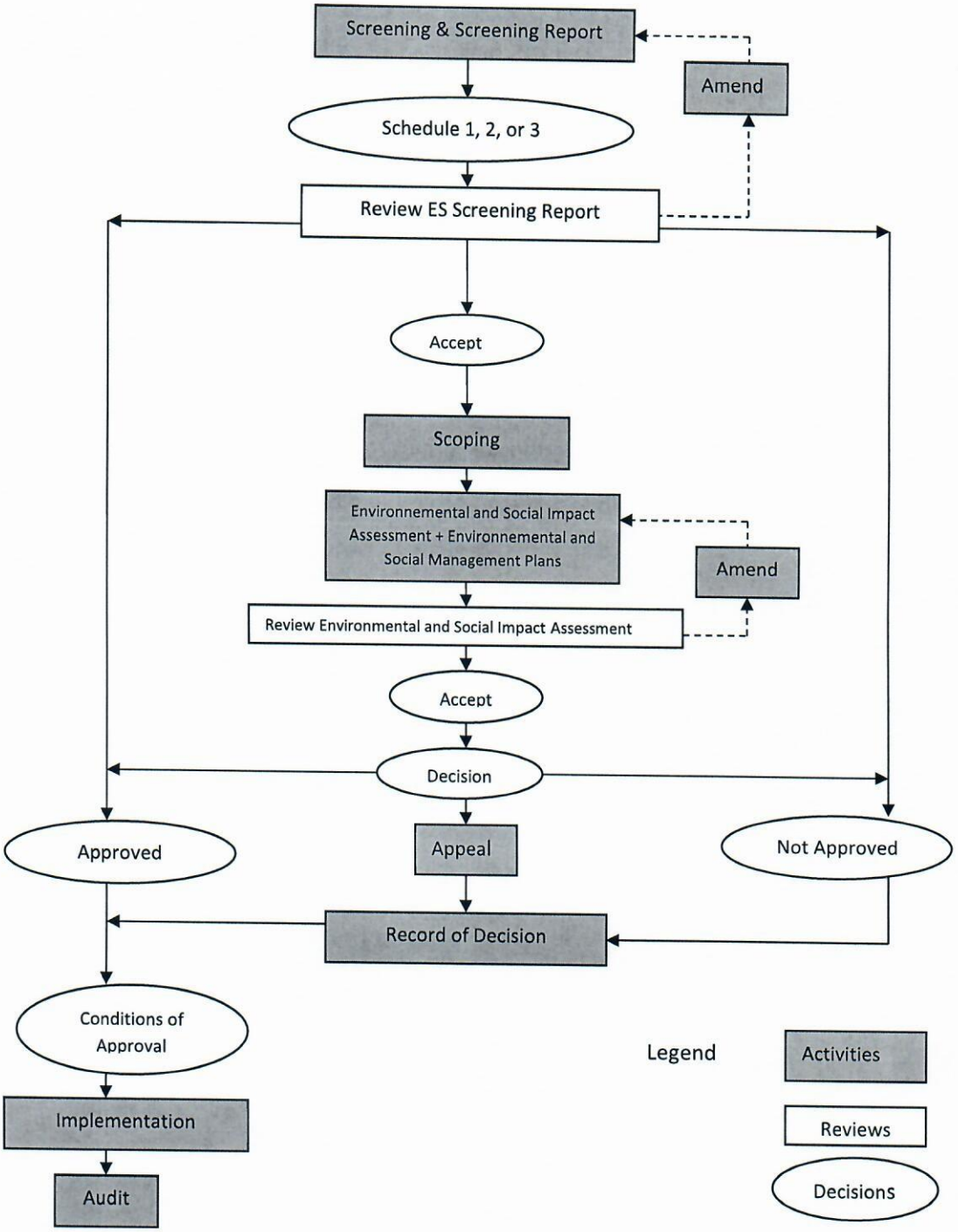
SCHEDULE 2 PROJECTS

Schedule 2 projects will require preparation of Preliminary ESIAs (which are equivalent to ESMPs) by the RREs/RPCOs ES Specialists responsible for the projects. The RREs/RPCOs may engage independent consultants to prepare for the Preliminary ESIAs, if necessary. The Preliminary ESIAs will require:

- ⇒ A field visit to the project area to identify likely environmental and social impacts;
- ⇒ Consultation with beneficiaries and affected communities;
- ⇒ Preparation of Preliminary ESIA or an Environmental and Social Management Plan (ESMP);
- ⇒ Use of the ESMSG environmental and social contract clauses and impact mitigation checklists - attached in Annexes M and N.

The Preliminary ESIAs will be submitted to the REPA with a request for review and approval. The REPA will review the Environmental and Social Safeguard instruments and accept the documents (with conditions relating to implementation), accept the documents with required and/or recommended amendments or reject the document with comments as to what is required to submit an acceptable Preliminary ESIA.

Diagram 3: Schedule 1, Full ESIA Application Process



SCHEDULE 1 PROJECTS

Schedule 1 projects require preparation of Full Environmental and Social Impacts Assessments (ESIAs) by independent consultants other than the design consultants. The engineering design consultants should not be engaged in preparation of ESIA due to conflict of interest. Preparation of ESIAs entails

(i) scoping and Terms of Reference (ToR) preparation, and (ii) preparation of the ESIAs. These steps are described below.

ES Scoping and ESIA Terms of Reference (ToR)

The objective of the scoping activity is to identify the requirements for and prepare Terms of Reference that can be used to secure and guide an independent consultant licensed by EPA to carry out the Environmental and Social Impact Assessment (ESIA). A typical ToR is provided in Annex F.

The scoping stage will be carried out by the RREs/RPCOs ES specialists responsible for the project. It aims to identify:

- The objectives, scope, tasks to be undertaken, outputs and estimated costs of the ESIA,
- The issues or concerns to be assessed, and
- The significant effects and factors to be considered.

The purposes of scoping are to:

- Involve potentially affected groups,
- Consider reasonable alternatives,
- Evaluate concerns expressed,
- Understand local values,
- Determine appropriate methodologies, and
- Establish the terms of reference,

The outcome of scoping is a Terms of Reference for undertaking the full ESIA. The ESIA ToR requires it to be reviewed by the Regional EPA.

The ESIA ToR should include requirements on:

Executive summary

Policy, legal, and administrative framework

Project description

Baseline data

Stakeholder consultations

Environmental and social risks and impacts

Analysis of alternatives

Environmental and social management plan (ESMP)

Environmental and social monitoring plan

Implementation arrangements and capacity development

Implementation schedule and cost

Appendixes:

- List of ESIA report preparers
- References
- Record of interagency and consultation meetings
- Tables presenting the relevant data
- List of associated reports.

An outline for the Terms of Reference for an ESIA is provided in Annex F.

The ToR for the ESIA will be submitted to the REPA with a request for approval. The REPA will review ESIA ToR and accept the document (with conditions relating to implementation), accept the documents with required and/or recommended amendments or reject the document with comments as to what is required to submit an acceptable ESIA ToR.

Preparation of Environmental and Social Impact Assessment (ESIA)

For RCSFSP construction projects that are expected to result in significant environmental and social risks and impacts, an ESIA report in the form set by national law and guidelines is required as described in Annex F. The RREs/RPCOs ES specialists responsible for the project may consult with the relevant Regional Environmental Protection Authority for technical advice and will procure the services of an environmental and social consulting firm to prepare the ESIAs. The format for the ESIAs will follow the requirements under the FEPA/REPA guidelines.

The purpose of ESIA is to generate sufficient information on significant impacts that enable the preparation of an ESIA, which will be used to determine whether or under what conditions a project should proceed.

Environmental and social impact study involves:

- Impact prediction,
- Impact analysis,
- Consideration of alternatives,
- Preparation of management plan (mitigation, monitoring activities), and
- Preparation of contingency plan.

Assessing impacts characteristics should:

- Be carried out with well-defined values of significance,
- Compare all feasible alternatives,
- Document the values and beliefs on which judgments are based, and
- Be based on acceptable methodology, research and experimental findings.

Design of mitigation measures seeks to:

- Find better ways of doing things,
- Eliminate or minimize negative impacts,
- Enhance benefits and mitigate adverse impacts, and
- Protect public and individual rights to compensation (if required),

Mitigation options include:

- Alternative ways of meeting the needs,
- Changes in planning and design,
- Improving monitoring and management,
- Clauses in construction contracts that mitigate construction impacts,
- Monetary and in-kind compensation (if required),
- Performance bonds,
- Replacing, rehabilitating, etc.

As part of the ESIA process, Environmental and Social Management Plans (ESMPs) will be prepared and implemented for Schedule 1 projects. Effective implementation of the ESMPs will ensure that appropriate mitigation measures have been employed to avoid and/or minimize any potential impacts resulting from the proposed project.

The contents of an ESMP should include:

- A description of the possible adverse effects that the ESMP is intended to address;
- Identification of project design alternatives that would meet similar objectives, and a description of why these design alternatives are not viable, especially if they have a lesser environmental or social impact;
- A description of planned mitigation measures, and how and when they will be implemented;

- A program for monitoring the environmental and social impacts of the project, both positive and negative;
- A description of who will be responsible for implementing the ESMP; and
- A cost estimate and source of funds.

Environmental and social contract clauses should be included in construction contracts. **Error! Reference source not found.** to include in contractor agreements.

The ESIA and ESMP will be submitted to the REPA with a request for approval. The REPA will review the ESIA and ESMP and will:

- Accept the document - with conditions relating to implementation;
- Accept the documents with required and/or recommended amendments; or
- Reject the document with comments as to what is required to submit an acceptable ESIA and ESMP.

Supervision of ESMPs

REPA should advise RREs/RPCOs on the supervision of the ESMPs for Schedule 1 and 2 projects within the overall plan for the projects. Accordingly, the supervision arrangements for the ESMPs should summarize key areas on which supervision will focus critical risks to implementation of the ESMPs, how such risks will be monitored during implementation and agreements reached with the project proponent.

Supervision of the ESMPs, along with other aspects of the projects, covers monitoring, evaluative review and reporting and is designed to:

- Determine whether the project is being carried out in conformity with environmental and social management systems and legal agreements;
- Identify problems as they arise during implementation and recommend means to resolve them;
- Recommend changes in project concept/design, as appropriate, as the project evolves or circumstances change; and
- Identify the key risks to project sustainability and recommend appropriate risk management strategies to the Proponent.

It is vital that an appropriate environmental and social supervision plan (Environmental and Social Monitoring Plan) is developed with clear objectives to ensure the successful implementation of an ESMP.

Budget

The ESMP for each Schedule 1 and 2 projects will outline the appropriate budget required to implement measures for mitigation and monitoring. It will also indicate the costs of training and capacity building required. Costs should be calculated based on estimates provided by contractors for any mitigation measures required during the civil work. For example:

- Costs of ensuring the appropriate dust suppression mechanisms are in place during excavation works must be calculated and included in the tender documents;
- Costs of installing erosion control measures should be estimated as part of the engineering costs; and
- Costs of monitoring noise during construction should be calculated based on the frequency of monitoring and cost of equipment.

Other ES Instruments

If identified as a requirement for the project through the ES screening process, additional and specific ES instruments or plans shall be prepared alongside or as an integrated part of the ESMP. Such plans may include (i) waste management plan, (ii) occupational health and safety management plan, (iii) community health and safety management plan, (iv) site restoration plan, (v) GBV/SEA/SH action plan, (vi) security management plan, (vii) indigenous peoples, women, and vulnerable groups engagement plan/procedures, etc. These plans shall be prepared based on the national guidelines (where available) and good industry international practices, and in consideration of the World Bank ES core principles for PforR financing.

STEP 7: REVIEW AND APPROVAL OF ES INSTRUMENTS BY ENVIRONMENTAL PROTECTION AGENCIES

The purpose of the review is to examine and determine whether the Environmental and Social Impact Assessment (ESIA) and Environment and Social Management Plan (ESMP) are an adequate assessment of the environmental and social effects and of sufficient relevance and quality for decision-making.

The Preliminary ESIA, full ESIA and ESMP will be presented by the consultant responsible for the project to the RREs/RPCOs ES specialists for approval. Once approved, the documents will be compiled and submitted by RREs/RPCOs to the REPA. The REPA will review the documents.

The review will be conducted by the REPA, and it will include review of a) Screening Report including the ESIA/ESMP Terms of Reference; b) ESIA and ESMP; and c) environment and social performance monitoring or audit reports at different stages in the project cycle.

Reviewing by the REPA may include considerations of the adequacy of:

- Compliance with the "approved ToR";
- Required information;
- The examination of alternatives, assessment of impacts, appropriateness of mitigation measures and monitoring schemes as well as implementation arrangements;
- The use of scientific and analytical techniques;
- The extent of public involvement and reflection of PAPs concerns; and
- Presentation of the information to decision makers at Regional, Sectoral, and Local levels.

Disclosure of Project Information

In compliance with Government of Ethiopia ESIA proclamations/guidelines and before the construction of a project is approved, the applicable documents (ESIA, ESMP) must be made available for public review at a place accessible to local people (e.g. at a local government office: WROs, RREs and REPA) in a form, manner, and language they can understand.

STEP 8: INTEGRATION OF ES REQUIREMENTS IN DESIGN, PROCUREMENT AND CONTRACT DOCUMENTS

The ES management process indicated above (ES screening and instruments preparation) will be conducted in parallel with the technical project preparation process, particularly feasibility studies and engineering design preparations. Most importantly, ES instruments (Preliminary and full ESIAs) are prepared in parallel with the engineering designs so that one feeds into the other. ES design recommendations (included in ESMPs) will be integrated into the projects' engineering designs. Further, ES construction recommendations, through the ESMPs, will be integrated into works contract documents, i.e., technical specifications, bill of quantities, and contract general/special

conditions. The ES requirements include detailed workers and public safety requirements. Further, Contractors will include ES staff in their project team with the necessary qualification experience. Contractors should be allowed to review, plan, and cost for environmental and social requirements set in ESMPs. No procurement document should be tendered out prior to integrating ES requirements into it. Further, the RREs/RPCOs technical specialists, along with the ES specialists, will ensure that works contracts without ES requirements are not awarded to contractors.

STEP 9: IMPLEMENTATION AND SUPERVISION

When approval has been given to the ESIAs/ESMPs, systemic follow-up is needed:

- To ensure that the anticipated ES risks and impacts are maintained within the levels predicted,
- To see that the unanticipated risks and impacts are managed and or mitigated before they become problems,
- To realize and optimize the benefits expected, and
- To provide information for a periodic review and alteration of the environmental and social management plan and enhance social and environmental protection through good practice at all stages of the project.

It is, therefore, necessary that ESMPs and any other ES plans are monitored and reported on. As part of the program's construction project implementation, arrangements will made for contracts to be prepared and signed by appropriate parties and financing agreements signed with implementing agencies or beneficiary representatives. Most of the arrangements regarding construction, implementation, and supervision are contained in a legal contract signed between the executing agency and the contractors. It is critical that the results of the ESIA process (special mitigation measures, design specifications, supervision plans, and monitoring arrangements) be duly incorporated into the legal contract. In addition to special measures that may need to be included in the contract, the program's construction projects will find it very advantageous to prepare a standard set of environmental clauses to be included in each contract. If necessary, these could be prepared individually for different categories of the RCSFS program's construction projects. Examples of generic contract clauses are provided in Annexes M and N.

Monitoring and Evaluation

Monitoring of projects should be carried out in line with the Environmental and Social Monitoring Plan which forms part of the ESMP. Monitoring the compliance of the RCSFS program's construction project implementation with the mitigation measures set out in its ESMPs will be carried out by the RREs/RPCOs ES specialists and woreda ES Focal Persons that are responsible for environmental and social management. RREs/RPCOs and WROs ES specialists/focal persons will have responsibility for carrying out this monitoring by regularly visiting the projects, and pursuing the following corrective measures as required. Further, the RREs may engage supervising engineers to conduct monitoring. In such a case, the supervising engineers should have ES staff in their team. Compliance monitoring comprises on site-inspection of construction activities to verify that measures identified in the ESMPs included in the clauses for contractors are being implemented.

STEP 10: ANNUAL ES REPORTS AND AUDITS

Once implementation of the RCSFSP construction project has started, regular supervision missions should be carried out by RREs/RPCOs safeguard specialist and WROs ES focal persons responsible for the project monthly, quarterly, and annually. Annual environmental and social reports, summarizing

progress of ES implementation, must be submitted to the REPA and MUI/FPCO, and the MUI/FPCO will submit to the World Bank for review.

The purpose of the annual ES reports is to provide:

- A record of RCSFSP project activities, experiences, lesson learnt and issues running from year-to-year that can be used for identifying difficulties and improving performance; and
- Practical information for undertaking an annual review.

Further, annual environmental and social audits will be conducted by the REPA. The annual ES audits by the REPA are the main requirements for financing projects in the regions and woredas in the next annual capital investment plan. The annual environmental and social audits will be considered to be the principal source of information to project management for improving environmental and social performance. The purpose of the annual performance audit includes (i) assessing compliance with the ESMSG procedures, learning lessons, and improve future ESMSG implementation performance; and (ii) assess the occurrence of, and potential for, cumulative impacts due to project activities, where applicable. Outline for the annual ES audit is provided in Annex J.

6. COMPLAINTS HANDLING MECHANISM

Complaints handling mechanisms provide a formal avenue for affected groups or stakeholders to engage with the project implementers or owners on issues of concern or unaddressed impacts. Complaints may take the form of specific complaints for damage/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.

The Ethiopian Government outline standard requirement for grievance mechanisms for projects. Complaints handling mechanisms should receive and facilitate resolution of the affected communities' concerns and grievances. 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.

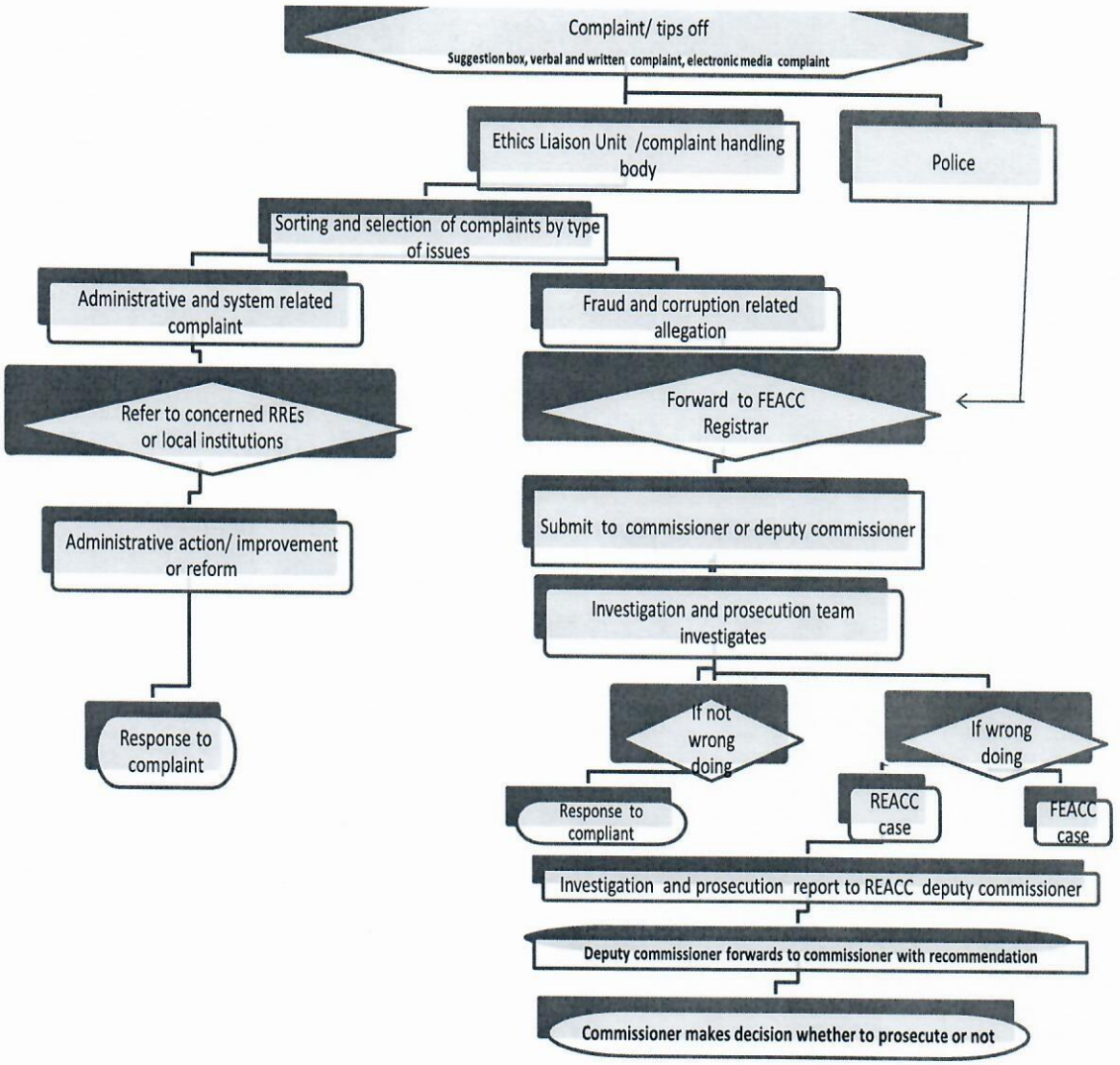
Grievances can be an indication of growing stakeholder concerns (real and perceived) and can escalate if not identified and resolved. The management of grievances is therefore a vital component of stakeholder management and an important aspect of risk management for a project. While this Project may have limited potential adverse impacts to people and the environment in general, identifying grievances and ensuring timely resolution is still very necessary. As such the ESMS has developed a complaint handling process to serve as a guide during project implementation.

Complaint handling mechanisms are in place at all levels of governments as per the requirement of the National Proclamations (Proclamation 433/2005 and 434/2005) and institutional level operational guidelines. These proclamations clearly define the procedures to follow under corruption offences as well as for administrative complaints related to program projects. There are a number of ways for participation and engagement of citizens in complaint handling, transparency and social accountability. At the grassroots, citizens have shown experience in forming community groups, committees or representatives to liaison with constituency and seek solutions. Local governments have started to create a forum for receiving requests and information and responsiveness by local authorities. Such mechanisms include facilitating face-to-face meetings and joint discussion between citizens and providers of services, joint monitoring and assessment performances.

The first priority is to settle grievances (or complaints) amicably wherever possible. At the beginning of the process – first receipt of a grievance or complaint – positive discussions should take place to convince the Project Affected Person (PAP), in the presence of elders, local administration (woreda and kebele) representatives or any influential and respected person in the locality.

The recommended processes for handling grievances and complaints, in general, are illustrated in the following figure. ESMSG related complaints and grievance can be differentiated initially as to whether they involve fraud or corruption allegation or an administrative and system related issue.

Diagram 4: Complaint Handling Flow Chart for RCSFS Program



6.1. Proposed ESMSG Complaints Handling Management Mechanism

Registration of Complaints

As long as one of the RCSFSP projects (construction works) entails complaints, the Local Government (RREs) will establish a register of complaints related grievances and disputes. The existence and conditions of access to this register (where, when, how) shall be widely disseminated within the interested area of the woreda as part of the consultation undertaken for the projects (construction works). For any environmental related issues will be filed in the first instance at the Regional PCO/RREs/Local Government Office responsible for the project implementation and will be registered by the Regional PCO/RREs for further action using the above-mentioned register.

First Instance – Amicable Settlement

While there are courts of law for handling grievances, local communities may often be reluctant to expose family members to courts of law, which could trigger the separation of families or worsen conflicts between neighbors. Also, courts of law may be viewed as slow and involving somewhat complicated procedures. People may prefer such matters to be handled by a "first instance" mechanism, on the model of traditional dispute-resolution mechanisms.

In such operations, it usually appears that many grievances have roots in misunderstandings, or result from conflicts with neighbors, which can usually be solved through adequate mediation using customary rules. Most grievances can be settled with additional explanation efforts and some mediation. This is why the first instance of dispute handling will be set up with the aim of settling disputes amicably, in the form of a locally selected Mediation Committee. (See proposed process in the figure on the next page).

The Mediation Committee will consist of the following members:

- Regional PCO/RREs/Local Government (agency implementing the investment project (construction works),
- REFCC REPA or its delegate
- Labour affairs and/or other representatives from relevant public institutions
- Local NGO (chairperson),
- Local representatives of PAPs (2 to 5) – these should be selected in the affected locality.

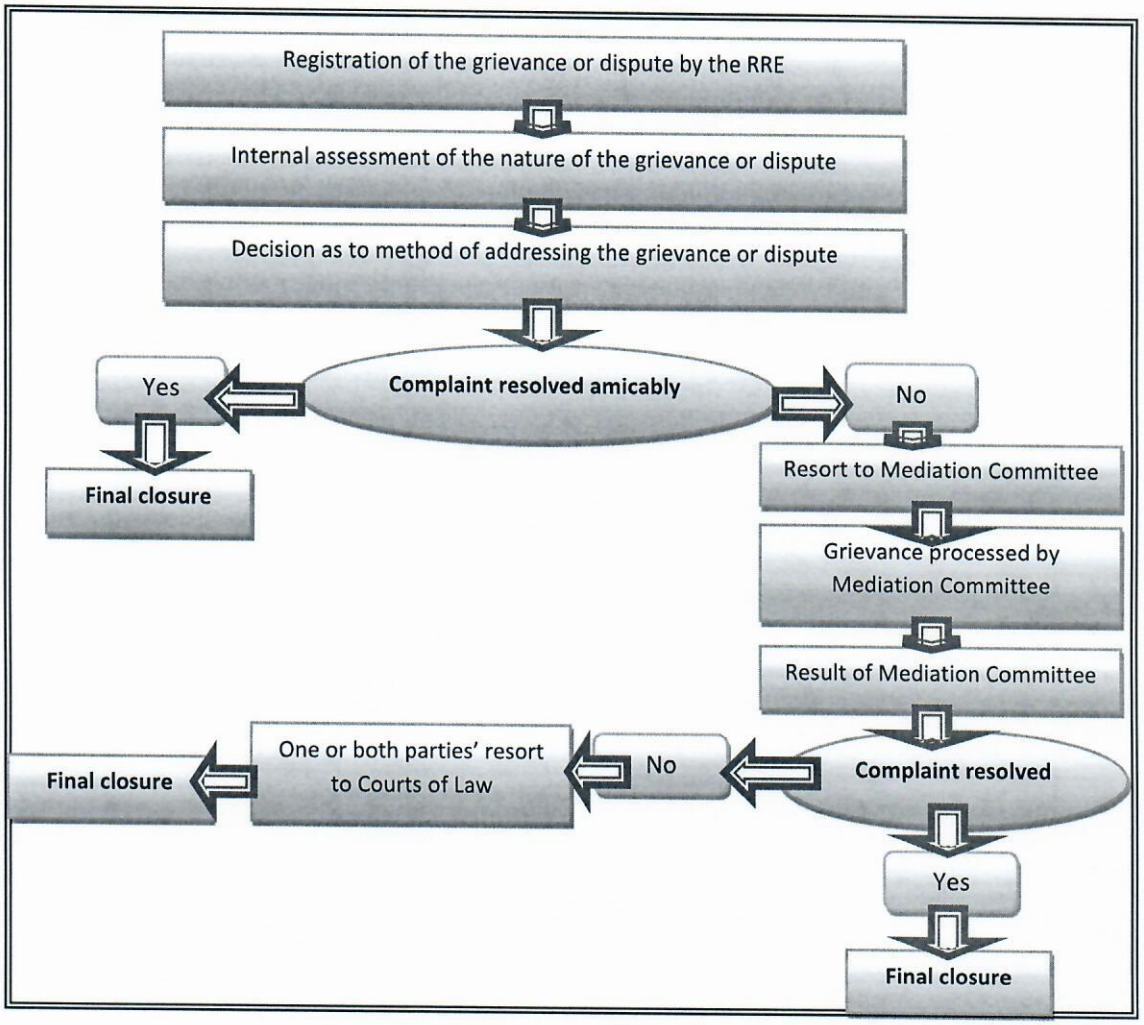
Any environmental and social issues should be pursued directly by the designated team through liaison with the relevant actors. The project implementation team will ensure community members, and in particular PAPs, are informed about the avenues for grievance redress, and will maintain a record of grievances received, and the attempts to resolve these. All PAPs will be informed about how to register grievances and complaints, including other specific concerns. The existence and procedural details related with this first instance mechanism will be widely disseminated to the local residents as part of the consultation undertaken for the preparation of the project or construction works.

Appeal to Court

Whenever misunderstandings and disputes arise between the principal parties (e.g. RREs and PAPs) the preferred means of settling disputes is through arbitration. The number and composition of the arbitration tribunal may be determined by the concerned parties.

Courts of law shall be considered as a last resort option, which in principle should only be used where first instance amicable mechanisms have failed to settle the grievance/dispute. However, the Constitution allows any aggrieved person the right of access to a court of law.

Diagram 5: ESMSG Complaints Handling and Dispute Management Mechanism



6.2. Grievance Redress Mechanism

Ethiopia Rural Connectivity for Food Security Program (RCSFSP) appraisal document states that Grievance Redress Mechanism (GRM) to be formulated to address the issues raised by the public with regard to the project implementation since GRM provides a predictable, transparent and credible process to all parties, resulting in outcomes that are seen as fair, effective and lasting. Accordingly, Grievance Redress Committees (GRM) will be appointed to take necessary steps in order to harmonize project activities as well as the well-being of the General Public.

The GRM will be established at; (i) the Project Site ii) Woreda, (iii) the Regional Government, (iv) the Federal Level at MUI.

This Manual therefore outlines the Grievance redress mechanism for the implementation of RCSFSP, describing the paths for the general public, the community, an aggrieved party or any Project Affected Persons (PAPS) to submit a complaint or express a grievance against the project, its staff or contractors among others during implementation. It also describes procedures, roles and responsibilities in the grievance management process.

Likewise, Communities and individuals who believe that they are adversely affected as a result of a Bank supported P for R operation, as defined by the applicable policy and procedures, may submit complaints to the existing program grievance mechanism or the Bank's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed to address pertinent concerns. Project affected communities and individuals may submit their complaint to the Bank's independent Accountability Mechanism (AM). The AM houses the Inspection Panel, which determines whether harm occurred, or could occur, because of Bank non-compliance with its policies and procedures, and the Dispute Resolution Service, which provides communities and borrowers with the opportunity to address complaints through dispute resolution. Complaints may be submitted at any time after concerns have been brought directly to the Bank's attention, and Bank Management has been given an opportunity to respond.

6.2.1. Scope of the GRM

The GRM shall apply to all concerns and grievances, perceived or real, related to all activities linked to the implementation of the program including but not limited to:

- Disclosure of information;
- The procurement procedures;
- The general contract management/project implementation
- The infrastructure designs;
- Time and pace of works;
- Fraud and Corruption;
- Environmental concerns;
- Time and manner of payments;
- Any other social related concerns affecting the people.

6.2.2. Main Objectives of GRM

The main objective of establishing GRM is to resolve problems in an efficient, timely and cost-effective manner in a cordial environment with the participation of all stakeholders including affected parties. Under the GRM, it shall describe the options available to the project for grievance redress. Any environmental or social impacts (other than issues of valuation and compensation) that would be adversely affecting the general public in the project area should be resolved at the RCSFS GRM.

6.2.3. Specific Objectives of GRM

- Provide a forum for redressing grievance and disputes at the lowest level using alternative dispute resolution mechanisms, e.g., Negotiation, Mediation and Conciliation.
- To create effective communication between the project and affected parties.
- To build up productive relationships among all stakeholders including affected parties.
- Provide access to affected parties to negotiate and influence the decisions and policies of the project which might be adversely affected by them.
- Mitigates or prevents adverse impacts of the project on communities and produces appropriate corrective or preventive action.
- To harmonize both project and affected parties' activities.

6.2.4. Types of Grievances

Aggrieved persons can file different types of complaints depending on the specific issue or concern. Grievances can be related to several issues, including labor, provision of service, environmental impact, social impact, health and safety, or project execution. The figure that follows provides an outline of some of the grievances for this program's projects. These may include but are not limited to the following categories:

Table 10. Types of Grievances

S. No	Labour Related	Provision of Service Related	Environmental Impact Related	Social Impact Related	Health and Safety	Project Execution
1	Wages/payment period	Distribution of payment (non-payment/ reduced payments/ delays)	Noise	General information/lack of information	Communicable diseases	Stakeholder engagement
2	Rest period /hours of work	Beneficiary exclusion error/eligibility	Disposal of material	Access (temporary/lack)	PPE requirements	Project description/ bids/failure to implement scope
3	Vacation leave/sick/maternity/family leave/special leave/termination	Water access	Dust or chemical pollution	Privacy	Violence (physical or sexual) from workers	Procurement and contract administration
4	Staff performance (harassment; discrimination, bullying, exploitation	Corruption and household selection	Waste management issues (ash cleaning)	Violence (physical or sexual) from workers		Staff performance
5	Injury and Training	Route selection	Deforestation	Participation		Quality, cost and time
6				Land acquisition, VLD		Design
				Cash transfers / temporary grants / cash for work		Acceptance

6.2.5. Procedure for Grievance Redress Mechanism

Awareness of GRM

GRM should be given wide publicity among stakeholder groups such as affected parties, government agencies, and civil society organizations. Effective awareness of GRM process makes people better understanding about their options, depending on the types of complaints. However, measures should also be taken to encourage stakeholders not to submit false claims. Criteria for eligibility need to be communicated and also awareness campaigns should be launched to give publicity to the roles and functions of the GRM.

Similarly, an effective awareness program should be arranged for APs about the creating and activities will be performing by GRM.

Creating GRM at Different Level

Project Site Level GRM is comprised of the following members.

- Woreda Road Desk Representative - Chairman
- Project Site clerk - Secretary
- Representative of Supervision Consultant - Member
- Representative of Contractor – Member
- Representatives from a S and E Organization (if necessary) - Member
- Community member (if necessary) – Member

Woreda Level GRM is comprised of the following members.

- Woreda Road Desk - Chairman
- Woreda Administration Representative – Member
- Representative of Supervision Consultant - Secretary
- Representative of Contractor – Member
- Representatives from a S and E Organization (if necessary) - Member
- Community member (if necessary) – Member

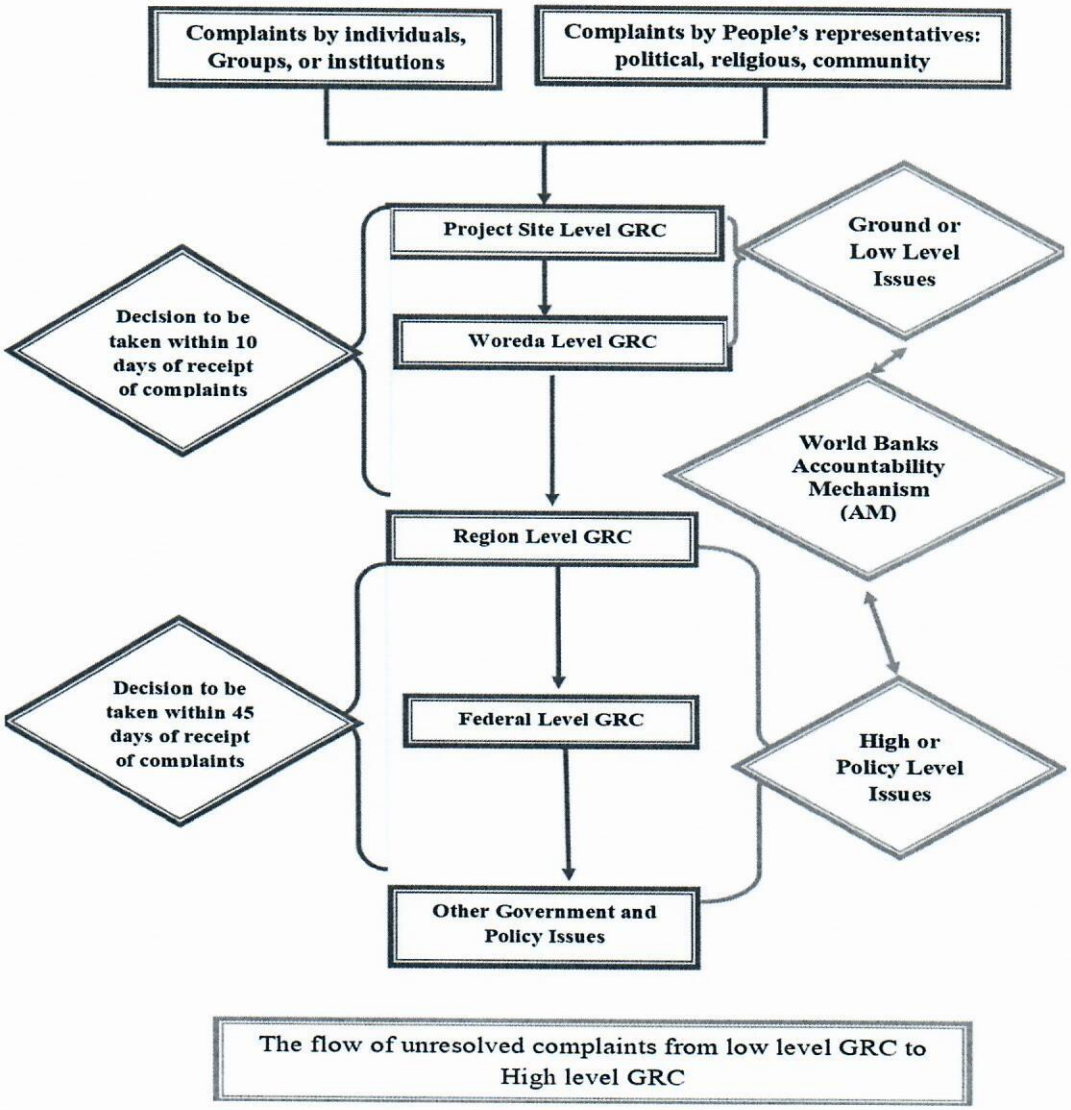
Regional Level GRM

- Regional Roads Entity - Chairman
- Regional RCSFS PCO – Secretary
- Region Administrator representative - Member
- An officer from Regional Police office - Member
- Representatives from a S and E Organization (if necessary) - Member
- Regional Construction Regulatory Entity - Member

Federal Level GRM

- Ministry of Urban and Infrastructure – Chairman
- Federal level RCSFS PCO - Secretary
- An officer from ERA - Member
- A representative from an ECA – Member
- A representative from an CMI - Member
- Steering Committee – Member

Diagram 6: Structure of Grievance Redress Committee (RCSFSP - GRM)



Categorizing the Level of Grievance Issues

a) Ground or Low-level Issues

- This level includes the type of grievance that will be handled or resolved at lower-level decree at Project Site level or Woreda road desk level by using amicable ADR methods like Negotiation, Mediation and Conciliation.
- This level includes Complaints having an Issue of Lack of consultation and Participation or Disclosure of information, Land acquisition and Compensation, Environment (deforestation, soil erosion, and disruption of natural habitats) and Social Impacts (Noise, pollution, change in land use and daily life disruption), Quality of Construction issues from the perspectives of design, materials or Workmanship, accessibility and mobility, Safety and Security and the Performance of GRM at that level.

b) High level to Policy Level Issues

- This level includes the type of grievance that will be handled or resolved at higher level decree at regional level or Federal level by using ADR methods like Arbitration or Court System Like Litigation.
- This level includes but not limited to Complaints having an Issue of unresolved complaints from Woreda level GRM. Those issues necessitate high level decision related to Time, cost, Quality and Safety performance of the project. In addition, some Political issues, Resettlement and Boundary issues, Payment and Contractual Issues, procurement issues, Fraud and Corruption issues.

c) World Bank accountability mechanism level

- The World Bank Accountability Mechanism is an independent complaints mechanism for people and communities who believe that they have been, or are likely to be, harmed by a World Bank-funded project. It houses the Inspection Panel and the Dispute Resolution Service.

For the purposes of the project, a complaint is a notification (in written, verbal, or electronic form) concerning project activities or the conduct of staff, consultants, partners, or sub-contractors involved in supporting or implementing the project. The complainant believes this conduct is improper, either legally or ethically.

In addition to the existing project grievance, communities and individuals who believe they are adversely affected by a Bank-supported project, as defined by the applicable policy and procedures, may submit complaints to the Bank's Grievance Redress Service (GRS) as stated in the PforR section. Complaints can be submitted at any time after concerns have been brought directly to the Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the Bank's Grievance Redress Service (GRS), visit https://www.worldbank.org/GRS. For information on how to submit complaints to the Bank's Accountability Mechanism (visit https://accountability.worldbank.org).

Complainants need not be personally aggrieved or impacted; they may act out of a sense of civic duty in bringing an issue to the attention of project authorities. All complaints, whether from individuals who feel personally aggrieved or those acting out of civic duty, will be acknowledged, and addressed by project authorities. The Committee will specifically focus on and seek to resolve complaints related to the outputs, activities, and processes undertaken by the project.

The processing of GRM:

i. Assign focal points.
ii. Receive and register complaints.
iii. Screen and refer the complaints.
iv. Coordinate with other GRMs/ agencies (if required).
v. Assess the complaint.
vi. Formulate a response.
vii. Select a resolution approach.
viii. Implement the approach.
ix. Settle the issues.
x. Track, document, and evaluate the process and results.

Table 11. Implementing Activities in GRM

Steps	Process	Activity Description
1	**Assign focal points**	At Site Project level, Woreda level, Region level, Federal
2	**Receive and register complaints**	**A complain register includes**
		Reference Number,
		Data of the complaint,
		Name of the complainant/s,
		Gender, National Identity Card number/ Passport number,
		Address,
		Summary of the complaint,
		Signature of the complainant/s
3	**Screen and refer the complaints**	**Check the eligibility of the complaint received**
		The complainant is identifiable and has provided a name and contact details,
		The complainant is affected by the project
		The complaint has a direct relationship to the project.
		The issues rose in the complaint fall within the scope of the issues that the GRM is mandated to address.
4	**Coordinate with other GRMs/agencies**	**The coordination functions of such a central body could include,**
		Facilitation of case referrals to appropriate agencies.
		Tracking and monitoring grievance resolution,
		Maintaining a central database of complaints received.
		Analyzing data and preparing regular updates,
		Establishing feedback loops with relevant agencies and the APs
		Identifying capacity-building needs of the GRM members,
		Identifying awareness-creation needs,
		Liaising with media and monitoring,
		Giving feedback to project management
5	**Assess the complaint**	**Criteria should be established and could include the following:**
		Severity of the problem,
		Potential impact on the well-being of an individual or group,
		Potential impact on the project, and public profile of the issue.
6	**Formulate a response**	**The response should include the following elements:**
		Acceptance or rejection of the complaint,
		Reasons for acceptance or rejection,
		Next steps where to forward the complaint,
		A time frame; and
		Further documents or evidence required. e.g., field Investigations.
7	**Select a resolution approach**	**Selecting Amicable and Alternative dispute resolution methods**
		Negotiation or
		Mediation or
		Conciliation by Reviewing and Evaluating Grievance Detailed.
8	**Implement the approach**	**Important aspects to be considered in the implementation of a project.**
		Creating a Conducive environment for the Aps,
		Allowing the APs with third party,
		Undertaking field inspections,
		Referring to the complaints for technical assessments,
		Minimizing investigative,
		Avoiding delays,
		Referring to the relevant laws,
		Inviting other relevant agencies or persons,
		Creating opportunities Settlements,
		Assuring decision-making processes are independent, Documenting the grievance redress process,
		Communicating the grievance redress outcome to the AP and the relevant agencies.
9	**Settle the issues**	**Project-based GRMs may propose a variety of strategies to settle grievances**
		Taken the appropriate measures to remove the cause of grievance,
		Signing agreements between APs and the project for solutions mutually agreed upon
		Assuring the APs to address their grievances at the end of completing the project
		Initiating a monitoring process

Steps	Process	Activity Description
10	**Track, document and evaluate the process and results**	An evaluation system should assess the overall effectiveness and the impact of the GRM.

Grievance Redress Mechanism Using Alternative Dispute Resolution (ADR) methods Negotiations, Mediation, and Conciliation

Grievance redress mechanisms are formal or informal processes that aim to address concerns and resolve disputes between parties. Negotiations, mediation, and conciliation are three commonly used methods within grievance redress mechanisms. Let's explore each of these methods in more detail:

i. **Negotiations:** Negotiation is a process in which parties engage in discussions to reach a mutually acceptable agreement. It involves open and honest dialogue, where parties express their positions, interests, and goals. In the context of grievance redress mechanisms, negotiations can be used to resolve disputes and find common ground between the parties involved. Negotiations can be facilitated by a mediator or conducted directly between parties.

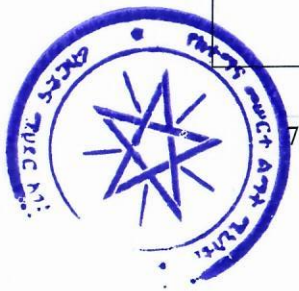
ii. **Mediation:** Mediation is a form of dispute resolution in which a neutral third party, known as a mediator, assists the parties in reaching a voluntary and nonbinding resolution. The mediator facilitates communication, helps parties explore their grievances, and encourages cooperative problem-solving. Mediation allows parties to express their feelings and concerns, both together and separately, with the goal of finding a sustainable resolution. It can be an effective method for resolving contractual disputes and improving workplace communications.

iii. **Conciliation:** Conciliation is a process similar to mediation, where a neutral third party, the conciliator, assists parties in resolving their disputes. The conciliator plays a more active role in proposing solutions and suggesting compromises to help the parties reach an agreement. Conciliation can involve joint fact-finding, negotiation, and problem-solving. Like mediation, conciliation aims to promote an amicable agreement between the parties involved.

It's important to note that these methods are not mutually exclusive and can be used in combination or sequentially, depending on the nature of the dispute and the preferences of the parties involved. Grievance redress mechanisms using negotiations, mediation, and conciliation aim to address concerns through dialogue, problem-solving, and cooperative approaches.

Table 12. Implementation Plan for Grievance Redress Committee

Steps	Levels of GRM	Committee members	Their position in the Committee	Expected work	Completion Time frame	Responsible Agency/Person
1	**Project Site Level GRM**	Woreda Road Desk Representative	Chairman	❖ Receipt of complaint	1-5 day	Secretary to GRM at project Site level
		Project Site clerk	Secretary	❖ Register the complaint,		
		Representative of Supervision Consultant	Member	❖ Screen and handle low level complaint,		
		Representative of Contractor	Member	❖ Refer unresolved complaint to the next GRM and		
		Community member	Member			
2	**Woreda Level GRM**	Woreda Road Desk	Chairman	• Register and review the dissatisfied complaint at project site GRM,	5-7 day	Secretary to GRM at Woreda level
		Woreda Administration Representative	Member	• Giving an appointment to APs have a meeting,		
		Representative of Supervision Consultant	Secretary	• Hold meeting with Aps		
		Representative of Contractor	Member	• Try to resolve the compliant amicable using ADR methods.		
		Community member	Member			
3	**Region Level GRM**	Regional Road Entity	Chairman	• Communicate complaint directly or referred complaint from Woreda level GRM because of high level decision requirement,	15 days	Secretary to GRM at Region level
		Regional RCSFS PCO	Secretary	• Try to resolve the compliant amicable using ADR methods.		
		Region Administrator representative	Member	• recorded the issue and prepare report or refer to Federal level		
		An officer from Regional Police office	Member			
		regional Construction Regulatory Entity	Member			
4	**Federal Level GRM**	Ministry of Urban and Infrastructure	Chairman	Communicate complaint directly or complaints referred from region level GRM because of high level decision requirement,	30 days	Secretary to GRM at Federal level
		Federal RCSFS PCO	Secretary	Try to resolve the compliant amicable using ADR methods.		
		An officer from ERA	Member	Record the issue and prepare report or refer to Federal level		



Steps	Levels of GRM	Committee members	Their position in the Committee	Expected work	Completion Time frame	Responsible Agency/Person
		A representative from an ECA	Member			
		A representative from an CMI	Member			
		Steering Committee	Member			
5	**World Bank's Grievance Redress Service (GRS)**	World Banks Accountability Mechanism (AM)	World Bank AM System	• Receipt of Request and Decision on Registration	15 days	World Bank AM System
				• Eligibility and Panel Recommendation	52 days	
				• Referral to Dispute Resolution (DR)	266 days	
				• Investigation	180 days	
				• Post-Investigation	52 days	
				• Verification of MAP Implementation	266 days	

7. TRAINING AND CAPACITY BUILDING

7.1. Overview

During program design and implementation period, substantive capacity building and technical assistance program should be designed and implemented on environmental and social safeguards and safety assessment and management practices through provisioning and improving of human and financial resources, provision of trainings and other logistics facilities.
The training and capacity building activities proposed to support ESMS implementation are:

a) General training and awareness/sensitization provided by MUI (FPCO), Ethiopian Roads Administration (ERA), Construction Management Institute (CMI) and Federal and Regional EPAs.

b) In depth training for relevant FPCO experts, RREs, Regional PCO officers and WROs responsible for the project and environmental staff on implementation of the ESMS including all aspects of environmental management, ESIA, public consultation, and integration of environmental and social management into development planning;

c) Technical and financial assistance to each RREs that participate in programs that provide funds to secure local consultancy services to carry out, where the RREs do not have internal capacity to:

   ⇒ Produce a Screening Report, an ESIA ToR, an Environmental and Social Impact Assessment, Environmental and Social Management Plan, and

   ⇒ Establish and support operation of systems for monitoring and reporting on ESIAs and ESMPs implementation.

d) Appointment of an Environmental and Social Specialists in MUI (FPCO) and Regional Road Entities (RPCOs) responsible for overall ESMS implementation.

7.2. ESMS Training

During the assessment period, the ESSA team identified the existing technical capacity on environment, social and safety management practices as well as preparation and implementation of instruments at regional and district levels is limited. Therefore, provision of an induction before the commencement of each activity and a consecutive on job training throughout the program implementation period are vital to ensure the capacity of implementing parties at all levels are at acceptable level.

Training to RREs project officers, ES specialists, and line agency staff at the RREs and WROs level on environmental, social and safety risks management is required in the form of phased training. This general training and awareness/sensitization program will be developed as a training module. The training will specifically aim to build awareness and sensitize a broad audience, particularly RREs Bureau Heads and Staffs, Program Managers, and Woreda Professional Staffs to the requirements and key aspects of ESMS.

An example of an agenda for a proposed 2-day training workshop on ESMS implementation and indicative training outlines are given in the Box below.

Box 1: Possible Agenda for a 2-Day Workshop Introducing the ESMSG

Day 1

a. **Introduction to Environmental and Social Management System Guideline (ESMSG).** This section will introduce participants to the theory and application of ESMSG as a decision-making tool. It will outline the principles of ESMS and provide clear definitions on ESMSG 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.)). It will also provide guidance on the criteria required for the development of an effective ESMS in practice. Training on the VLDP will also be covered.

b. **Introduction to ESMS Processes (Preparation, Implementation and Monitoring)**

c. **Ethiopian Environmental Legislation.** This section will discuss the application of Ethiopian legislation in terms of the relevant environmental and social laws and policies which apply to activities under the program.

d. **Screening of RCSFSP Projects**. A list of potential activities to be financed and excluded under the program will be discussed. Application of the screening checklist will be explained using case studies.

Day 2

a. **Impacts Identification**. Potential ES risks and 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).

b. **Mitigation and Monitoring Mitigation Measures** as they apply to various types of local construction 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.

c. **Responsibilities for Planning and Reporting** for each target audience, responsibilities for environmental and social management will be discussed as they relate to RCSFSP implementation. This will include responsibilities for planning, management of impact identification and mitigation/monitoring, partnerships with NGOs and technical service providers, partnerships among community members, and reporting.

d. Occupational and Community, Health and **Safety Risks** are many types of risks - chemical, ergonomic, physical, and psychosocial, to name a few - which can cause harm or adverse effects in the workplace and surrounding community. Get resources on specific hazards and their control, including identification, risk assessment and inspections, to keep workplace and surrounding community healthy and safe.

Box 2: Integration of Environmental and Social Management into Development Planning

Topics:

- National and WB environmental policies and legal requirements
- Identification and evaluation of environmental and social risks and impacts
- Labor and working conditions including OHS risks and management measures
- Community health and safety risks, including GBV/SEA/SH, security, and traffic risks
- Incidents investigation, root cause analysis, and corrective action plan development
- Stakeholder engagement
- Monitoring of performance indicators
- Environmental, social and safety instruments preparation
- Environmental, social and safety auditing
- Environmental and social screening
- Environmental and social reporting
- Instructions on operational procedures relevant to the tasks performed (e.g. waste management procedure; storage and handling of hazardous chemicals; use and maintenance of PPE, use of safety protection material); etc.

Schedule:

- Induction training for new workers
- On job training for staffs and field workers, quarterly
- Refresher course, biannual

Box 3: Integration of Environmental and Social Management into Development Planning

Integrating environmental and social considerations into development planning will encompass:

⇒ **Defining Process, Procedures and Responsibilities** for environment related activities and actions into the preparation of the RCSFSP development plans and budgets;

⇒ **Systematic Environmental Data Collection** at the Regional/Local Government/Project level to inform decision-making and prioritization of actions;

⇒ Enhancing the mechanisms for community involvement in priority setting at the Regional/Local Government/Project level;

⇒ **Environmental Awareness and Outreach Programs** for Regional/Local officials, private sector and local communities;

⇒ **Training of Development Agents** working at the kebele level on sustainable resource management.

7.3. Technical and Financial Assistance

MUI will carry out a consultative assessment exercise to determine the existing capacity/capability and the support requirements for each of the participating RREs in terms of their ability to successfully:

⇒ Produce a Screening Report

⇒ Producing Environmental and Social Impact Assessments and Environmental and Social Management Plans

⇒ Establish and support the operation of systems for monitoring and reporting on ESIAs and ESMPs.

7.4. Appointing Environmental and Social Specialist at MUI

It is important that an Environmental and Social Specialist be part of the MUI to provide overall support in supervising the implementation of the ESMSG and coordinating with the relevant stakeholders involved in the program.

The Specialists will contribute to the Program's objectives which include:

⇒ The preparation, together with the implementing entities, of annual work programs and budgets;

⇒ Monitoring project progress as it relates to compliance with the ESMS guidelines, resolving implementation bottlenecks, and ensuring overall that project implementation proceeds smoothly;

⇒ Collecting and managing information relevant to the project and accounts (i.e. environmental monitoring and audit reports of ESMPs); and

⇒ Ensuring that the implementing bodies are supported adequately and that they adhere to the principles of the program, specific to compliance with ESMS guidelines.

The Specialists should be hired on a fulltime basis and will report to the main bodies responsible for execution of the Program.

7.5. Indicative Terms of Reference for RCSFSP Environmental and Social Specialists

OBJECTIVE: To provide technical advice on environmental and social management, and mitigation, and ensure that the RCSFSP ESMSG is fully implemented.

Tasks

⇒ Establish a system for ES screening and ES instruments preparation (ESIAs, ESMPs) set out in this ESMSG, and oversee their smooth operation including advice to RREs on the procurement of consultants for any required ES studies;

⇒ Liaise with the federal EPA on a regular basis;

⇒ Provide specific technical advice on mitigation measures for labor intensive projects;

⇒ Provide technical advice to RREs on all technical issues related to environmental and social management. These issues will relate to impacts on surface water, groundwater, agricultural resources and vegetation, sourcing of materials used in construction, human health, ecology and protected areas, land and soil degradation, etc.;

⇒ Raise awareness and proactively create demand for this technical advice among RREs and WRO officers;

⇒ Be involved in preparing a country specific entitlement matrix under the RCSFSP;

⇒ Undertake review of ESIAs and ESMPs to ensure compliance with the ESMSG; and

⇒ Lead the delivery of capacity building programs for RREs and WRO officers.

8. MONITORING AND AUDITING OF ESMSG IMPLEMENTATION

Annual audit on ESMS implementation will be conducted by the Regional EPAs, or their delegated agencies, which include certified private audit firms, and delivered to MUI and Regional EPAs. In addition, any Schedule 1 project financed by RCSFSP that has been subject to an ESIA study will also be required to produce an annual audit report, for delivery to REPA and MUI.

An independently commissioned environmental and social audit will be carried out on an annual basis. This will be conducted as part of Regional EPA's annual audit of the RCSFSP program. The audit team will report to RREs and MUI that comprises the following points:

a) To what extent environmental and social considerations are being incorporated into the local government planning process;

b) That mitigation measures are being identified and implemented by RREs, and

c) To check that the projects are being correctly screened. The audit will be able to identify any amendments in the ESMS approach that are required to improve its effectiveness.

The annual audit also provides a strong incentive for MUI to ensure that the ESMSG will be implemented, and individual ESMPs are developed and implemented for Schedule 1 and 2 projects. The Audit report will include:

⇒ A summary of the environmental and social performance of the RCSFSP, based on a sample of projects;

⇒ A presentation of compliance and progress in the implementation of the project ESMPs;

⇒ A synopsis of the environmental and social monitoring results from individual project monitoring measures (as set out in the project ESMPs).

The main tasks and contents of the audit will be:

⇒ Description of the project;

⇒ Indicate the objective, scope and criteria of the audit;

⇒ Study all relevant environmental and social laws and regulatory frameworks, including health and safety, sustainable use of natural resources and on acceptable national and international standards;

⇒ Verify the level of compliance by the implementing agencies with the conditions of the environmental and social management plan;

⇒ Evaluate the implementing agencies' knowledge and awareness of and responsibility for the application of relevant legislation;

⇒ Review existing project documentation related to all infrastructure facilities and designs;

⇒ Examine monitoring programs, parameters and procedures in place for control and corrective actions in case of emergencies;

⇒ Examine records of incidents and accidents and the likelihood of future occurrence of the incidents and accidents;

⇒ Examine and seek views on health and safety issues from the project employees, the local and other potentially affected communities;

⇒ Prepare a list of health and environmental concerns of past and ongoing activities;

⇒ Identify any outstanding environmental and social issues and provide recommendations along with the responsible body and appropriate timeframe.

9. ASSOCIATED DOCUMENTS

The ESMSG along with the VLDP is the main ES instrument for management of program environmental and social risks and impacts. However, there are associated document which shall be referred including:

- The Environmental and Social Systems Assessment (ESSA), World Bank
- Project Implementation manual (PIM), ERCSFSP (the ESMSG and manuals below are part of the PIM)
- Annual Performance Assessment (APA) Guideline, ERCSFSP
- Capacity Building and Institutional Development Strategy, ERCSFSP
- Complaints Handling System Manual, ERCSFSP
- Disaster Risk Management Guideline, ERCSFSP
- Gender Development Manual, ERCSFSP
- Information, Education and Communication Strategy, ERCSFSP
- Monitoring and Evaluation Guideline, ERCSFSP
- Road Construction Design and Standards Guideline for DC-2 Unpaved Roads, ERCSFSP

10. REFERENCES

- FDRE (1995), Ethiopian Constitution
- FDRE (1997) Environmental Protection Policy of Ethiopia, Addis Ababa, Ethiopia.
- FDRE (2002) Environmental Impact Assessment (EIA) Proclamation No 299/2002, Addis Ababa, Ethiopia
- FDRE (2002) Environmental Organs Establishment Proclamation No. 295/2002, Addis Ababa, Ethiopia.
- FDRE (2007) Forest Development, Conservation and Utilization Proclamation No. 542/2007, Addis Ababa, Ethiopia
- Environmental Protection Authority of Ethiopia (2004), Guidelines to Prepare Environmental and Social Management Plan, Addis Ababa
- FRDE (2013) Ethiopia's Climate Resilient Green Strategy, Addis Ababa
- The new World Bank's Environmental and Social Management Framework
- FRDE Ministry of Urban Development and Housing Environmental and Social Management System Guidelines for Urban Local Governments

11. ANNEXURES

Annex A: Assessment of Environmental and Social Management Systems against Core Principles (Extracted from the ESSA)

1. INTRODUCTION

Based on the review of documents, field observations, analysis of the environmental and social effects of the proposed Program and consultations and discussions with key Program implementing stakeholders, the ESSA is organized by the six Core Principles for *Program for Results Financing* and synthesizes the main findings using the SWOT (Strengths-Weaknesses-Opportunities-Threats) analysis applied to the P-for-R context in the following way:

- **Strengths** of the national and borrower systems, or where it functions effectively and efficiently and is consistent with *Program for Results financing Core Principles*.
- Inconsistencies and gaps ("**weaknesses**") between the CPs and national and Borrower systems as well as capacity constraints.
- **Opportunities** to strengthen the existing Borrower system.
- Risks ("**threats**") to the proposed actions designed to strengthen the system.

The ESSA team also assessed the existing capacity of relevant organizations on ESRM including the proposed Program implementing institutions as well as Environment, Forest and Climate Change Authorities at regional and woreda levels, who participate in the implementation of Program's ESRM.

2. P-FOR-R CORE PRINCIPLES

The Core Principles and key planning elements incorporated establish the policy and planning elements generally necessary to achieve outcomes consistent with PforR objectives. These principles and elements guide the assessment of the existing Program ESMSs as well as their capacity to plan and implement effective measures for ESRM. They also serve as a basis for provision of related Work Bank implementation support. The CPs and key planning elements are summarized as follows:

Core Principle 1: General Principle of Environmental and Social Impact Assessment and Management

Environmental and social management procedures and processes are designed to (a) promote environmental and social sustainability in Program design, (b) avoid, minimize, or mitigate against adverse impacts, and (c) promote informed decision-making relating to a program's environmental and social effects.
Program procedures will: 1. Operate within an adequate legal and regulatory framework to guide environmental and social impact assessments at the program level. 2. Incorporate recognized elements of environmental and social assessment good practice, including (a) early screening of potential effects; (b) consideration of strategic, technical, and site alternatives (including the "no action" alternative); (c) explicit assessment of potential induced,

cumulative, and trans-boundary impacts; (d) identification of measures to mitigate adverse environmental or social impacts that cannot be otherwise avoided or minimized; I clear articulation of institutional responsibilities and resources to support implementation of plans; and (f) responsiveness and accountability through stakeholder consultation, timely dissemination of program information, and responsive grievance redress measures.

Core Principle 2: Environmental Considerations – Natural Habitats and Physical Cultural Resources

Environmental and social management procedures and processes are designed to avoid, minimize, and mitigate against adverse effects on natural habitats and physical cultural resources resulting from a program.
As relevant, the program to be supported: ▪ Includes appropriate measures for early identification and screening of potentially important biodiversity and cultural resource areas. ▪ Supports and promotes the conservation, maintenance, and rehabilitation of natural habitats; avoids the significant conversion or degradation of critical natural habitats, and if avoiding the significant conversion of natural habitats is not technically feasible, includes measures to mitigate or offset impacts or program activities. ▪ Takes into account potential adverse effects on physical cultural property and as warranted, provides adequate measures to avoid, minimize, or mitigate such effects.

Core Principle 3: Environmental Considerations – Public and Worker Safety

Environmental and social management procedures and processes are designed to protect public and worker safety against the potential risks associated with (a) construction and/or operations of facilities or other operational practices developed or promoted under the program; (b) exposure to toxic chemicals, hazardous wastes, and otherwise dangerous materials; and (c) reconstruction or rehabilitation of infrastructure located in areas prone to natural hazards.
As required, the program to be supported has to: ▪ Promote community, individual, and worker safety through the safe design, construction, operation, and maintenance of physical infrastructure, or in carrying out activities that may be dependent on such infrastructure with safety measures, inspections, or remedial works incorporated as needed. ▪ Promote use of recognized good practice in the production, management, storage, transport, and disposal of hazardous materials generated through program construction or operations; and promotes use of integrated pest management practices to manage or reduce pests or disease vectors; and provides training for workers involved in production, procurement, storage, transport, use, and disposal of hazardous chemicals in accordance with international guidelines and conventions. ▪ Include measures to avoid, minimize, or mitigate community, individual, and worker risks when program activities are located within areas prone to natural hazards such as floods, hurricanes, earthquakes, or other severe weather or climate events.

Core Principle 4: Social Considerations – Land Acquisition and Loss of Access to Natural Resources

Land acquisition and loss of access to natural resources are managed in a way that avoids or minimizes displacement, and affected people are assisted in improving, or at least restoring, their livelihoods and living standards.
Key Planning Elements: As relevant, the Program to be supported: ▪ Avoids and minimizes land acquisition and related adverse impacts. ▪ Identifies and addresses economic and social impacts caused by land acquisition or loss of access to natural resources, including those affecting people who may lack full legal rights to assets or resources they use or occupy. ▪ Provides compensation sufficient to purchase replacement assets of equivalent value and to meet any necessary transitional expenses, paid prior to taking of land or restricting access. ▪ Provides supplemental livelihood improvement or restoration measures if taking of land causes loss of income-generating opportunity (e.g., loss of crop production or employment); and ▪ Restores or replaces public infrastructure and community services that may be adversely affected.

Core Principle 5: Social Considerations – Indigenous Peoples and Vulnerable Groups

Due consideration is given to cultural appropriateness of, and equitable access to, program benefits giving special attention to rights and interests of Indigenous Peoples and to the needs or concerns of vulnerable groups.
▪ Undertakes free, prior, and informed consultations if Indigenous Peoples are potentially affected (positively or negatively) to determine whether there is broad community support for the program. ▪ Ensures that Indigenous/Underserved Peoples can participate in devising opportunities to benefit from exploitation of customary resources or indigenous knowledge, the latter (indigenous knowledge) to include the consent of the Indigenous Peoples. ▪ Gives attention to groups vulnerable to hardship or disadvantage, including, as relevant, the poor, the disabled, women and children, the elderly, or marginalized ethnic groups. If necessary, special measures are taken to promote equitable access to program benefits.

Core Principle 6: Social Considerations – Social Conflict

Avoid exacerbating social conflict, especially in fragile states, post-conflict areas, or areas subject to territorial disputes.
Key Planning Elements: ▪ Considers conflict risks, including distributional equity and cultural sensitivities.

2.1 Core Principle 1: General Principle of Environmental and Social Management

Applicability: Yes

The Program mainly focused on the enhancement of rural road accessibility through construction and improvement of woreda roads and bridges, i.e., construction of new rural roads and bridges. As the Program is planning to finance a part of the first phase of the RCAP, undertaking construction activities of several new woreda roads and bridges in all regional states of the country will become self evident. The construction of woreda roads and bridges will entail multiple E&S risks and impacts, most of which are described in Section five. These risks/impacts were also observed to occur in the past during URRAP I & II implementation. These and other E&S risks/impacts are anticipated to occur during the Program implementation and need to be adressed prior to commencement of the individual subprojects. CP1 is necessary to address the E&S risks/impacts of the Program and hence it is applicable.

(A) Strengths

Program Level (Program Implementing Institutions Level):

- The Program implementing institutions are found distributed at national, regional, and woreda levels. The national Program implementing institutions, mainly MUI, shall apply the national E&S management laws and regulations outlined below which decisively respond to Core Principle 1 and its planning elements. As explained above, the regional and woreda level Program implementing institutions, mainly transport bureaus or rural road authorities and woreda road desks/offices, will also apply the customized regional E&S management laws of their respective regions or the national E&S laws. Therefore, the Program will operate within an adequate legal and regulatory framework to guide ESIAs at subproject level.
- The Ethiopian Road Administration and Ministry of Transport and Logistics have developed guidelines and manuals to guide ESRM at the sectoral level. While the ERA environmental and social management manuals (Volume 7A & 7B) are intended for Regional Road Authorities, the two draft manuals prepared by MoTL on Environmental Protection and Management (2011) and Framework Guideline for Environmental Protection and Public Safety (Draft for discussion, 2012) intended for application in URRAP subprojects will provide additional technical guidelines for preparation of subproject-specific E&S instruments for Program subprojects, to be prepared at woreda level with the support of subproject engineers.
- ERA has a well-established Directorate for Environment, Social, Occupational Health and Safety (ESHOS) and another team for Right of Way (RoW). ERA's Directorate is well staffed and supported by fiscal budgets to run its ESRM works at national level. Based on organizational financial procedures and availability of allocated budgets, it can commit resources to commission the preparation of subproject level E&S instruments such as ESIAs. As per the organization's practices, the Regional Roads Support Team (RRST) supported by the ESHOSD and RoW Team can provide technical and capacity building support to the Program.
- At regional level, many of the rural roads authorities have one or two staff specialized in ESRM. These experts are meant to support the E&S management activities of the rural roads authorities which is largely driven by the ERA design standards and manuals.

National Level

- The country has adopted the key principles of E&S management and sustainable development at different levels of its main legislations and policies including in the FDRE Constitution and Environment Policy of Ethiopia. The Environmental Policy of Ethiopia (EPE, 1997) is aimed at guiding sustainable social and economic development of the country through the conservation and sustainable utilization of the natural, man-made and cultural resources and the environment at large.
- The country has put in place ESIA Proclamation No.299/2002 which defines the fundamental requirements and procedures for environmental and social impact assessment. The ESIA proclamation provides the legal and regulatory framework that guides environmental and social impact assessments applicable at national level. This federal ESIA law has been in force for nearly two decades and hence its systemic enforcement was growing and expanding over the years. Furthermore, whereas some of the regional states involved in the implementation of the proposed Program apply the federal ESIA law as is in their regions (e.g., Sidama, South Ethiopia, South West Ethiopia, Gambella and Benishangul-Gumuz), the other regions such as Afar, Amhara, Oromia, Somali, and Tigray states have already enacted their own customized version of ESIA regulations based on the federal ESIA law to further contextualize and strengthen the ESIA system in their respective jurisdictions.
- Article 4(1) of the federal ESIA proclamation and relevant sections of the subsequent regional ESIA regulations highlight some of the main aspects for consideration while carrying out impact assessments. These include site location, nature of project, cumulative effects, duration, reversibility or irreversibility of the effects of the project, etc. There are also other provisions in the federal ESIA proclamation such as article 8 (1&2) which require to provide sufficient information in ESIA reports and outlining the minimum information requirement ESIA reports should contain that are essential for informed decision-making during ESIA review and approval. The federal ESIA procedural guidelines and Amhara Region EFWPDA ESIA guideline also elaborates further on the level of information requirement for acceptable ESIA report. Consideration of these aspects by the ESIA law would confirm with the principles and key planning elements of Core Principle 1 on environmental and social risk management.
- The inclusion of concerns and opinions of affected communities in the ESIA study process is also considered as one important issue in preparing an acceptable ESIA both at federal and regional levels. The federal ESIA law has also made it clear in article 15(1) (and relevant sections of subsequent regional ESIA regulations) by stating that the Authority (i.e., FEPA) or the relevant regional environmental agency shall ensure that the comments made by the public and in particular by the communities likely to be affected by the implementation of a project are incorporated into the environmental and social impact study as well as in its evaluation. In a similar move with the federal EPA, the Amhara, Oromia, Tigray, the former SNNP, Gambella and Benishangul-Gumuz regional EPAs do not consider an ESIA report which is not consisting of evidence for community consultation as acceptable for clearance or approval.
- The implementation of the federal ESIA proclamation by the FEPA is also supported by ESIA procedural guideline (2003) and ESMP preparation guideline (2004) which provide essential procedural steps for carrying out ESIA and the required minimum contents of an ESMP. The ESIA

procedural guideline requires that prior to the commencement of ESIA studies, pre-screening consultations, screening and scoping exercises needs to be done in order to categorize the proposed project into one of the three schedules of activities (Schedule I, II or III). The ESIA procedural guideline has consisted in its annexes the list of project types that are categorized under the Schedules I to III. On the other side, the ESMP preparation guideline requires ESMPs to consist of summary of identified impacts, proposed mitigation and enhancement measures, institutional arrangements for implementation of the mitigation and monitoring measures, and preliminary cost estimates to ensure mitigation and monitoring measures are adequately funded for implementation. These guidelines are widely applied not only by the EPA at federal level, but more or less by all regional EPAs. The Amhara Region EFWPDA has published its own version of an ESIA guideline (Directive no.01/2010) which more or less is similar but more elaborate than the federal ESIA guidelines and has distributed it for use by its zonal and woreda branch offices in the region.

- The country has environment protection institutions at federal and regional levels mandated to enforce the ESIA Proclamation and other environmental management related policies and legislations. EPA is the federal environment institution responsible to enforce the ESIA law at national level. There are also regional environment institutions in the proposed Program target regions responsible for enforcing the ESIA system. Most of these regional environment protection authorities have organizational structures that go down to the zone and woreda levels (e.g: Amhara, Oromia, SNNP, Tigray and Benshangul Gumuz regions). Whereas the federal EPA is responsible for enforcing the ESIA law on development projects licensed by the Federal Government and on those that will have trans-regional impacts, the regional environment protection bureaus are generally responsible for enforcing the ESIA law on development projects licensed by their respective regional authorities. Within the regional environment protection authorities, though some variation exists between regions, the woreda level offices are usually mainly responsible for carrying out environmental performance monitoring of approved project ESMPs and for review and approval of Schedule III subprojects.
- All of the regional head offices, and many of the zone and woreda level environment protection offices are getting increasingly involved in enforcing the environmental management system in general and in the review and approval process of ESIAs, ESMPs and E&S screening reports from World Bank financed projects which is helping them gain more experiences on handling ESRM and elaborating relevant instruments.

B) Gaps

The analysis identified significant gaps in how the ESMS functions or operates at national and Program level in actual practice, which constrains the ability of the ESIA process to be a meaningful tool for utilization in sector-specific development programs/projects such as the RCAP. What follows is an analysis that focuses on performance gaps in the application of the national and Program level ESMS in the Program context.

Program Level:

- For the rural road subprojects that are basically of higher grade than URRAP access roads, though there are some practices and experiences of preparing project-level E&S instruments such as

ESIAs by the regional road authorities, their ESMS appears not to be fully functional due to the fact that such instruments are only prepared as part of the contractual agreement for the road design, which is guided by the ERA standard. The ESIA documents prepared for rural road projects are not forwarded to the regional environmental protection authorities for review and approval and hence do not obtain environmental clearance, showing a major gap in the functionality of the system. Neither was observed, during the field assessment, any proof of implementation and monitoring of the rural road ESIAs/ESMPs on the ground apart from keeping them on the shelf.

- The URRAP Directorates, including its zonal and woreda level offices, which are expected to host the Program, do not appear to have an E&S management unit or staff and generally do not exercise the preparation of project-level E&S management instruments such as E&S screening and ESIA/ESMP for any of the URRAP rural access road subprojects, indicating a general lack of experience and institutional capacity gap.
- The ESSA also revealed that, at the regional and lower level URRAP offices, there appears a general lack of awareness and gap in implementing the Environment Protection and Management (2011) and Framework Guideline for Environmental Protection and Public Safety (Draft for discussion, 2012) manuals prepared by MoT.

(C) Opportunities

National Level

- One of the critical roles of RCAP and the World Bank PforR is to coordinate and bring together efforts by the country's regional states and other government institutions (such as the Ministry of Agriculture) to constructing rural roads. The Program will allow adoption of a single national procedure and standard including on ERSM. Although the implementing agencies are spread from national to woreda levels, they are coordinated through adoption of the Program Action Plan, ESMSG, and VLDP. Further, existing capacity gaps in ESRM across regions and woredas will be harmonized through implementation of the PAP including engagement of E&S staff/focal persons in all Program participating regions and woredas, through delivery of capacity building trainings, monitoring, and E&S performance audits.
- The presence of environment protection office and staff provides an opportunity to implement E&S management requirements in relation to Program's subprojects.

The country has put in place various E&S management policies, legislations and guidelines that support the development of broader environmental protection and management systems in Ethiopia. It has also been exercising the implementation and enforcement of these environmental protection and management laws through the environment protection institutions it established at federal, regional and woreda levels. Though implementation and enforcement of the environmental protection and management systems in the country has been going for nearly two decades spearheaded by these environment protection institutions, more needs to be done to strengthen the performance capacity of the ESMSs especially at woreda levels. This is important in the Program context, due to the fact that the rural access road development works are initially planned and implemented at woreda levels. Thus, strengthening the woreda environment protection offices provides conducive opportunities for adequately addressing the E&S management requirements of the Program.

(D) Risks

The risk of not addressing the gaps identified above will potentially result in the proposed Program not being able to operate in a system-based approach which would allow it to effectively manage E&S risks/impacts. The risk of not complying with CP1 and its key planning elements is that rural access road and bridge construction works will be carried out without ensuring that adverse environmental and social impacts of the subprojects are addressed. This in turn will risk the occurrence of adverse E&S effects that will undermine Program effectiveness and cause potential E&S harm, including reputational and political risks to the involved parties.

2.2 Core Principle 2: Natural Habitats and Physical Cultural Resources

Applicability: Yes

The Program will not finance activities that have adverse risks and impacts to biodiversity or natural/critical habitats, including any protected areas. Therefore, no destruction of natural habitats is expected during Program implementation. Similarly, the Program will not finance activities that have adverse impact on cultural heritage. It will undertake initial E&S screening to exclude such activities/subprojects from Program financing. Nevertheless, subprojects may affect vegetation cover along the rural roads. The potential environmental risks of Program activities related to these aspects need to be adressed, and hence Core Principle 2 applies to the Program.

(A) Strengths

Program Level

- Some regional road authorities apply "environment" considerations as one of the criteria during route selection for rural roads[4] (i.e., engineering, administrative, economic, environmental, and social criteria applied for route selection based on ERA guideline). It was explained by the authorities that if a route under consideration does not score the minimum points, it will be dropped. Similarly, if a selected route must cross through important forest areas, often change of route is considered to avoid impacts.

National Level

The ESIA Proclamation (2002) and the ESIA procedural guideline (2003) are consistent with CP2. Specifically, under article 7(1), the federal ESIA proclamation (and subsequent regional regulations) states that a project proponent shall undertake an environmental impact assessment to identify the likely adverse impacts of projects and incorporate the means of their prevention or containment and submit the environmental impact study report to the Authority (FEPA) or the relevant regional environmental agencies. Moreover, the kind of adverse impacts a project proponent (i.e., in this case Program implementers) is required to assess include any change to the environment or to its component that may affect flora, fauna, natural or cultural heritage, or in general, subsequently alter environmental, social,

[4] For instance, Somali Region applies that model consisting of environment to one of their rural road projects. It is a standard road feasibility assessment model applied by road design departments.

economic, or cultural conditions. Thus, the federal proclamation on ESIA has provisions with which it considers the issues of conserving natural habitats and physical cultural resources which are the main concerns of CP2 of the ESRM. Areas where Ethiopia's ESMS functions well include the following strengths:

- The ESIA proclamation is clear in the objectives of an ESIA to protect the environment (natural systems).
- Annex I of the ESIA procedural guideline (2003) lists environmentally sensitive ecosystems that include national parks, forest reserves, wildlife reserves and sanctuaries, wildlife corridors, and areas containing endangered flora and fauna as additional criteria for screening into Schedule I (high impact projects requiring full ESIA study).
- Annex II of the ESIA procedural guideline (2003) lists the potential adverse impacts of concern during the screening process which includes consideration of effects on cultural, religious, historic, archaeological, and scientific resources.
- An Authority for Research and Conservation of Cultural Heritage (ARCCH) was established by Proclamation No. 209/2000, and one of its major responsibilities is the protection of cultural heritage against man-made and natural disasters.
- The country has well-defined legal/regulatory systems for safeguarding environment and ecologically significant areas from pollution, for excluding activities that are likely to have significant adverse impacts on eco-sensitive areas, forest and hilly areas and wetlands.

(B) Gaps

Program Level:

- Experiences from URRAP I and II show that route selection for rural access roads were largely carried by the communities in consultation with the kebele and woreda authorities. The URRAP offices at woreda and regional level expect the beneficiary communities and woreda authorities to handover a selected rural access road route with its RoW cleared. Therefore, there is a huge gap in protecting and reducing adverse impacts on sensitive ecosystems (whether previously identified or unidentified) during route selection and ensuing construction activities.
- Physical cultural resources (PCRs) are not well documented or exhaustively listed at regional and woreda levels.
- Except for cemeteries, there is a general gap in awareness and recognizing what PCRs constitute and the need for preserving them.
- There is a gap in capacity to assess the potential impacts of rural access road and bridge subprojects on physical cultural resources (except cemeteries) and natural habitats by the zone and woreda URRAP offices.

(C) Opportunities

- E&S exclusion criteria for the Program will have to ensure that the financed activities are not planned and implemented in or close to natural/critical habitats, biodiversity of significant value, or known PCRs. The Program should re-route to change parts or whole of the rural roads that would disturb such a habitat or affect a PCR.
- Both the ERA environmental and social management manuals (Volume 7A & 7B) and the two draft manuals prepared by MoT on Environment Protection and Management (2011) and Framework Guideline for Environmental Protection and Public Safety (Draft for discussion, 2012) provides an

opportunity to develop and strengthen appropriate guidance through manuals and checklists to manage risks and impacts to biodiversity areas, natural habitats, and PCRs.

(D) Risks

The rural access roads and bridges development activities under the Program will cover all regions of the country with varying receiving environment. Therefore, such works shall ensure that adverse risks and impacts on biodiversity, natural/critical habitats, protected areas, and PCRs are avoided through proper initial screening of eligible Program activities.

2.3 Core Principle 3: Public and Worker Safety

Applicability: Yes

The Program supported rural access road and bridge development subprojects will invite the participation and involvement of skilled and semi-skilled employees working in subproject management, construction, and community labor functions. Construction workers and community laborers can be exposed to occupational hazards. Community labor participants may also be exposed to forced labor. Child labor is an issue that needs to be prevented in community labor works and rural roads construction by contractors. There are several ways by which the construction process of rural roads in general can affect public health and safety, including through traffic accidents and spread of diseases such as malaria. As a result, Core Principle 3 is applicable to the Program due to the need to ensure that workers and public safety is protected.

(A) Strengths

Program Level:

- The MUI has experience in managing OHS for the Urban Institutional and Infrastructure Development Program (UIIDP, World Bank code P163452), the Urban Local Government Development Program (ULGDP II, World Bank code P133592), and the Urban Local Government Development Project (ULGDP, World Bank code P101474).
- The Ethiopian Roads Administration has a well-organized OHS team staffed with safety engineers. It is responsible for enforcing and monitoring OHS rules and procedures in road construction projects administered by ERA. ERA can provide technical and capacity development support on OHS risk management instruments preparation and implementation.
- Certain regional rural road authorities are organized as public enterprises (e.g., the former SNNP region Rural Roads Authority) and have a "collective agreement" established through negotiation between the workers trade union and enterprise management that govern their employment relationship, rights and benefits including provision of PPEs to workers.
- Regional rural road authorities have the experience of applying OHS clauses in rural road construction contract agreements to enforce the implementation of applicable OHS rules and procedures by contractors.

National Level:

- Workers' safety issues are addressed in conformity with P-for-R financing, through the Labour Proclamation (No. 1156/2019) and Occupational Health and Safety Directive (2008).
- The Civil Servant Proclamation No.1064/2017 also addresses health and safety as well as child labour issues in conformity with P-for-R financing for civil servant workers who will be involved in the Program works.
- Proclamation No.1156/2019 is the prevailing law that is applicable in all the regions where the Program will be implemented. The federal, regional, zone and woreda Labour and Social Affairs offices are responsible to ensure that the health and safety of workers and the public is protected.
- Building Proclamation No. 624/2009 and Regulation No. 243/2011 serves to protect the safety of the public and workers in the construction sector. These laws and guidelines are enforced by the MUI and relevant bureaus in the regions.
- The ESIA proclamation and its regulations contain several provisions for public and worker safety, which are consistent with and aligned with CP3.

(B) Gaps

Public and worker safety aspects are adequately covered through the aforementioned proclamations and directives. However, the following gaps require addressing:

- Regional URRAP Directorates and their branch offices at zone and woreda levels did not have staff for OHS management and have weak capacity for enforcement and monitoring of OHS during rural access road construction.
- There was a gap in the application of the national health and safety rules and procedures in the URRAP rural access road free community labor works.
- There is a general gap in providing appropriate safety orientation and briefing to the community members during community free labor works that enables them to take precaution when lifting and carrying materials, working on sloppy and inclined grounds, working in crowded group, etc.
- Though community labor works are organized through community consultation on "voluntary" basis, there is a gap in devising a mechanism to prevent the occurrence of "forced labor".

(C) Opportunities

The ESSA identified the following opportunities to be considered:

- Incorporate aspects of occupational health and public safety into the proposed Program environmental and social system management guidelines.
- Develop procedures for providing safety orientation and briefings to members of the community participating in free community labor at the start of work through RoW clearance.

(D) Risks

Inability to ensure public and worker safety can result in injuries and loss of life. Therefore, Program activities that may cause potentially high workers and community health and safety risks/impacts will not be funded. Further, if the gaps and opportunities identified are not addressed, there will not be a Program-based approach for addressing OHS issues nor would it be consistent with the CP3 requirements. In addition, the following specific risks will be highlighted during Program implementation:

- No or limited availability of safety protection procedures at work site; and
- No or limited awareness on safety precautions and management among the community members participating in free community labor work.

2.4 Core Principle 4: Land Acquisition

Applicability: Yes

The Program is proposed to finance the entire first phase of the RCAP, which will be implemented throughout the country. The RCAP plans, among others, to connect about 5,921 rural kebeles to the nearest highways by constructing rural access roads and bridges. Experiences from implementation of URRAP I and II show that RoW clearance requires acquisition of land and loss of perennial and seasonal crops. Though the URRAP approached to address such land acquisition and resettlement issue through consultation with beneficiary communities to cede their land and property for RoW "voluntarily", and when feasible with replacement from communal lands, the increasing number of grievances of PAPs shows a growing "involuntary" nature of the land acquisition and the need for addressing it with proper compensation. However, the Program in its ESMSG will include an exclusion criterion and any investment that requires involuntary land acquisitions will be excluded and not financed under the World Bank financed Program. Although the involuntary land acquisition is not allowable, voluntary land donation is possible. Therefore, Core Principle 4 is applicable in the context of the Program's subprojects.

A) Strengths:

Program Level:

- The MUI has an excellent experience in implementing investments including gravel road, drainage facilities, sheds for community market, etc. under its P4R Urban Institutional and Infostructure Development Program, it has developed an Environment and Social Management System Guideline (ESMSG) and Resettlement System Guide (RSG). Both have been reviewed and cleared by the World Bank, indorsed by the participating City Councils and are being successfully implemented.
- The Ethiopian Roads Administration (ERA) has experience in administering land acquisition for its projects and this experience can be shared with the Program implementing institutions. ERA has a dedicated section for RoW clearance and management. The RoW team is responsible for administering involuntary resettlement and compensation of PAPs affected by all federal road projects. The RoW team primarily applies Proclamation No. 1161/2019 and regulation No. 472/2020 to prepare compensation entitlements for PAPs.

National Level:

- Availability of national legal instruments for planning, implementation and monitoring of land acquisition and resettlement activities includes the following:
  - Proclamation No 1161/2019: A proclamation to determine expropriation of landholdings for public purpose, payments of compensation; and
  - Council of Ministers Regulation No 472/2020: Regulation to provide for expropriation of land for public purpose and valuation.

- The above compensation and resettlement legal frameworks have been recently updated and is guiding the implementation and monitoring of land acquisition and resettlement activities. These laws are more correlated to the international policies and guidelines which deal with the issues of land acquisition and resettlement.
- Based on these national level proclamation and regulation and their respective natural, social, cultural, and economic conditions, most of the regional states and the two city administrations have formulated and adopted their respective directives on land acquisition and resettlement.
- The principle of replacement cost for property loss is recognized by Ethiopian Government national and regional policies on land acquisition and resettlement.
- The recently updated Proclamation No.1161/2019 supports livelihood enhancement or restoration efforts for loss of income generating opportunities.
- Strong institutional arrangement for effective implementation of resettlement measures.
- The land acquisition and resettlement system recognize the necessity to rehabilitate or replace public infrastructure that has been destroyed or damaged as a result of development operations.
- Information on land acquisition and resettlement providing sufficient notification of the obligations and rights of those affected.
- Information on rights to timely resolution of grievances is provided.

(B) Gaps

Program Level:

- Development of the rural access road under the URRAP had two stages. The first stage of development was carried out by the local beneficiary communities and kebele/woreda authorities and involves carrying 30-50% of the works by clearing the RoW and conducting free community labor to do the route/RoW clearance before they handover the site to the woreda and regional URRAP offices for further construction assisted by heavy machineries, owned by the woreda administrations. In some instances, it is reported that if the livelihood of a PAP whose farmland is acquired for RoW solely depends on it, the woreda authorities offer a replacement land for compensation. However, the distribution of responsibilities between different institutions for compensation of PAPs affected by RoW clearance has made the process weak and little accountable.
- Woreda and zone URRAP offices claimed that the woreda authorities have insufficient financial resources to pay out cash compensation for PAPs affected by URRAP RoW clearance.
- URRAP subprojects did not undertake screening of planned activities to determine whether they may require involuntary taking of land, relocation of residences or businesses, or restrictions on access to natural resources.
- In all the four regions where the URRAP was implemented, it was observed that dedicated grievance redress mechanisms (GRMs) and procedures were not established.
- Week monitoring and evaluation of resettlement and rehabilitation works.

(C) Opportunities

- Ample experience of MUI in implementing similar P-for-R investments in 117 cities of Ethiopia.
- Availability of the ESMSG for the UIIDP that this Program can use as a reference while developing its own ESMSG.
- Availability of national Proclamations No 1161/2019 and Council of Ministers Regulation No 472/2020 to support and guide the planning, implementation and monitoring of involuntary land acquisition and resettlement process.
- Availability of regional level regulations and guidelines that further customize and elaborate the federal proclamation and regulations on expropriation of land for public purposes and compensation that are widely applied to handle involuntary resettlement issues in most regional states.
- Presence of an extensive experience and capacity in ERA regarding RoW clearance and resettlement compensation management in the road sector which can be shared and applied to build capacities at regional and woreda level Program implementers.

(D) Risks

Inability to ensure a proper application of the exclusion criterion and lack of proper screening to identify the land acquisition risks that may result loss of assets and properties. Therefore, if "involuntary" land acquisition and resettlement occurs during implementation, there will be a risk of not having adequate mechanism to address it in a way that fulfills national and CP4 requirements. Considering this, involuntary displacement will be excluded from Phase I of the Program. Regional and woreda steering committees will be responsible in ensuring this.

2.5 Core Principle 5: Indigenous Peoples and Vulnerable Groups

Applicability: Yes

In the context of Ethiopia, the GoE and World Bank have reached an agreement on how to apply the Environmental and Social Standard (ESS) 7 of the World Bank Environmental and Social Framework (ESF), which is identical with CP5 on Indigenous Peoples and/or Historically Underserved Groups. Accordingly, it is noted that CP5 will apply for the four emerging regional states in Ethiopia (Afar, Benishangul-Gumuz, Gambella, and Somali), known to be Historically Underserved States. Additional regions that partly include Indigenous People are South-West Ethiopia, South Ethiopia, and Oromia. CP5 is applicable to the Program as it will finance Phase-1 of the RCAP and is planned to be implemented throughout the country, including the four Historically Underserved States, and the other three regions identified as historically underserved emerging regions.

(A) Strength

- The Ethiopian Constitution defines a nation, nationality, or people as 'a group of people who have or share a large measure of a common culture or similar customs, mutual intelligibility of language, belief in common or related identities, a common psychological make-up, and who inhabit an identifiable, predominantly contiguous territory'. The Constitution provides for the equal treatment of all peoples, it recognizes the presence of historic socio-economic and political inequality among the various groups.

- Giving priority for communities with distinct social and cultural systems, free, prior, and informed consultations (FPIC) are done during planning and project implementation.
- Schools, health posts and health centers accessibility is given priority for rural access roads prioritization, which positively affects women and children participation and access.
- From federal to woreda level institutional arrangements, consideration for cross-cutting issues, especially gender, is ensured.
- The benefits of a development program must include the underserved and vulnerable, such as women, the elderly, children, and people with disabilities. Rural road construction benefits women, but more effort is required to secure long-term and balanced advantages for women as well as other disadvantaged populations.

(B) Weakness

- There is a gap in understanding on the need for equal treatment of women in workplaces and raising women`s engagement in different economic activities and jobs created for skilled and unskilled women and girls.
- Inadequate capacity of Program implementers to benefit vulnerable groups from rural road development projects in an inclusive way.
- Absence of clear guidance and processes for managing vulnerable group inclusion.
- An accessible GRM for underserved people and remote pastoral communities.

(C) Opportunity

- In Ethiopia there are none as such socially marginalized people or communities, rather there are ethnic minorities with a distinct socio-cultural system.
- The FDRE government has reached a consensus with the World Bank that the FDRE constitution has resolved the issues of ethnic inequalities in Ethiopia.
- The existence of multi government layered effort to mainstream interest of underserved people and vulnerable groups.

(D) Threat

- Resistance from few cultural communities on letting women participates in locally available job opportunities.

To fill the identified gaps, as part of the ESMSG preparation, the Program shall (i) develop plans as part of the subprojects to ensure equitable treatment of indigenous people during Program implementation, (ii) develop mechanism to conduct separate consultations targeting indigenous people and other vulnerable groups, (iii) implement measures to increase women's participation during Program implementation including taking affirmative actions, and (iv) deliver targeted awareness campaigns to women on the benefits of participating during Program implementation.

2.6 Core Principle 6: Social Conflict

Applicability: Yes

As the proposed Program is planned to be implemented in all regional states of the country, there are possibilities that some of the woreda road and bridge subprojects would be implemented in conflict and post conflict areas in some regions. The Program will not exacerbate social conflict; rather, it is intended to provide major social benefits to all rural communities while also improving rural road accessibility.

The prevailing conflict in the northern part of the country, which includes Tigray, parts of Amhara and Afar regional states, as well as other regions, the ongoing conflict in Afar and Oromia, and related social tensions in some areas, can have a significant influence on the Program's capacity to deliver services, particularly in regions with the highest social tensions. However, such disruptions are not directly connected to the Program and are beyond its sphere of effect. Therefore, Core Principle 6 applies to the Program.

(A) Strength

- The GoE has given priority to communities affected by the prevailing war and unrest.
- Schools, health posts and health center accessibility is given priority for rural access roads development.

(B) Weakness

- Inadequate capacity of the Program implementers to benefit communities in conflict areas from rural road development projects.
- Absence of clear guidance and processes for managing social conflicts.
- Weak capacities to ensure compliance and law enforcement.
- Challenge to access the Program participating woredas in the conflict areas.

(C) Opportunity

- Presence of multi sectoral interests and efforts to participate in development and rehabilitation activities in the post conflict areas.

(D) Risk

- Pre-existence and recurrence of social conflicts or tensions in Program locations.
- Existence of destroyed infrastructures might hinder the Program's implementation capacity.
- Political interference, which might exacerbate social conflicts.

Considering social conflict dynamics, the Program will not finance subprojects or activities which may escalate or trigger social conflict.

Annex B: Environmental and Social Exclusion/Eligibility Criteria

To maintain the *Substantial* level of E&S risks/impacts of the Program activities, the Program will apply the following criteria to exclude activities/projects from financing:

- Activities or projects resulting in major vegetation clearance and activities/projects with significant adverse risks or impacts on biodiversity, critical/natural habitats, including any protected area, and cultural heritage sites.
- Activities or projects that may result/cause potentially high workers and community health and safety risks and escalate or trigger social conflicts.
- Involuntary land acquisition and displacements, though less likely, will be excluded from the first phase of the Program. Based on the lessons learnt from the Program, the GoE may include investments that require involuntary land acquisition into the next phases of the relevant GoE implementation plans.

The Regional and Woreda Steering Committees will be responsible in ensuring this.

Annex C: Environment and Social Screening Form/Template (including Guideline for Risk Classification)

Project Title:			
Project Team (Leaders, Members)			
Project Location (include map/sketch):	(E.g. Region, Woreda, Kebele, etc.)		
Type of Project: (e.g. new rural road construction/upgrading, rural road maintenance, construction of trail bridge, construction of approach road, or construction of special structure (pipe culvert, box culvert, bridge)			
Description of Project: (length of road, span of trail bridge, span of structures, construction material sources, estimated number of workers, other aspects of the project)			
Estimated Cost/Budget: (Birr)			
Proposed Date of Works Commencement:			
Technical Drawing and Specifications Reviewed:	(circle answer):	Yes	No

This report is to be kept short and concise.

(a) Site Selection

Physical data: (biophysical and socio-economic baseline conditions of the site)	
Length of road (km), span of bridge (m)	
Existing condition of the infrastructure (if maintenance or upgrading)	
Any existing property within the project area	

Refer to project application for this information.

(b) Impact Identification and Classification

When considering the location of the RCSFSP construction project, rate the sensitivity of the proposed site in the following table according to the given criteria. Higher ratings do not necessarily mean that a site is unsuitable. They do indicate a real risk of causing undesirable adverse environmental and social effects, and that more substantial environmental and/or social planning may be required to adequately avoid, mitigate or manage potential effects. However, risks related to natural/critical habitats, cultural

properties, and involuntary resettlement should be low for the projects to be financed (see Annex B above for projects that will not be funded under the program). The following table should be used as a reference.

Issues	Site Sensitivity			Rating
	Low	Medium	High	
Natural and critical habitats	No natural habitats present of any kind	No critical habitats; other natural habitats present	Critical habitats present	
Water quality and water resource availability and use	Water flows exceed any existing demand; low intensity of water use; potential water use conflicts expected to be low; no potential water quality issues	Medium intensity of water use; multiple water users; water quality issues are important	Intensive water use; multiple water users; potential for conflicts is high; water quality issues are important	
Natural hazards vulnerability, floods, soil stability/ erosion	Flat terrain; no potential stability/erosion problems; no known risks from natural hazards	Medium slopes; some erosion potential; medium risks from natural hazards	Mountainous terrain; steep slopes; unstable soils; high erosion potential; high risk from natural hazards	
Cultural property	No known or suspected cultural heritage sites	Suspected cultural heritage sites; known heritage sites in broader area of influence	Known heritage sites in project area	
Involuntary resettlement	Low population density; dispersed population; legal tenure is well-defined; well-defined water rights	Medium population density; mixed ownership and land tenure; well-defined water rights	High population density; major towns and villages; low-income families and/or illegal ownership of land; communal properties; unclear water rights	
Indigenous peoples	No indigenous population	Dispersed and mixed indigenous populations; highly acculturated indigenous populations	Indigenous territories, reserves and/or lands; vulnerable indigenous populations	

(c) Federal EPA's Environmental Impact Assessment Procedural Guideline Recommended/Indicative[5] Schedule for Program Activities

Project Type	Indicative Schedule
(i) New, construction, upgrading or rehabilitation of major[6] rural roads (ii) All projects in or near environmentally sensitive areas	Schedule 1
(i) New construction of rural roads (ii) Maintenance of rural roads (iii) Trail bridges (iv) Approach roads (v) Special structures (pipe and box culverts)	Schedule 2

[5] This categorization is only "indicative" and should be further confirmed during the ES screening process. Further, these projects shall pass through exclusion criteria indicated in Annex B.

[6] Major rural roads can be longer in length, pass through concentrated settlement areas and areas with special features that needs further attention.

(d) Checklist of Impacts

Rural Roads, Special Structures and Trial Bridges	Potential for adverse impacts				
	None	Low	Medium	High	Unknown
Soil erosion or flooding concerns (e.g., due to highly erodible soils or steep gradients)					
Number of river/stream crossings or potentially disturbances to surface water resources					
Potential effect on surface and groundwater quality					
Potential impact on drainage pattern					
Presence of deep cuts or embankments					
Potential landslides and other types of soil movements in cutting areas					
Increased air pollution and noise levels during construction					
Potential changes/alteration in landscape and land use of the area					
Potential use of vehicles on unpaved roads, potentially generating dust emissions					
Disturbance to traffic and general public due to construction activities including road blockages and stacking of construction materials					
Encroachment into ecologically sensitive and protected areas and habitats					
Potential cearing of vegetation cover					
Potential impact on biodiversity including reduction of biodiversity					
Degradation of the quality of life due to nuisances such as noise, dust, vibrations and traffic					
Potentially involves wet season excavation					
Potentially involves utilities relocation					
Results in disturbance to eco-system and biodiversity					
Be located within or nearby environmentally sensitive areas (e.g. intact natural forests, wetlands, etc.)?					
Loss of cultural, religious and historical heritage as well as aesthetic resources					
Economic or physical resettlement required					
New settlement pressures created					

Rural Roads, Special Structures and Trial Bridges	Potential for adverse impacts				
	None	Low	Medium	High	Unknown
Create solid waste on the sites (including excess fill materials from grading and excavation activities, scrap wood and metals, and small concrete spills)					
Watercourse obstruction and soil compaction causing localized ponding and stagnation					
Potentially cause land contamination					
Aesthetic disruption to the surrounding areas					
Potentially cause occupational health and safety risks and impacts					
Cause potential physical, chemical, and biological hazards (such as accident, injury or illness due to repetitive exposure to mechanical action or work activity)					
Cause and spread communicable disease (poor sanitation and, sexual transmission and vector-borne infections)					
Cause poor water quality and less water Availability					
Cause traffic congestion (traffic accidents, injuries and fatalities among members of the community)					
Cause flood and gully formation at the outlet or end point of drainage canals					
An open ditch or drainage potentially used as waste dumping site that could possibly become sources of microbial breed, physical damage to humans and animals					
Any right of way issues, impact on water lines, telecommunication, electric poles and other utility lines					
Possible impact on individual's property, including impact on houses, fences and other structures					
Can cause more traffic accidents, since pedestrian walkway is not properly considered as part of the road design					
Perturbation or change in land uses, which can lead to social conflicts					
Causes communicable diseases to propagate					
Poses risk of sexual exploitation and abuse/sexual harassment					
Results in labor influx					
Poses structural safety risk					
Other (specify):					

(e) General questions that apply for all types of projects

1. Preliminary Environmental Information: *Yes/No answers and bullet lists preferred except where descriptive detail is essential*	
State the source of information available at this stage (RCSFSP report/design, site observation, stakeholders' consultation, ESIA or other environmental study).	
Has there been litigation or complaints of any environmental nature directed against the proponent or RCSFSP construction works project	

Refer to the application and/or relevant environmental authority for this information.

2. Identify type of activities and likely environmental impacts: *Yes/No answers and bullet lists preferred except where descriptive detail is essential*	
What are the likely environmental impacts, opportunities, risks and liabilities associated with the project	

Refer to ESMS– Impact, Mitigation and Monitoring Guidelines

3. Determine environmental screening category: *Yes/No answers and bullet lists preferred except where descriptive detail is essential.*	
After compiling the above, determine which category the RCSFSP construction project falls under based on the national framework of Schedule 1, 2 and 3.	

Refer to ESMSG – Screening and Review Process

4. Mitigation of Potential Pollution: *Yes/No answers and bullet lists preferred except where descriptive detail is essential*	
Does the RCSFSP construction project have the potential to pollute the environment, or contravene any environmental laws and regulations?	
Will the RCSFSP construction works project require pesticide use?	
If so, then the proposal must detail the methodology and equipment incorporated in the design to constrain pollution within the laws and regulations and to address pesticide use, storage and handling.	
Does the design adequately detail mitigating measures?	

Refer to ESMS– Impact, Mitigation and Monitoring Guidelines

5. Environmental Assessment Report or environmental studies required: *Yes/No answers and bullet lists preferred except where descriptive detail is essential*	
If Screening identifies environmental issues that require further ESIA or a study, does the proposal include the ESIA, ESMP, or any other ES instruments?	
Indicate the scope and timeframe of any outstanding environmental and social studies.	
Required Environmental and Social Monitoring Plan:	
If the screening identifies environmental issues that require long term or intermittent monitoring (effluent, gaseous discharges, water quality, soil quality, air quality, noise etc.), does the proposal detail adequate monitoring requirements?	
6. Public participation/information requirements: *Yes/No answers and bullet lists preferred except where descriptive detail is essential*	
Does the proposal require, under national or local laws, the public to be informed, consulted or involved?	
Has the consultation been completed?	
Indicate the timeframe of any outstanding consultation process.	

Categorization & Recommendations*

Category	Project Description
Schedule 1	Project to be fed into the standard ESIA process determined by EPA and requires preparation of full ESIA which shall include an ESMP
Schedule 2	Project will not require an ESIA, but will necessitate preparation of Preliminary ESIA or ESMP with environmental and social mitigation and enhancement measures in the design and implementation of the project through the use of ESMPs and standard construction contract clauses
Schedule 3	Project is not subject to environmental and social assessment as no potential ES risks and impacts are anticipated but will still apply the generic environmental and social clauses as part of the construction/works contract agreement.

*Place tick in applicable box

Prepared by Name:	
Signature:	
Date:	

Reviewed by Name:	
Signature:	
Date:	

Annex D: ToR for Federal Environmental and Social Specialists

(a) ToR For RCSFSP Federal PCO Environmental Specialist

Objective of the ToR

The objective of the ToR is to obtain the services of a qualified and experienced Environmental Specialist who will assist in providing capacity building and mentoring services to regions and rural road entities (RRE's) in implementation of the RCSFSP Environmental and Social Management System, achievement of disbursement linked indicators and performance measures related to environmental management.

Scope of the Assignment

The Environmental Consultant will have the following duties and responsibilities:

a. Provide overall coordination and assistance in implementation of the ESMS for the RCSFSP.

b. Establish the system of ES screening and instruments preparation set out in this ESMS, and oversee their smooth operation including advice to RRE's on the procurement of consultants for any required ESIA studies;

c. Review and assess project screening reports prepared by the respective 12 Regions RRE's and Dire Dawa City Administration Road Authority, categorized as Schedule 1, 2 and 3, and follow the approval of the reports by regional environmental protection agencies.

d. Review the Environmental and Social Impact Assessment (ESIA) of projects and monitor the implementations of the Environmental and Social Management Plans of the projects

e. Liaise with the FDRE Environment Protection Authority on a regular basis;

f. Site visits during Regional Rural Road project execution and operation to assess how environmental screening and mitigation measures are succeeding or have succeeded in minimizing impacts.

g. Provide specific technical advice on mitigation measures for labor intensive projects;

h. Provide technical advice to RREs on all technical issues related to natural resources and environmental management. These issues will relate to impacts on surface water, groundwater, agricultural resources and vegetation, sourcing of materials used in construction, human health, ecology and protected areas, land and soil degradation;

i. Raise awareness and proactively create demand for this technical advice among RRE's officers;

j. Liaise with the MUI, REPAs and RRE's to ensure the project's compliance with the ESMS in all aspects of the project;

k. Be responsible for collating information related to the ESMS, occupational health and safety;

l. Undertake review of EMPs to ensure compliance with the ESMS;

m. Assist in establishing a monitoring and evaluation system for the implementation of the ESMSG;

n. Lead the delivery of capacity building programs for RRE's officers on the ESMS and produce a training plan.

o. Check and support all Regions' projects that, their RCFSP supported projects are all screened and approved by the Regions' Environmental Protection Authorities.

p. Assist that eligible investments for potential environmental safeguard impacts are screened against the set of environment criteria in the planning stage and Environmental and Social Impact Assessments (ESIAs), Environmental and Social Management Plans (ESMPs) are prepared and approved by the Regional Environmental Protection Agencies as required;

q. Ensure that environmental requirements (ESMPs) are incorporated in design, procurement, and contract documents;

r. Ensure that ESMPs are implemented in a timely manner - during the civil works;

s. Ensure that the RRE's has established a functional system for environmental management;

t. Ensure that the REPAs carry out annual environmental performance audits of all RCFSP supported projects as stated in the RCSFSP PIM; Review the reports for quality, timeliness and issues that need to be followed up by the Regions.

u. Prepared training plan, training materials and provide training to federal, regional and RRE's (RCSFSP) staff on environmental management, occupational health and safety

v. Perform other duties assigned by the Program Coordinator.

Qualifications and Skills Required

The assignment will require a good understanding and knowledge of environmental safeguards that are associated with projects such as the RCSFSP and a high level of technical competence in the implementation of ESMS.

The Consultant should therefore possess the following qualifications:

- Minimum B.Sc. degree or higher in Environmental Science, Environmental Engineering, Natural Resources Management or other related fields;
- A minimum of 10 years general experience of which 5 years specific experience in all aspects of rural road infrastructure development and environmental safeguard impacts, health, and safety issues, screening against environmental criteria in the planning stage and environmental and social impact assessments (ESIAs), environmental and social management plans (ESMPs)
- Experience in working with local governments and/or knowledge of the Road sector in Ethiopia will be an added advantage.
- Excellent writing and communication skills in both Amharic and English.

Level of Effort and Timing

It is expected that the assignment will start on February 1st 2025 or any possible earlier date. The specialist will be based at MUI offices in Addis Ababa with regular travel to RREs in all regions.

Contract: one-year initial contract, with possible extension upon satisfactory performance of the consultant as per the RCSFSP Staff Performance Evaluation and Incentive Scheme.

Remuneration: Negotiable / dependent on qualifications and experience.

Inputs provided by the Client

The FPCO will provide reasonable and standard office space and FPCO will provide office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The Environmental Specialist will be provided, for official business, with internet access and telephone facilities.

Management Procedures

Contractually, the Environmental Specialist will be accountable to the Program Manager to whom all reports and deliverables as per the ToR should be submitted. As agency responsible for the overall coordination and implementation of RSCFSP, the FPCO will sign the contract with the Consultant on behalf of Ministry of Urban and Infrastructure. The FPCO will also be responsible for all payments to The Senior Engineer once the work has been accepted and cleared for payment.

Expected Deliverables

Specific Deliverables

- System for ES screening and instruments preparation set out in this ESMSG.
- Review comments on Environmental and Social Impact Assessment (ESIA) of the projects.
- Review comments of ESMPs to ensure compliance with the ESMS.
- Report on quality, timeliness and issues that need to be followed up by the cities on environmental audits.
- Training plan, training materials and training reports on environmental management, occupational health and safety training.
- Monitor reports on the implementation of landfills and abattoirs

Evaluation Criteria

The following two technical evaluation criteria will be followed to select the individual consultant:

- ✓ Qualification **(40%).** This criterion further divided into two:
  - General Educational Status (10%). – PhD – 10%; Masters – 8%; Bachelors – 6%
  - Relevant Qualification **(30%)**.
    - Required discipline as stated in ToR - PhD – 30%; Masters – 27%; Bachelors – 25%
    - Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
- ✓ Total years of Experience **(60%)**. This criterion further divided into two:
  - General Experience (20%).
  - Relevant Experience (40%).

(b) ToR For RSCFSP Federal PCO Social Development Specialist

Objective of the ToR

The objective of the ToR is to obtain the services of qualified and experienced Social Development Specialist with knowledge and experience of social and resettlement issues related to infrastructure development and service delivery to support regions and RRE's in applying the VLD of the RCSFSP as well

as the achievement of RCSFSP disbursement linked indicators and performance measure related to social development and resettlement.

Scope of the Assignment

The Social Development Specialist will be responsible for assisting the assigned region and RCSFSP participating Woredas in areas involving social development and resettlement of any person affected by the implementation of the capital investment projects by woredas including those financed by the RCSFSP. Specific duties and responsibilities are:

a. Provide overall coordination and assistance in the implementation of the ESMS and VLDP for the RCSFSP.
b. Establish the system of social impact screening, and preparation of social safeguards instrument –VLD protocol as set out in the ESMSG, and oversee their smooth operation including advice to RRE's on the procurement of consultants for any required studies;
c. Site visits during rural road projects execution and operation to assess how social aspects are succeeding or have succeeded in minimizing impacts and provide written feedback to the visited rural road and the respective regional mobile team on strength, gaps and recommended actions
d. Provide specific technical advice on mitigation measures for labor intensive projects;
e. Follow up and ensure inclusiveness community consultations
f. Follow up and ensure the health and safety of the community including populations at risk and vulnerable groups
g. Raise awareness and proactively create demand for this technical advice among WRO officers;
h. Liaise with the MUI and RCSFSP to ensure the project's compliance with the ESMSG and VLDP and all land acquisition aspects of the project;
i. Be responsible for collating information related to the land acquisition and VLD;
j. Undertake review of VLD to ensure compliance with the ESMSG;
k. Establish a monitoring and evaluation system for the implementation of the VLD;
l. Lead the delivery of capacity building programs for WRO officers on the ESMSG and VLDP and produce a training plan.
m. Review, compile and prepare quarterly reports on social safeguards at Federal level
n. Review the social aspect of annual environment and social performance audit reports in line quality, timeliness and social related issues that need to be followed up and addressed by the Woreda's
o. Ensure that the RRE's has established a functional system for social management;
p. Ensure that eligible investments for potential social safeguard impacts are screened against the set of social criteria in the planning stage and VLD are prepared and approved by the Regional Environmental Protection Agency as required;
q. Perform other duties assigned by the Program Coordinator.

Qualifications and Skills Required

The assignment will require a good understanding and knowledge of social safeguards that are associated with projects such as the RCSFSP and a high level of technical competence in the implementation of VLDP.

The Consultant should therefore possess the following qualifications:

- Minimum BA, MA or higher degree in Sociology, Social Work, Social Anthropology, Community Development or other related fields;
- A minimum of 10 years general experience of which 5 years specific experience in aspects of social safeguards, community development and road development in general and sound experience in social safeguards impact screening, VLD preparation, implementation, monitoring and reporting.
- Experience in working with local governments and/or knowledge of the rural road sector in Ethiopia will be an added advantage.
- Have strong dedication and good understanding of the complexities of resettlement and willing to work under stress and demanding situation;

The specialist must be well versed with the World Bank guidelines/ Ethiopian environmental policy and guideline on Environment and Social Safeguards systems and with experience in drafting documents of similar nature

- Excellent writing and communication skills in both Amharic and English.
- Proficiency in the usage of computers including use of office word, excel and PowerPoints

Level of Effort and Timing

It is expected that the assignment will start on February 1st 2025 or any possible earlier date. The Senior Engineer will be based at MUI offices in Addis Ababa with regular travel to RREs in all regions.

Contract: one-year initial contract, with possible extension upon satisfactory performance of the consultant as per the RCSFSP Staff Performance Evaluation and Incentive Scheme.

Remuneration: Negotiable / dependent on qualifications and experience.

Inputs provided by the Client

FPCO will provide reasonable and standard office space and FPCO will provide office furniture and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The Social Development Specialist will be provided, for official business, with internet access and telephone facilities.

Management Procedures

Contractually, the Social Development Specialist will be accountable to the Program Manager to whom all reports and deliverables as per the ToR should be submitted. As agency responsible for the overall coordination and implementation of RCSFSP, the FPCO will sign the contract with the Consultant on behalf of Ministry of Urban and Infrastructure. The FPCO will also be responsible for all payments to the Social Development Specialist once the work has been accepted and cleared for payment.

Evaluation Criteria

The following two technical evaluation criteria will be followed to select the individual consultant:

- ✓ Qualification **(40%).** This criterion further divided into two:
  - General Educational Status (10%). – PhD – 10%; Masters – 8%; Bachelors – 6%
  - Relevant Qualification **(30%).**

- Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
- Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%

✓ Total years of Experience (**60%**). This criterion further divided into two:

- General Experience (20%).
- Relevant Experience (40%).

Annex E: ToR for Regional Environment and Social Specialists

(a) For RCSFSP Regional PCO Environmental and Disaster Risk Management Specialist

Objective of the TOR

The objective of the TOR is to obtain the services of a qualified and experienced **Environmental and Disaster risk management Specialist** who will assist in providing capacity building and mentoring services to Woredas and rural road entities (RRE's) in implementation of the RCSFSP Environmental and Social Management System, mitigation on disaster and achievement of disbursement linked indicators and performance measures related to environmental management and disaster risk management.

Scope of the Assignment

The Environmental and Disaster Risk Management Consultant will have the following duties and responsibilities:

a. Provide overall coordination and assistance in the implementation of the ESMS for the RCSFSP.
b. Establish the system of ES screening and instruments preparation set out in this ESMS, mitigation on disaster risk and oversee their smooth operation including advice to WROs and RRE's on the procurement of consultants for any required ES instruments;
c. Review and assess project screening reports prepared by the respective WROs which the categorized as Schedule 1, 2 and 3 and follow the approval of the reports by regional environmental protection institutions.
d. Review ES instruments of the projects and monitor the implementations of the Environmental and Social Management Plans for the sub-projects
e. Liaise with the Regional Environment Protection Authority on a regular basis;
f. Site visits during regional rural road project execution and operation to assess how environmental screening and mitigation measures are succeeding or have succeeded in minimizing impacts.
g. Provide specific technical advice on mitigation measures for labor intensive projects;
h. Provide technical advice to WROs on all technical issues related to natural resources and environmental management. These issues will relate to impacts on surface water, groundwater, agricultural resources and vegetation, sourcing of materials used in construction, human health, ecology and protected areas, land and soil degradation;
i. Raise awareness and proactively create demand for this technical advice among WROs and RRE's officers;
j. Liaise with the REPAs and RREs to ensure the project's compliance with the ESMS with all aspects of the project;
k. Be responsible for collating information related to the ESMS, occupational health and safety;
l. Undertake review of ESMPs to ensure compliance with the ESMS;
m. Assist in establishing a monitoring and evaluation system for the implementation of the ESMSG;
n. Reviewing and making contributions to the revision/updating of the Rural Road Resilience and Disaster Risk Management Guideline.
o. Together with National Disaster Risk Management Commission (NDRMC), identify needs and develop local DRM and emergency plan (building on woreda risk profile) by end of year 4 of RCSFSP implementation.

p. Prepare and disseminate performance standards and indicators for the RCSFSP to use on rural road and disaster risk management;
q. Monitor and evaluate performance of RCSFSPs Disaster Risk Management Strategies/Plans and Emergency Response Plans;
r. Monitoring compliance with RCSFSP PIM and other manuals in regard to rural road resilience and disaster risk management;
s. Prepare training plan, training materials and provide training to regional and RCSFSP staff on rural road resilience and disaster risk management.
t. Contribute to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on rural road resilience and disaster risk management.
u. Review the Annual Performance Assessment Reports of RCSFSP regarding rural road resilience and disaster risk management and provide comments
v. Perform any other duties assigned by the Program Coordinator.

Qualifications and Skills Required

The assignment will require a good understanding and knowledge of environmental and disaster risk management that are associated with projects such as the RCSFSP and a high level of technical competence in the implementation of ESMS.

The Consultant should therefore possess the following qualifications:

- B.Sc. degree or higher in Environmental Science, Environmental Engineering, Environmental Sciences, Natural Resources Management, Sociology, Social Work, Public Health, Disaster Risk Management, Climate change or related fields.
- A minimum of 5 years general experience of which 3 years specific experience in all aspects of rural road infrastructure development and environmental impacts, health, and safety issues, screening against environment criteria in the planning stage and environmental and social impact assessments (ESIAs), environmental and social management plans (ESMPs) and mitigation on disaster risk.
- Experience in working with local governments and/or knowledge of the road sector in Ethiopia will be an added advantage.
- Excellent writing and communication skills in both Amharic and English.

Level of Effort and Timing

It is expected that the assignment will start on February 1st, 2025. The expert will be based at RRE offices in regional capitals with regular travel to Woredas and project sites.

Contract: One-year contract, extension based on satisfactory performance of the expert as per the RCSFSP Staff Performance Evaluation and Incentive Scheme.

Remuneration: Negotiable/ dependent on qualifications and experience.

Inputs provided by the Client

Regional RRE will provide reasonable and standard office space and office furniture, and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The expert will be provided, for official business, with internet access, telephone and fax facilities.

Management Procedures

Contractually, the expert will be accountable to the Regional RCSFSP program manager & RRE Bureau head to which all reports and deliverables as per the TOR should be submitted. As responsible for the overall coordination and implementation of RCSFSP, RRE will sign the contract with the expert. RRE will also be responsible for all payments to the expert once the work has been accepted and cleared for payment.

Evaluation Criteria

The following two technical evaluation criteria will be followed to select the individual consultant:

- ✓ Qualification **(40%).** This criterion further divided into two:
  - General Educational Status (10%). – PhD – 10%; Masters – 8%; Bachelors – 6%
  - Relevant Qualification **(30%)**.
    - Required discipline as stated in ToR - PhD – 30%; Masters – 27% ; Bachelors – 25%
    - Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
- ✓ Total years of Experience (**60%**). This criterion further divided into two:
  - General Experience (20%).
  - Relevant Experience (40%).

(b) For RCSFSP Regional PCO Social Development and Gender Specialist

Objective of the TOR

The objective of the TOR is to obtain the services of a qualified and experienced **Environmental Management and Disaster risk management Specialist** who will assist in providing capacity building and mentoring services to Woredas and rural road entities (RRE's) in implementation of the RCSFSP Environmental Management System, Mitigation on Disaster and achievement of disbursement linked indicators and performance measures related to environmental management and Disaster Risk management.

Scope of the Assignment

The Environmental Management and Disaster Risk Management Consultant will have the following duties and responsibilities:

a. Provide overall coordination and assistance in the implementation of the ESMS for the RCSFSP.
b. Establish the system of screening forms and EIA set out in this ESMS, Mitigation on Disaster Risk and oversee their smooth operation including advice to WRO and RREs on the procurement of consultants for any required EIA studies;
c. Review and assess project screening reports prepared by the respective WRO which categorized as schedule 1, 2 and 3and follow the approval of the reports by regional environmental protection institutions.

d. Review the Environmental and Social Impact Assessment (ESIA) of the sub projects and monitor the implementations of the Environmental Management Plans of the sub-projects
e. Liaise with the FDRE Environment Protection Authority on a regular basis;
f. Site visits during Regional Rural Road project execution and operation to assess how environmental screening and mitigation measures are succeeding or have succeeded in minimizing impacts.
g. Provide specific technical advice on mitigation measures for labor intensive projects;
h. Provide technical advice to WRO on all technical issues related to natural resources and environmental management. These issues will relate to impacts on surface water, groundwater, agricultural resources and vegetation, sourcing of materials used in construction, human health, ecology and protected areas, land and soil degradation;
i. Raise awareness and proactively create demand for this technical advice among WRO and RRE's officers;
j. Liaise with the REFAs and RRE's to ensure the project's compliance with the ESMS with all aspects of the project;
k. Be responsible for collating information related to the ESMS, occupational health and safety;
l. Undertake review of EMPs to ensure compliance with the ESMS;
m. Assist in establishing a monitoring and evaluation system for the implementation of the ESMSG;
n. Reviewing and making contributions to the revision/updating of the Rural Road Resilience and Disaster Risk Management Guideline.
o. Together with National Disaster Risk Management Commission (NDRMC), identify needs and develop local DRM and emergency plan (building on woreda risk profile) by end of year 4 of RCSFSP implementation.
p. Prepare and disseminate performance standards and indicators for the RCSFSP to use on Rural Road and disaster risk management;
q. Monitor and evaluate performance of RCFSPs Disaster Risk Management Strategies/Plans and Emergency Response Plans;
r. Monitoring compliance with RCSFSP PIM and other manuals in regard to Rural Road resilience and disaster risk management;
s. Prepare training plan, training materials and provide training to regional and RCSFSP staff on rural road resilience and disaster risk management.
t. Contribute to revisions to the Annual Performance Assessment Guideline (APAG) regarding the performance measures on Rural Road resilience and disaster risk management.
u. Review of the Annual Performance Assessment Reports of RCSFSP regarding Rural Road resilience and disaster risk management and provide comments
v. Perform any other duties assigned by the Program Coordinator.

Qualifications and Skills Required

The assignment will require a good understanding and knowledge of environmental safeguards and Disaster Risk Management that are associated with projects such as the RCSFSP and a high level of technical competence in the implementation of ESMS and DRM

The Consultant should therefore possess the following qualifications:

- ❖ BA or B.Sc. degree or higher in Environmental Science, Environmental Engineering, Environmental Sciences, Natural Resources Management, Sociology, Social Work, Public Health, Disaster Risk Management, Climate change or related.
- ❖ A minimum of 10 years general experience of which 5 years specific experience in all aspects of Rural Road infrastructure development and environmental safeguard impacts , health, and safety issues , screening against environment criteria in the planning stage and environmental and social impact assessments (ESIAs), environmental management plans (EMPs) and Mitigation on Disaster Risk.
- ❖ Experience in working with local governments and/or knowledge of the Road sector in Ethiopia will be an added advantage.
- ❖ Excellent writing and communication skills in both Amharic and English.

Level of Effort and Timing

It is expected that the assignment will start on December 31st, 2024. The expert will be based at RRE offices in regional capitals with regular travel to Woredas and project sites.

Contract: One-year contract, extension based on satisfactory performance of the expert as per the RCSFSP Staff Performance Evaluation and Incentive Scheme.

Remuneration: Negotiable/ dependent on qualifications and experience.

Inputs provided by the Client

Regional RRE will provide reasonable and standard office space and office furniture, and equipment required for the duration of the assignment, at its premises for successful discharging of his assignment. The expert will be provided, for official business, with internet access, telephone and fax facilities.

Management Procedures

Contractually, the expert will be accountable to the Regional RCSFSP program manager & RRE Bureau head to which all reports and deliverables as per the TOR should be submitted. As responsible for the overall coordination and implementation of RCSFSP, RRE will sign the contract with the expert. RRE will also be responsible for all payments to the expert once the work has been accepted and cleared for payment.

Evaluation Criteria

The following two technical evaluation criteria will be followed to select the individual consultant:

- ✓ Qualification **(40%).** This criterion further divided into two:
  - General Educational Status (**10%**). – PhD – 10%; Masters – 8%; Bachelors – 6%
  - Relevant Qualification **(30%)**.
    - Required discipline as stated in TOR - PhD – 30%; Masters – 27% ; Bachelors – 25%
    - Related discipline- PhD – 27%; Masters – 25%; Bachelors – 23%
- ✓ Total years of Experience (60%). This criterion further divided into two:
  a. General Experience (20%).
  b. Relevant Experience (40%).

(c) ToR for RCSFSP Woreda ES Focal Persons

Duties and Responsibilities of Woreda Environmental & Social Management Focal Person

The Environmental & Social Management Focal Person will have the following duties and responsibilities:

1. Review and understand the requirements of the RCFSP Environmental and Social Management System Guideline (ESMSG) and attend training on the guideline which will be provided by federal and regional levels
2. Provide overall coordination in the implementation of the ESMSG and apply the ESMSG to all RCFSP projects implemented by the Woreda.
3. Screen all RCFSP projects as per the screening forms in the ESMSG and submit to the Regional RREs and regional environmental protection authority for review and approval
4. Ensure that the environmental requirements are inserted in all infrastructure contracts and monitor their implementation prior to and during construction.
5. Ensure that EMPs are implemented in a timely manner - prior to commencement and during construction of civil works;
6. Conduct site visits during Woreda investment project execution and operation to assess how environmental screening and mitigation measures are succeeding or have succeeded in minimizing impacts.
7. Review and understand the requirements of the RCFSP Voluntary Land Donation Framework (VLDF) and attend training on the guideline which will be provided by federal and regional levels.
8. Provide overall coordination in the implementation of the VLDF and apply the VLDF to all RCFSP projects implemented at the woreda.
9. Ensure that the woreda complies with all requirements of the VLDFs;
10. Site visits during RCFSP investment project execution and operation to assess how social aspects are succeeding or have succeeded in minimizing impacts. Provide site visit reports to the Regional RREs.
11. Monitor the implementation of VLDF and ensure that VLDF are implemented in a timely manner - prior to commencement of civil works;

Expected Deliverables

a. System of screening forms and ESIA set out in the ESMSG.
b. Screening Reports of all RCFSP projects as per the ESMSG and approval of regional environmental protection authority.
c. Environmental Social Management Plans of the RCFSP projects and approval of regional environmental protection authority.
d. Environmental and social requirements inserted in all infrastructure contracts. Monitoring report on their implementation prior to and during construction.
e. Site Visit Reports on investment project execution and operation and assessment on how environmental and social screening and mitigation measures are succeeding or have succeeded in minimizing impacts.

Annex F: ESIA Outline/ToR

An Environmental and Social Impact Assessment (ESIA) report for an infrastructure project should focus on the significant environmental and social issues of the proposed project, whether it includes new construction or rehabilitation. The report's scope and level of detail should be commensurate with the project's potential impacts.

The ESIA report should include the following items (not necessarily in the order shown):

(a) **Executive Summary**: concisely discusses significant findings and recommended actions.
(b) **Introduction**

(c) **Methodology**

(d) **Summary of Stakeholder Consultations**

(e) **Policy, Legal, and Administrative Framework**. Discusses the policy, legal, and administrative framework within which the ESIA is carried out. Identifies relevant international environmental agreements to which the country is a party.

(f) **Project Description**. Concisely describes the proposed project and its geographic, ecological, social, and temporal context, including any offsite construction works that may be required. Indicates the need for land acquisition through VLD. Normally includes a map showing the project site and the project's area of influence.

(g) **Baseline Data**. Assesses the dimensions of the study area and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences. Also takes into account current and proposed development activities within the project area but not directly connected to the project. Data should be relevant to decisions about project location, design, operation, or mitigation measures. The section indicates the accuracy, reliability, and sources of the data.

(h) **Environmental and Social Risks and Impacts and Mitigation Measures**. Predicts and assesses the project's likely positive and negative impacts, in quantitative terms to the extent possible. Identifies mitigation measures and any residual negative impacts that cannot be mitigated. Explores opportunities for environmental enhancement. Identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions, and specifies topics that do not require further attention.

(i) **Analysis of Alternatives**. Systematically compares feasible alternatives to the proposed project site, technology, design, and operation—including the "without project" situation—in terms of their potential environmental impacts; the feasibility of mitigating these impacts; their capital and recurrent costs; their suitability under local conditions; and their institutional, training, and monitoring requirements. For each of the alternatives, quantifies the environmental and social impacts to the extent possible, and attaches economic values where feasible. States the basis for selecting the particular project design proposed and justifies recommended emission levels and approaches to pollution prevention and abatement.

(j) **Environmental and Social Management Plan (ESMP)**. Covers mitigation measures, responsibility for implementation, timing of measures implementation, budget requirements, and funding sources for

implementation, as well as institutional strengthening and capacity buildings requirements. Please see the ESMP outline in Annex G below for further details on the management plan.

(k) **Environmental and Social Monitoring Plan** Cover parameters/indicators to monitor, targets for the indicators, monitoring location within the project setup, frequency of monitoring or monitoring timeframe, responsibility for monitoring, budget estimate for monitoring, etc. Please see the ESMP outline in Annex G below for further details on the monitoring plan.

(l) **Institutional Arrangements** Indicate the institutional requirement for management and monitoring of environmental and social risks and impacts.

(m) **Capacity Building and Training**

(n) Appendixes

- Name and Address of Consultants
- **List of ESIA report preparers –** individuals and organizations.
- **References -** written materials both published and unpublished, used in study preparation.
- **Record of Interagency and Consultation Meetings** - including consultations for obtaining the informed views of the affected people and local nongovernmental organizations (NGOs). The record specifies any means other than consultations (e.g., surveys) that were used to obtain the views of affected groups and local NGOs.
- **Tables presenting the relevant data** referred to or summarized in the main text.
- **List of Associated Reports** - (e.g., socio-economic baseline survey, resettlement plan)

Annex G: ESMP Outline/Guideline

When a subproject includes distinct mitigation measures (physical works or management activities), an ESMP needs to be included with the subproject application. An ESMP usually includes the following components:

- **Description of Adverse Effects**: The anticipated effects are identified and summarized.
- **Description of Mitigation Measures**: Each measure is described with reference to the effect(s) it is intended to deal with. As needed, detailed plans, designs, equipment descriptions, and operating procedures are described.
- **Description of Monitoring Program**: Monitoring provides information on the occurrence of environmental effects. It helps identify how well mitigation measures are working, and where better mitigation may be needed. The monitoring program should identify what information will be collected, how, where and how often. It should also indicate at what level of effect there will be a need for further mitigation. How environmental and social effects are monitored is discussed below.
- **Responsibilities:** The people, groups, or organizations that will carry out the mitigation and monitoring activities are defined, as well as to whom they report and are responsible. There may be a need to train people to carry out these responsibilities, and to provide them with equipment and supplies.
- **Implementation Schedule:** The timing, frequency and duration of mitigation measures and monitoring are specified in an implementation schedule and linked to the overall project schedule.
- **Cost Estimates and Sources of Funds**: These are specified for the initial project investment and for the mitigation and monitoring activities as a project are implemented. Funds to implement the ESMP may come from the project grant, from the community, or both Government agencies and NGOs may be able to assist with monitoring.

Monitoring Methods: Methods for monitoring the implementation of mitigation measures or environmental and social effects should be as simple as possible, consistent with collecting useful information, so that community members can apply them themselves (see example below). For example, they could just be regular observations of subproject activities or sites during construction and then use. Are fences and gates being maintained and properly used around a new water point; does a stream look muddier than it should and, if so, where is the mud coming from and why; are pesticides being properly stored and used? Most observations of inappropriate behavior or adverse effects should lead to commonsense solutions. In some cases (e.g. unexplainable increases in illness or declines in fish numbers), there may be a need to require investigation by a technically qualified person.

Indicative Template for Environmental & Social Management Plan

Project Phases	Project Activity	Potential Environmental / Social Impacts	Proposed Mitigation Measure(s)	Success Indicator(s)	Location of Mitigation Measure(s)	Frequency of Mitigation	Institutional Responsibilities (incl. enforcement and coordination)	Cost Estimates
Pre-construction Phase	1) 2) 3)							
Construction Phase	1) 2) 3)							
Operation and Maintenance Phase	1) 2) 3)							

Indicative Template for Environmental & Social Monitoring Plan

Project Phases	Potential Environmental / Social Impacts	Proposed Mitigation Measure(s)	Parameters to be Monitored with Targets	Monitoring Location	Measurements (incl. methods & equipment)	Frequency of Measurement	Responsibilities (incl. review and reporting)	Monitoring Cost Estimate
Pre-construction Phase	1) 2) 3)							
Construction Phase	1) 2) 3)							
Operation and Maintenance Phase	1) 2) 3)							

Annex H: ES Performance Reporting Outline

Relevant environmental protection authority:	
Reporting dates:	
RREs/WROs/Kebele:	

Projects approved:							
Project title	Activities	Project phase[7]	Environmental Category/Schedule	ESIA / ESMP completed?	Environmental Permit granted?	Effectiveness of ESMP	Issues[8]
(name, location, title or reference)	(new construction, rehabilitation, maintenance)	See note below	(1, 2 or 3)	Yes, No or N/A	Yes, No or N/A	Good, poor, or needs improvement	See note below
1							
2							
3							
etc.							

Projects rejected:			
Project title	Activities	Reasons for rejection	Remarks[9]
1			
2			
Etc.			

[7] Project phase will be one of the following: (a) under project preparation or appraisal, (b) appraised, or (c) implementation

[8] Issues: accidents, litigation, complaints or fines are to be listed

[9] e.g. if an environmental permit was not granted, explain why

Annex I: Typical ESMS Risks Mitigation and Monitoring Checklist

Type of Activity	Potential Impacts	Generic Mitigation Measures	Monitoring Indicators	Responsibility
Construction	Negative social and economic effects on local people and communities, such as: • Unplanned commercial development • Demand for local public infrastructure and services increases beyond existing capacities • Disruption of traditional lifestyles • Induced population movements and natural resource exploitation activities, due to improved access (e.g. conversion of forest to pasture, or of sustainable land use to unsustainable, short-cycle cropping; illegal or unsustainable hunting)	• Work with affected communities to anticipate and plan for enhanced access to and demand on local public infrastructure and services • Provide project funds to strengthen local public infrastructure and services (e.g. health clinics, markets, schools) • Avoid creating congested and unsafe road conditions at intersections, and in villages and towns	Participation of communities in local planning	RREs and WROs
	Displacement of housing or farms or involuntary resettlement	• Avoid involuntary resettlement and land can only be acquired through voluntary donation • Redesign the project to avoid involuntary resettlement	Voluntary land donation forms completed	RREs and WROs
	Loss of natural areas, important habitats, biodiversity	Avoid infringing on: • Critical habitats or areas with significant biodiversity (e.g. wetlands) • Protected natural sites and wilderness areas • Projects significantly affecting habitats and biodiversity will not be funded under the program.	• Critical and natural habitats avoided • No reduction on habitats size and biodiversity	RREs and WROs
	Damage valuable historic, religious, cultural, and archaeological resources	Avoid areas of cultural, historical, or religious significance. Apply chance find procedures in construction clauses.	Participation of communities in local planning Chance finds procedures triggered	RREs and WROs Contractors
	Social disruption during construction (e.g. enhanced transmission of STDs and TB)	• Comprehensive community participation in construction planning and management • Education on avoiding communicable diseases/hygiene • Use regional labour where possible	Occurrence of illness or disease	Contractors RREs and WROs
	Creation of stagnant water in construction materials sites (borrow pits and quarries),	Assess ecology of disease carriers in road corridor, and employ suitable mitigation measures (e.g. proper drainage of	• Occurrence of illness or disease • Drive roads after moderate rains	Contractors RREs and WROs

Type of Activity	Potential Impacts	Generic Mitigation Measures	Monitoring Indicators	Responsibility
	and on roadsides, that breed disease carriers	construction areas and roadsides, effective road maintenance)	to identify areas that collect or gully water	
	Impact of road noise on surrounding habitation	Plant 30-meter tree buffer strips between road and surrounding habitation	Number of community complaints to local authorities about noise	Contractors RREs and WROs
	Dust	• Stabilize the road surface with gravel and other rocky surfacing materials	Number of community complaints to local authorities about dust	Contractors RREs and WROs
	Contaminate surface water and generate trash due to lack of solid waste management	• Provide temporary sanitation (e.g. latrine), where this is not possible, instruct crews to employ soil mining (digging a pit for human waste and covering with soil immediately after use) • Collect all solid waste from all site areas and dispose of either in local landfill or well-screened waste pits	Local complaints of excessive waste and odors	Contractors RREs and WROs
	Increased soil erosion leading to sediment in runoff and, possibly, gully formation from: • Construction activities such as grading, excavations, and borrowing/quarrying • Inadequate design of culverts and drainage controls	Design: • Use surface drainage controls and mulch on vulnerable surfaces and slopes • Line receiving surfaces with stones or concrete • Locate and design borrow/quarry sites for erosion control during road construction and future maintenance operations • Identify the most environmentally sound source of materials within budget Construction: • Limit earth movement and soil exposure to the dry season • Balance cut and fill for minimum deposition of earth • Provide sedimentation basins • Resurface and re-vegetate exposed surfaces	• Quality of soil/productivity • Integrity of road structures • Accidents due to erosion of road	Contractors RREs and WROs
	Contamination of land in sites due to releases of hazardous materials or oil.	• Preparation of a management plan to manage obsolete, abandoned, hazardous materials or oil consistent with the approach to hazardous waste management	Observation and laboratory test	Contractors RREs abd WROs
Post-Construction and Operation	Landslides, slumps and slips	• Avoid areas of soil, slope or geological instability and unstable river crossing sites • Stabilize slopes by planting vegetation • Minimize vertical road cuts • Install drainage ditches to divert water away from road	• Quality of road • Degree of erosion	RREs and WROs

Type of Activity	Potential Impacts	Generic Mitigation Measures	Monitoring Indicators	Responsibility
	Traffic accidents and safety risks	• Construct basic speed bumps and employ traffic signs where possible	• Number of accidents reported per month to local government	RREs and WROs
	Increased soil erosion leading to sediment in runoff and, possibly, gully formation from inadequate maintenance of road surface, ditches, borrow/quarry sites, and drainage and erosion control measures	• Ensure proper and timely maintenance of erosion control and drainage measures along the road and at borrow/quarry sites • Clean out culverts and side channels/run out when they begin to fill with sediment • Fill mud holes and potholes with quality gravel • Use water from settling basins and retention ponds for road maintenance	• Quality of soil/productivity • Integrity of road structures • Accidents due to erosion of road • Collection of water in drainage system	RREs and WROs
	Quarry used for construction may become a health hazard	• Discuss with local community the usefulness of using pits as water collection pits for cattle, irrigation • High light issues of disease transmission and the need to prohibit its use for drinking, bathing, and clothes washing	Occurrence of disease or illness	RREs and WROs
	Impact of road noise on village	• Plant 30-meter tree buffer strips between road and village	Number of community complaints to local authorities about noise	RREs and WROs
	Dust due to traffic	• Implement agreed dust control measures such as wetting dirt roads, truck washing for trucks exiting site, and monitoring dust emissions	Number of community complaints to local authorities about dust	RREs and WROs
	Chemical hazards exhaust emissions from heavy equipment and motor vehicles during construction and maintenance activities	• Replacement of the hazardous substance with a less hazardous substitute • Implementation of engineering and administrative control measures to avoid or minimize the release of hazardous substances into the work environment keeping the level of exposure below national established or recognized limits	• Number of workers complaints to management office about chemical emission	RREs and WROs
	Physical hazards represent potential for accident or injury or illness due to Slips and falls on the same elevation associated with poor housekeeping and struck by objects related to the potential fall of materials or tools,	• Minimizing the hazard through design of safe work systems and administrative or institutional control measures • Providing appropriate Personal protective equipment (PPE) refers to protective clothing, helmets, goggles, or other garment or equipment • Health and Safety Warning Signs: Safety Signs and Signals are one of the main means of communicating health and safety information.	• Number of workers' complaints to management • Number of workers injured	RREs and WROs

Type of Activity	Potential Impacts	Generic Mitigation Measures	Monitoring Indicators	Responsibility
	Spread of Communicable diseases typically associated with large development projects are those relating to poor sanitation, sexual transmission and vector-borne infections	• Undertaking health awareness and education initiatives, • Training health workers in disease treatment • Providing treatment through standard case management in on-site or community health care facilities. Ensuring ready access to medical treatment, confidentiality and appropriate care, particularly with respect to migrant workers.	Number of community complaints to local authorities' communicable disease	RREs, WROs and local authorities

Annex J: Annual ES Audit Outline/Template and ToR

Objectives:

The objectives of annual audits of ESMSG implementation and RCSFSP ES performance, in general, are two-fold:

a) To assess the RCSFSP performance in complying with ESMSG procedures, learn lessons, and improve future performance; and
b) To assess the occurrence of, and potential for, cumulative impacts due to program activities.

The project is expected to use the annual audits to improve on procedures and capacity for integrating environmental and social management into proposed program operations. It is also a principal source of information to World Bank.

Scope of Work:

ESMSG and Overall ES Performance Assessment

The overall scope of the performance assessment work is to:

a) Assess the adequacy of the project approval process and procedures based on interviews with project participants, project records, and the environmental and social performance of a sample of approved projects.
b) Assess the adequacy of ESMSG roles and responsibilities, procedures, forms, information resource materials, etc.
c) Assess the needs for further training and capacity building.
d) Identify key risks to the environmental and social sustainability of projects including natural habitat fragmentation, loss of biodiversity, land use change, settlement growth, loss of pastoral land or access to it, food security, conflicts, traffic and security, GBV, and other significant impacts.
e) Recommend appropriate measures for improving ESMS processes and overall program ES performance.

The following tasks will be conducted during the annual audit:

a) Review project preparation and approval (e.g. applications, management, screening checklists, ESIAs, ESMPs, VLDs, appraisal forms, approval documents, etc.), as well as related ES instruments.
b) On the basis of this review, conduct field visits of a sample of approved projects to assess the completeness of planning and implementation work, the adequacy of ES design, and compliance with proposed mitigation measures. The sample should be large enough to be representative, cover all program regions, and include a substantial proportion of projects that had (or should have had) a field appraisal according to established ESMSG criteria. Projects with anticipated significant ES risks and impacts should especially be included.
c) Interview federal, regional and Woreda officials responsible for project appraisal and approval to determine their experience with ESMSG implementation and ES management, their views on the strengths and weaknesses of the ESMSS processes, and what should be done to improve performance.

d) Assess ES measures implementation and monitoring performance including field monitoring frequency by program implementing entities, monitoring reporting, lessons learned, and corrective actions take.
e) Improvements may concern, for example, the process itself, the available tools (e.g. guidelines, forms, and information sheets), the extent, and kind of training available, and the number of financial resources available.
f) Develop recommendations for improving the ESMS processes and the general ES performance.

ES Key Performance Indicators (KPIs)

The following performance indicators can be used to assess the ES annual performance of the program:

a) Number of federal, regional, woreda, and site/project ES staffing against the requirement (FPCO, RPCOs, woredas, contractors, and consultants)
b) Number of projects identified/designed
c) Number of projects screened for ES risks and impacts
d) Number of projects field appraisals completed
e) Number of screened reports reviewed and approved by regulatory bodies
f) Number of ES instruments (ESIAs/ESMPs/VLD forms/others) prepared based on the screening reports recommendations
g) Number of trainings conducted at all levels and number of trainees
h) Area/number of natural habitats and biodiversity affected (target being zero)
i) Number of vegetation cleared and planted
j) Volume and quality of waste generated and disposed
k) Volume and quality of water used
l) Quality of ambient air in the project affected areas
m) Quality of noise environment in the project affected areas
n) Amount of energy used; fossil fuel consumed
o) Area of land acquired through voluntary donation
p) Area of farmland and pasture affected
q) Number of households affected and resettled (target being zero)
r) Number and area of material extraction sites developed and rehabilitated/reinstated
s) Number of community/public consultations conducted
t) Number of project workers with employment contracts, signed CoC, and minimum age verified
u) Number of grievances received and resolved
v) Number of ES violations notified by the regulatory bodies
w) Number of ES accidents/incidents/near misses
x) Number of GBV/SEA/SH incidents
y) Number of traffic accidents
z) Number of security incidents

aa) Number of cases of occupational and community diseases
bb) Number and extent of physical cultural resources affected (target being zero)
cc) Chance finds procedures initiated
dd) ES costs expended.

Targets for Key Performance Indicators (KPIs)

For most of the key performance indicators above, the targets depend on the number and type of projects and the projects affected areas. Some of the indicators will be compared with each other. For instance, number of ES staff will be compared with project staff requirements as set in the ESMSG. The number of projects screened, approved, and instruments prepared will be compared with the number of projects identified. The number of grievances addressed will be compared with the total number of grievances received. Target for some of the indicators such as involuntary resettlement, significantly affected habitats and biodiversity, cultural resources should be zero as these are program exclusion criteria. On the other, some of the environmental indicators may have targets based on the World Bank and country standards.

Classification of ES Issues (non-conformance and non-compliance)

The annual audit shall identify non-conformance and non-compliance ES issues and recommend corrective measures/mechanisms. The non-conformance issues include staffing, training, not keeping records, incorrect implementation of measures, absence of procedures, etc. Non-compliance issues include failure to follow project ES approval process, environmental pollution, involuntary resettlement, significant impact on habitats and biodiversity, impact on physical cultural resources, and failure to maintain workers and public safety.

Cumulative Impacts Assessment

This part of the annual audit assesses the actual cumulative impacts of the program with other projects or development initiatives on the environment, natural resources and community groups, if applicable. Cumulative impacts result from a number of other activities that, on their own, have minimal impacts, but over time and in combination generate a significant impact. For example:

a) Decline in groundwater levels or quality due to the abstraction of waters from limited natural water sources or wells and the introduction of numerous other small-scale projects affecting the available water potential in an area.
b) Overwhelmed or illegal waste and dumping sites due to the inappropriate disposal of increasing amounts of waste materials.
c) Attraction of migrant populations to communities that have successfully introduced improved social infrastructure (such as schools, health facilities or water sources) resulting in depletion of resources (e.g., supplies, water), etc.

The function of this assessment is primarily as an "early warning" system for potential cumulative impacts that might otherwise go undetected and unattended to. It will be largely based on the observations of people interviewed during the fieldwork, and trends that may be noticed by regional or Woreda officials.

Where cumulative impacts are detected or suspected, recommendations will be made to address the issue, perhaps through more detailed study to clarify matters and what should or can be done about them.

Qualifications for Undertaking Annual Audits:

The annual reviews shall be undertaken by the regional environmental protection agencies (REPAs). REPAs should develop experience relevant to the likely issues to be encountered (e.g. environmental and natural resources management, livelihood restoration, community and occupational safety issues). They should also be familiar with the methods and practices of effective community consultation, and with typical methods and processes for preparing, appraising, approving, and implementing small-scale community development projects.

Timing:

Annual audits should be undertaken after the annual ESMSG report has been prepared, at the closing of each year of the programs. It is expected that each audit would require 3 to 4 weeks of field work (interviews, examination of projects), and that the audit report would be completed within 2 weeks of completing the fieldwork.

Outputs:

The principal output is an annual audit report that documents the review methodology, summarizes the results, and provides practical recommendations. Distinct sections should address:

a) ESMSG performance
b) Cumulative impacts
C) Corrective actions and measures.

Annexes should provide the detailed results of the fieldwork and summarize the number of approved projects by regions and their characteristics according to the annual report format. Copies of the annual audit report should be delivered to the RCSFSP management, EPA, to each national and regional office directly or indirectly responsible for appraisal, approval, and implementation of projects, and to the World Bank. The project management (MUI/FPCO) may also want to host national or regional workshops to review and discuss the audit findings and recommendations.

Annex K: Template for Complaint/Grievance Receiving

(a) Compliant Filing Form

1. Project Name: ..... Date.....
2. Name of Compliant Presenter..... Sex: .....
   Age: .....
   Education Level: .....
3. Address of Complaint Presenter:

   Region: ..... Zone: ..... Kebele: .....

   Sub-Kebele/Village: ..... Tel: .....
4. Name of Specific Project for Compliance.....
5. Type of the Complaint

   .....

   .....
6. Cause of the Complain (from complaint presenter perspective)

   .....

   .....
7. The need of Compliant Presenter (what compliant needs to be done for him/her)

   .....

   .....
8. Committee member responsible for handling the Complaint
   Name.....Tel. .....
9. Expected date to give solution: .....
10. Name of Compliant Recorder: ..... Signature: ..... Date: .....
11. Name and signature of Compliant Presenter

    Name .....Signature..... Date.....

Kebele Stamp .....

(b) Compliance Closing Form

1. Project Name: ..... Date.....
2. Name of Complainer Whose Issue is Resolved ..... Sex.....
   Age.....
   Education Level.....
3. Address of Complaint Presenter:
   Region.....Zone.....Kebele.....
   Sub-Kebele/Village ..... Tel.....
4. Name of Specific Project.....
5. Type of Compliant Solved
   .....
   .....
6. Decisions Reached (Issue solved or referred to legal Court System)
   .....
   .....
7. Opinion of compliant presenter about the decision
   .....
   .....
8. Days Taken to Address the Complaint: .....
9. Name of the person to whom compliance solved: .....
   Signature: ..... Date: .....
10. Grievance Redress (Mediation) Committee Members

	Name	Signature
1.	.....	.....
2.	.....	.....
3.	.....	.....
4.	.....	.....

Kebele Stamp .....

Annex L The Voluntary Land Donation Protocol (VLDP)

1. Introduction

The Voluntary Land Donation (VLD) Management Framework for the Rural Connectivity for Food Security Program (RCSFS) aims to enhance food security by improving rural infrastructure. A critical component of this program involves the voluntary donation of land by local communities to support the construction and maintenance of roads, bridges, and other essential infrastructure. Recognizing the critical link between access and food security, this framework outlines the processes and guidelines for the voluntary donation of land, ensuring that such donations are conducted in a transparent, equitable, ethically and socially responsible manner ensuring that all parties benefit and that the rights and interests of landholders are respected. By enhancing rural connectivity, RCAP seeks to provide better access to markets, services, and opportunities, thereby supporting the livelihoods and food security as well as enhance agricultural productivity of rural communities.

1.1. Objectives

- **Promote Transparency and Fairness:** Establish clear and transparent procedures for voluntary land donation to ensure fairness and equity as well as accountability in the land donation process with respect for the rights and interests of landholders.
- **Ensure Informed Consent and Voluntary Participation:** Guarantee that land donations are made voluntarily with the full, informed consent of the donors. Besides, safeguard the rights of landholders by ensuring that land donations are completely voluntary and free from pressure or unnecessary influence.
- **Provide Fair Compensation**: Develop mechanisms to compensate land donors fairly, either through kind compensation, alternative land allocation, or other benefits.
- **Protect Donors' Rights:** Safeguard the rights and interests of land donors, ensuring they are not subject to pressure or unnecessary influence.
- **Facilitate Community Participation:** Encourage active participation of community members in the planning and implementation of RCSFS programs. Foster trust between project implementers and local communities by ensuring that all actions are taken with community interests in mind.
- **Enhance Rural Connectivity:** Improve rural transportation networks to provide better access to markets, healthcare, education, water and other essential services.
- **Support Food Security:** Strengthen logistical and distribution channels to ensure efficient delivery of agricultural products, reducing post-harvest losses and increasing market access for farmers.

1.2. Principles

- **Voluntariness:** All land donations must be made freely and willingly by the landholders without any form of pressure.
- **Transparency:** The entire process of land donation must be transparent, with all procedures and agreements documented and made accessible to stakeholders.
- **Fairness and Equity:** Ensure fair treatment of all land donors and beneficiaries. Also, ensure that the benefits and burdens of the project are equitably distributed among all community members.
- **Respect for Rights:** Uphold the legal and customary rights of landholders and users. The rights of landholders and local communities must be respected, with particular attention to vulnerable groups such as women, the elderly, and minorities.

- **Informed Consent:** Ensure that all land donors provide informed consent. Landholders must be fully informed about the project, its benefits, and any potential impacts before they agree to donate land.
- **Accountability:** Maintain accountability throughout the land donation process
- **Participation**: Involve local communities and stakeholders in the planning and decision-making processes.
- **Sustainability**: Ensure that the development projects supported by land donations are environmentally sustainable and socially beneficial.

2. Program Description

It is evident that rural accessibility in Ethiopia is still very low whereas the road's component of 'leave no one behind' SDGs agenda and commitment is the pivotal and driving motives for engagement on enouncement of connecting with all-weather access roads the left behind rural communities or communities with no all-weather road access to connect them to Wider Local, Federal and Regional Road Transport Networks. Moreover, access to roads features in both Goal 9 (9.1, 'develop quality, reliable, sustainable and resilient infrastructure') and Goal 11 (11.2, 'to provide access to safe, affordable, accessible and sustainable transport systems for all').

The call for -reliable and sustainable improved all weather access rural roads for left behind groups of Rural Ethiopia is not only a question of social equity, but is also crucial for the Woreda, regional and Federal economic growth. Providing road access can be an effective response to the needs of inhabitants of rural and isolated communities, and responding to the specific local conditions, connectivity can be an appropriate solution for prevailing economic and social problems (van de Walle, 2002).This in Mind, the Government of Ethiopia has developed the Rural Connectivity and Access Program (RCAP) for Enhancing Food Security as part of its broader Ethiopia 2030: The Pathway to Prosperity: Ten Years Perspective Development Plan (2021 – 2030) and the 10 years sector development plan.

The main objective of RCAP is to enhance rural connectivity and accessibility in Ethiopia by connecting unconnected kebeles, agriculture potential areas, and relatively densely populated village centers; by providing pedestrian suspension crossings (trail bridges) for areas with lack of access because of topography; by providing special structures (pipe culverts, box culverts, bridges, etc.) for low land and pastoralist communities with crossing problem, and by strengthening policy, institutional and strategic framework that help enhancing the rural roads provision, expansion and road maintenance management. In achieving the above overarching objective, the program aims at to enhance the climate resilient accessibility of target populations to food markets and services; and strengthen the institutional capacity for rural roads management.

The PDO indicators are:

- Improved climate resilient and all-season connectivity assets constructed and operationalized: (a) Upgraded Rural Road Assets (Kilometer); (b) New Trail Bridge Assets (Number); and (c) New Special Structures (Number).
- Rural population that benefits from improved access to sustainable transport infrastructure and services (Number, of which female).

- Enhanced readiness of Regional Roads Entities for initiating program implementation complying with minimum eligibility conditions (Number).

The operation is anchored around three sets of key results areas uniting the PforR and the IPF components:

(i) Institutional development and capacity building;
(ii) Climate resilient rural accessibility; and
(iii) Longevity and sustainability of investment.

The investments under the IPF will strengthen food and agriculture markets and institutional capacity.

3. Scope and Components of the Program

The RCSFS will be implemented over a period of 5 years (April 1st 2024 to March 31st, 2029.), with four rounds of performance-based grant allocations: EFY 2018 (2025/26), EFY 2019 (2026/27), EFY 2020 (2027/28), and EFY 2021 (2028/29). During this period, the following key activities are planned under each component of the program: This in mind, the Voluntary Land Donation Management Framework (VLD) applies to all land donation activities under the RCSFS Program, covering:

i. Upgrading/construction and maintenance of rural roads to climate resilient standards to connect rural Kebele centers to the nearest main roads connecting agriculture potential areas;
ii. Construction of pedestrian suspension crossings (trail bridges) for areas with lack of access because of topography;
iii. Construction of special structures (pipe culverts, box culverts, bridges, etc.) For lowland and pastoralist communities with crossing problems due to seasonal floods;
iv. improving the strategies and practices for planning, implementation and management of regional and Woreda roads incorporating climate risks and resilience considerations;
v. Strengthening rural road asset management systems incorporating climate risks considerations;
vi. Enhancing road safety on rural roads with particular consideration to vulnerable road users, including pedestrians and 2/3-wheelers, and
vii. Institutional development activities including systems improvement. The rural roads to be financed under the program will connect agriculture potential areas to markets.

Generally,

- **Component 1:** Construction and maintenance of all-weather roads to connect rural Kebele centers to the nearest main roads. A total of 7,554 km of Woreda road construction and 10,071 km of Woreda road maintenance will be completed.
- **Component 2:** Provision of pedestrian suspension crossings **(trail bridges)** for areas with lack of access because of topography. 373 trail bridges and 746 km of approach roads will be constructed.
- **Component 4:** Construction special structures (pipe culverts, box culverts, bridges, etc.) for lowland and pastoralist communities with crossing problems. 715 special structures will be built.

Regarding the geographical or spatial coverage of the program, it applies to all rural areas targeted by the RCSFS for infrastructure development in various regional states of Ethiopia. Accordingly, the RCSFS will be implemented in **126 rural woredas** (districts) and unknown kebeles (**for the time being**), which are part

of the administrative structure of 12 regional state governments and 1 (one) city administration in Ethiopia.

4. The Purpose of VLD

The primary purpose of this VLD Management Framework is to facilitate and establish clear guidelines and procedures for the voluntary donation of land by individuals and communities for infrastructure projects under RCSFS. More importantly, this VLD management framework is playing a critical role to facilitate the voluntary donation of land for RCSFS initiatives, ensuring that the process is fair, inclusive, and respectful of the rights and interests of all stakeholders. Moreover, this management framework seeks to ensure that landholders are fully informed and give their consent freely without any form of pressure or unnecessary influence. Equally, the framework aims to foster community participation, enhance local ownership of development projects, and contribute to sustainable rural development.

5. Proposed Options

The components of the RCSFS program mainly focus on the construction and maintenance of all-weather roads to connect rural Kebele centers to the nearest main roads, as well as roads connecting agricultural areas and relatively densely populated villages to the Kebele centers. The program also includes the provision of pedestrian suspension crossings (trail bridges) for areas lacking access due to topographical challenges and the construction of special structures (pipe culverts, box culverts, bridges, etc.) for lowland and pastoralist communities facing crossing difficulties.

In the case of maintenance, **10,071 km** of all-weather roads connecting rural Kebele centers to the nearest main roads, which were constructed under the Universal Rural Road Access Program (URRAP), will be maintained. Regarding the new construction projects, **7,554 km** of all-weather roads will be constructed to connect rural Kebele centers to the nearest main roads. Additionally, **373 trail bridges** and **746 km of approach roads** will be built for areas lacking access due to topography. Furthermore, 715 special structures (pipe culverts, box culverts, bridges, etc.) will be built for lowland and pastoral communities facing crossing problems.

Additionally, the local road construction company may need areas to store equipment and extract construction materials. However, there will be no resettlement during the work, nor will there be cash compensation for any over-resettlement. The program is designed to have minimal impact on the local society, land, and other assets. Therefore, VLD will be implemented for the success of this program, the following options are proposed:

1) **Community Engagement Programs:** Organize meetings and workshops to inform communities about the RCSFS, the importance of the program and land donation, and the processes of voluntary land donation.
2) **Legal and Technical Support Services:** Provide legal assistance to land donors to ensure they understand their rights and the implications of their donations. Likewise provide technical assistance to landholders throughout the donation process, ensuring their rights are protected and they understand the implications of their donation.
3) **Capacity Building**: Provide training for local leaders and project implementers on ethical and transparent land donation practices.

4) **Incentive Mechanisms:** Develop incentive schemes, such as public recognition or community development projects along with minor kind compensations, to encourage voluntary land donations.
5) **Land Swaps:** Provide alternative land of equal or greater value to the landholders.
6) **Benefit Sharing**: Ensure that landholders benefit from infrastructure projects, such as improved access to services, enhanced property values, and other community benefits.
7) **Dispute Resolution Mechanisms:** Establish a mechanism for addressing any grievances or disputes to address and resolve any conflicts or disputes that may arise during the land donation process.
8) **Monitoring and Evaluation:** Establish and implement a robust system to monitor and evaluate the land donation process, ensuring adherence to the principles and objectives of the framework.
9) **Documentation and Record-Keeping:** Implement stringent documentation and record-keeping for land donation agreements and practices to maintain transparency and accountability as well as ensuring all parties understand their rights and obligations.

By implementing this framework, the RCSFS aims to foster a collaborative and supportive environment for rural development, ensuring that the enhancement of food security is achieved through equitable and sustainable means. Additionally, this Framework will contribute significantly to the success of the Rural Connectivity for Food Security Program, ultimately enhancing food security and improving the livelihoods of rural communities.

6. Land Donations Criteria

The Voluntary Land Donation (VLD) Management Framework for Rural Connectivity for Food Security Program (RCSFS) sets forth criteria to ensure that land donations are carried out transparently, equitably, and without coercion. The following are the basic criteria typically considered in such frameworks:

a) **Voluntariness**: land donation must be genuinely voluntary, with no coercion, threats, or undue pressure. Moreover, the donor must be fully informed about their rights and the implications of the donation.
b) **Eligibility**: the donor should have clear land holding right or usufruct rights to the land. The land should be free of disputes or encumbrances.
c) **Public Benefit**: the donated land should be essential for the success of the program and benefit the community. The community and the donor should agree that the land is necessary for benefit of the broader community and contribute to improved rural connectivity and food security
d) **Informed Consent**: the donor must give informed consent, documented in writing, with a clear understanding of the purpose and scope of the project. The consent process should be documented, including the donor's understanding and agreement.
e) **Consultation and Participation**: effective community consultation must be conducted, ensuring all stakeholders are informed and have a chance to voice concerns. Special attention should be given to vulnerable groups to ensure they are not disproportionately affected. Public consultations and meetings should be conducted to ensure community involvement and awareness.
f) **No Significant Impact:** the donation should not result in significant adverse impacts on the donor's livelihood; if the donation could lead to livelihood loss, appropriate mitigation measures must be implemented.

g) **Compensation and Support**: although the donation is voluntary, the framework should provide for fair kind compensation or support to the donor if necessary. This may include livelihood restoration or other support mechanisms.

h) **Documentation and Transparency**: all agreements and transactions must be documented transparently. Documentation should include the donor's details, land description, purpose of donation, and evidence of informed consent. Legal procedures must be followed to formalize the transfer of land holding right, ensuring that all local and national regulations are complied with.

i) **Legal Compliance**: the donation process must comply with local laws and regulations. Any legal procedures related to land transfer or registration must be followed. A clear and accessible grievance mechanism should be in place to address any concerns or disputes that arise from the donation process. Donors and community members should be informed about how to access and use this mechanism.

j) **Monitoring and Grievance Redress**: a system should be in place to monitor the implementation of the VLD process. A grievance redress mechanism should be available for donors to voice any concerns or issues.

7. Institutional Arrangements and Responsibilities in the Implementation of VLDF

7.1. Implementation Arrangement

Implementing a Voluntary Land Donation Management Framework (VLDF) for the Rural Connectivity for Food Security Program (RCSFS) involves several steps to ensure that the process is transparent, equitable, and legally compliant. Equally important, indicating clear implementation arrangements, institutional responsibilities, and indicative procedures strongly enables effective implementation of VLDF and ensures that the RCSFS program enhances rural connectivity and food security while respecting the rights and interests of landholders. The successful implementation of the VLDF under the RCSFS program requires a well-coordinated effort between national, local government and community stakeholders. The following are structured approaches to arranging implementation, defining institutional responsibilities, and outlining indicative procedures.

In this case, stakeholder identification and engagement are very important. Local Government Units (LGUs) are the primary implementers. Community leaders will play key roles both as influencers and facilitators. Local farmers and landowners are identified as beneficiaries. NGOs, CBOs and donor agencies are identified as partners for community engagement and support, providing funding and technical assistance.

Stakeholder engagement and awareness are key instruments used in implementation arrangements. Initial community meetings with local communities are conducted to explain the RCSFS program's goals and the concept of voluntary land donation. Methods such as using local media, workshops, and pamphlets to educate the community about the benefits, processes, and safeguards related to land donation serve as information campaigns.

Framework development is another key mechanism used in implementation strategies, primarily through drafting guidelines and integrating them with RCSFS objectives. Developing a comprehensive guideline that outlines the criteria for voluntary land donations, including eligibility, valuation, and legal aspects, is crucial for effectively running the program. Equally important, ensuring that the guidelines align with the broader objectives of the RCSFS, focusing on enhancing rural connectivity and food security.

Establishing a robust monitoring and evaluation system with strong setup monitoring mechanisms and regular reviews is another basic mechanism that serves as an implementation arrangement. Systems should be established to monitor the process and ensure compliance with the VLDF guidelines. Additionally, scheduled periodic reviews should be conducted to assess the effectiveness and impact of the land donation process.

7.2. Institutional Responsibilities

The Ministry of Urban and Infrastructure (MUI) at the national level, Local Government Authorities (LGAs), Land Administration Offices, and Community Development Committees have significant institutional responsibilities for the successful implementation of VLDF.

The Ministry of Urban and Infrastructure (MUI) at the national level are Responsible for overall coordination, policy formulation, and resource allocation in the program. Local Government Authorities (LGAs) at the Regional, Wereda, and Kebele administrative units play a critical role in Program implementation and facilitation. These government bodies are responsible for implementing the VLDF guidelines at the local level and ensuring alignment with national policies and development perspectives. Additionally, they act as the primary point of contact for land donors and coordinate with other stakeholders. More importantly, the local governments play a crucial role in the implementation, public outreach, and monitoring process of the VLDF. They are responsible for executing the VLDF within their jurisdictions, engaging local communities to participate in the voluntary land donation process, ensuring compliance with VLDF guidelines, and reporting to higher authorities.

Land Administration Offices within the Local Government Authorities (LGAs) have significant institutional responsibilities in verification, documentation, and support services. They are responsible for verifying landownership and ensuring all legal documentation is in order before the land donation is formalized. Additionally, they provide technical assistance and support to landholders throughout the donation process.

Community Development Committees are expected to provide advisory roles and conflict resolution responsibilities. These committees serve as advisory bodies to ensure community interests are represented and that the donation process is transparent and consensual. They also play a significant role in conflict resolution, assisting in resolving disputes or concerns that may arise during the land donation process.

7.3. Indicative Procedures During the implementation of VLDF

Effective implementation of the Voluntary Land Donation Management Framework (VLDF) involves several indicative processes. Initially, the land donation process includes an expression of interest and a preliminary assessment. Landowners are expected to express their interest in donating land through a formal application process. A preliminary assessment will be conducted to verify the land's suitability for the RCSFS program.

Consultation and agreement are other key indicative procedures during the implementation of VLDF. Community meetings will be held to discuss the proposed land donation with the community, ensuring transparency and community consent. Additionally, a donation agreement outlining the terms and conditions of the land donation will be drafted and signed by the donor and relevant authorities.

Ensuring legal and administrative procedures from a legal review perspective is crucial during the implementation of VLDF. All legal requirements must be met, including the transfer of ownership and land use rights. Moreover, a strong implementation and follow-up strategy will be established. Regular monitoring of the implementation and impact of the land development will ensure objectives are being met and any emerging issues are addressed.

Effective documentation and reporting are other indicative procedures during the implementation of VLDF. Maintaining detailed records of all land donations, agreements, and related activities is essential for record-keeping purposes. Periodic reports on the progress and impact of the land donation process should be prepared and submitted to relevant stakeholders.

By following these procedures, the VLDF can be implemented effectively, ensuring that the RCSFS program enhances rural connectivity and food security while respecting the rights and interests of landholders.

8. The Proactive Methods of Alleviating the Potential Challenges in Implementing VLD

In principle, as mentioned above, even though the process of implementing a voluntary land donation management framework for rural connectivity for food security clearly follows the principles of voluntariness, transparency, fairness and equity, respect for rights, informed consent, accountability, participation, and sustainability, there might be some challenges encountered during actual implementation. Implementing a consistent voluntary land donation (VLD) management framework across all Woredas can indeed be challenging. In this case, several strategies can be employed to address these complications associated with implementing VLD framework uniformly across different Woredas effectively and serve as proactive methods for alleviating these challenges and ensure a smooth and effective program implementation.

a) **Employing a Standardize Framework**: the creation and consensus of a comprehensive and standardized VLD policy, which outlines the principles, processes, and criteria for land donation in consultation with stakeholders from all Woredas, ensure it addresses local concerns and conditions. Furthermore, it is essential to ensure that the VLD framework is aligned with national and regional land laws and regulations of the country. Any necessary legal amendments should be made to harmonize local laws with the standardized framework.
b) **Providing Adequate Capacity Building and Training**: conduct extensive training programs for local officials, community leaders, and other stakeholders in all Woredas. These programs should focus on the principles of VLD, the standardized framework, and the specific processes to be followed. Correspondingly, provide comprehensive guides, manuals, and toolkits to Wereda officials and community representatives. These materials should be clear, concise, and available in local languages.
c) **Enhancing Community Engagement and Awareness**: launch awareness campaigns to educate communities about the benefits of the program and the details of the VLD framework. Use multiple channels such as community meetings, radio broadcasts, and printed materials. Equally important, involve community members in the planning and implementation process to ensure their concerns and suggestions are considered. This participatory approach can increase trust and willingness to donate land voluntarily.
d) **Ensuring Clear Communication and Transparency**: establish clear communication channels to inform the public about the VLD process, benefits, and safeguards in place to protect their

interests. Also, ensure transparency in the process to build trust and cooperation from the communities.

e) Providing Incentives and Support: develop incentive programs for communities and individuals who participate in the VLD. This could include kind compensation, public recognition, or additional support for community projects. Equally, provide legal and administrative support to land donors to help them navigate the VLD process. This can include assistance with documentation, legal advice, and dispute resolution.

f) **Applying Pilot Projects and Scaling**: start with pilot projects in a few selected Woredas to test and refine the VLD framework. Use the lessons learned from these pilots to improve the framework before scaling up to other Woredas. Also implement the VLD framework in phases, allowing time for adjustment and capacity building in each phase. This can help manage resources effectively and ensure smooth transitions.

g) **Ensuring Robust Coordination and Collaboration**: establish a coordination body or task force that includes representatives from all Woredas. This body can facilitate communication, share best practices, and ensure consistency in the implementation of the VLD framework as inter-Woreda coordination team. Moreover, work closely with non-governmental organizations, community-based organizations, and other stakeholders who can provide support and resources for the implementation process.

h) **Building Effective Conflict Resolution Mechanisms**: Set up mechanisms for resolving conflicts and grievances related to land donation. This can include mediation, arbitration, and legal recourse.

i) **Establishing Robust Monitoring and Evaluation**: set up monitoring and evaluation systems to ensure the framework is being implemented consistently across all Woredas. Regular audits and assessments can help identify any deviations and address them promptly. Besides, create mechanisms for feedback from communities and local officials. This can help in identifying issues early and making necessary adjustments to the framework.

9. Grievance Redresses Mechanism GRM for VLD

The Rural Connectivity for Food Security Program (RCSFS) aims to enhance connectivity by facilitating voluntary land donations for road construction and other connectivity projects. To ensure transparency, fairness, and accountability, a robust Grievance Redress Mechanism (GRM) is essential. RCSFS is committed to ensuring that voluntary land donations (VLD) for rural connectivity infrastructure projects are conducted transparently, equitably, and with full respect for the rights of land and other related owners. A robust Grievance Redress Mechanism (GRM) will be established to address any concerns or grievances that may arise during the VLD process. This mechanism ensures that landholders and other stakeholders have a formal avenue to voice their concerns and seek resolutions. Moreover, this GRM will address concerns and grievances related to voluntary land donations, ensuring that all stakeholders, especially the donors, are treated equitably and their rights are protected.

The GRM system established for the project is responsible to provide a transparent and accessible process for addressing grievances related to VLD promptly and fairly, strengthen accountability and trust among stakeholders as well as ensure compliance with legal and ethical standards as well as ensure that all grievances are acknowledged, investigated, and resolved in a timely manner. The RCSFS is dedicated to maintaining an open dialogue with all stakeholders and ensuring that the voluntary land donation process is fair, transparent, and beneficial to all parties involved. Ensuring this mechanism will enhance trust and

cooperation between project implementers and the affected communities, as well as prevent and mitigate potential conflicts and disputes arising from land donations.

Regarding the scope of the Grievance Redress Mechanism for the Voluntary Land Donation Framework under the Rural Connectivity to Support Food Security Program (RCSFS), it applies to all grievances related to the VLD process under the RCSFS. This includes issues related to the process of land donation, the voluntariness of the donation, consensus, adequacy and fairness of the kind compensation or benefits offered (if applicable), transparency and clarity of information provided to land donors, and any adverse impacts resulting from the land donation. More importantly, the GRM is a critical component of the Voluntary Land Donation Framework under the RCSFS, fostering trust and cooperation, the GRM will contribute to the successful implementation of the RCSFS and the enhancement of rural connectivity and access.

The Grievance Redress Mechanism for Voluntary Land Donation Framework under Rural Connectivity for Food Security Program (RCSFS) will follow a structured process to ensure all grievances are handled efficiently and effectively. This process includes:

- Step1: Grievance Submission
- Step 2: Grievance Recognition
- Step 3: Grievance Initial Review and Assessment
- Step 4: Grievance Investigation
- Step 5: Grievance Resolution and Response
- Step 6: Grievance Appeal
- Step 7: Grievance Monitoring and Reporting

Step 1: Grievance Submission

Grievances can be submitted orally or in writing through multiple channels such as through a designated helpline, or in person village grievance committees, local government offices RCAP project offices and designated GRM hotlines or email addresses. A standardized grievance submission form will be made available at all submission points (See Annex K). Additionally, details of information required about complainant's name, contact information, description of the grievance, and any supporting documents will be made available at all submission points.

Step 2: Grievance Recognition

Upon delivery of a grievance, recognition of receiving will be provided to the complainant within 3 working days. The grievance will be recorded in the GRM database for tracking and monitoring purposes. Content wises a brief description of the grievance and the anticipated time frame for resolution will be announced with recognition.

Step 3: Grievance Initial Review and Assessment

The Grievance Redress Committee (GRC) will be established at the Wereda, Regional and National levels to handle any grievance cases related to the implementation of the RCSFS program step by step depending upon the complexity of the submitted grievance. This committee is accountable for reviewing grievance and making categorizations. A preliminary review will be conducted within 8 working days to determine

the nature and seriousness of the grievance. If the grievance is straightforward and can be resolved quickly, immediate action will be taken. Equally important, the committee has the power to determine if grievance is valid or if further investigation is needed.

Step 4: Grievance Investigation

The Grievance Redress Committee (GRC) is responsible to make the process of detailed investigation, which may include field visits, meetings with the complainant, and consultations with relevant stakeholders. For more complex grievances, thorough investigation will be conducted completion within 15 working days from the initial review. The complainant will be kept informed of the investigation progress. Also, all findings and steps taken by GRC during the investigation should be documented.

Step 5: Grievance Resolution and Response

The GRC will provide a written resolution to the complainant, detailing the findings and any actions to be taken post-investigation. Based on the investigation findings, a resolution will be proposed and communicated to the complainant within 30 working days from the submission date. If the complainant accepts the proposed resolution, it will be implemented promptly. However, if the complainant is not satisfied with the proposed resolution, they can escalate the grievance to the higher authorities within the RCSFS framework.

Step 6: Grievance Appeal

If the complainant is unsatisfied with the resolution, they can the right to appeal to the RCSFS Program Director at the regional or national level within 10 working days of receiving the resolution. The Program Director will review and provide a final decision within 10 working days of the appeal submission.

Step 7: Grievance Monitoring and Reporting

All grievances and their resolutions will be documented and monitored. Quarterly reports on the status of grievances and their resolutions will be prepared and shared with stakeholders. An annual review of the GRM will be conducted to identify areas for improvement. Finally, consider the following key points for the effective implementation of the Grievance Redress Mechanism for the Voluntary Land Donation Framework under the Rural Connectivity for Food Security Program (RCSFS):

a. **Keeping Confidentiality and Anonymity:** The identity of the complainant and details of the grievance are kept confidential. Anonymous grievances are accepted and investigated to the extent possible.
b. **Ensure Robust Monitoring and Reporting:** - All grievances are logged, tracked, and monitored using a grievance database. Monthly reports on grievances and their status are compiled and shared with the RCSFS management and relevant stakeholders.
c. **Ensure Robust information and Communication Systems: -** Information about the GRM is disseminated through community meetings, local media, and public notices. Likewise, distribution of informational materials such as brochures and posters detailing the grievance submission process will be done. Training sessions will be organized for RCSFS staff and community leaders on the GRM process.

d. **Being focused on Continuous Improvement: provide** regular feedback is sought from stakeholders to improve the GRM. **Organize** annual reviews of the GRM to incorporate lessons learned and best practices.

e. **Preparing Information Center and Address:** The center of the Grievance Redress Mechanism (GRM) Committee will be established, and their contact information will include: RCSFS Office Address, Email, and Contact (Helpline) Number. This information should be readily available to ensure that all stakeholders can easily reach the GRM committee for any grievance-related issues.

f. **Establish responsive Institutional Arrangements:** Establishing strong and functional institutional arrangements and committees at all levels of the government structure is critical for the successful implementation and functionality of the GRM. Therefore, Village Grievance Committees, (Local committees comprising community leaders, representatives of land donors, and RCSFS officials to handle initial grievances), Grievance Redress Committee (GRC) at Regional and National RCAP Project Office (Responsible for overseeing the implementation of the GRM and ensuring timely resolution of grievances. Besides, GRC will be established as a higher-level committee at the regional or national level to handle escalated grievances and provide final resolutions.

10. Monitoring Mechanism For VLD

The success of the Voluntary Land Donation Framework under the Rural Connectivity for Food Security Program (RCSFS) depends significantly on an effective monitoring mechanism. This mechanism ensures that land donations are genuinely voluntary, the process is transparent, and the donors' rights and interests are safeguarded throughout the project implementation. Preparing the Monitoring Mechanism for Voluntary Land Donation Framework under the Rural Connectivity for Food Security Program (RCSFS) mainly enables to ensure the voluntariness and transparency of the land donation process, to easily identify and address any issues or irregularities promptly and to provide regular updates and reports to stakeholders. The monitoring mechanism for the Voluntary Land Donation Framework under the RCSFS is designed to ensure transparency, accountability, and the protection of donors' rights. By systematically tracking and documenting the land donation process and project implementation, this mechanism will help build trust and support for the RCSFS, ultimately contributing to its success in enhancing rural connectivity and access.

Taking this into account, the Monitoring Mechanism for the Voluntary Land Donation Framework under the Rural Connectivity for Food Security Program (RCSFS) will include the following monitoring framework and key stages: The Monitoring Framework will include components such as indicators and metrics, data collection tools and reporting protocols. Clearly defined indicators to measure the success and transparency of the land donation process, Standardized forms and templates for data collection, Regular reporting schedules and protocols for disseminating findings to stakeholders will organized under this monitoring framework key components. The Monitoring Stages will be conducted at pre-donation, during donation and post donation stages of the land donation process.

Stage 1: Pre-Donation Monitoring Stages

Community consultations will be done largely. Ensure that consultations are inclusive, transparent, and well-documented. In this case, the issue of voluntariness verification is becoming crucial. Confirm that the land donation is voluntary through interviews and written consensus forms.

Stage 2: During Donation Monitoring Stages

Documentation is very critical under this stage. The documentation Maintain thorough records of all donations, including signed agreements, maps, and photographs. Also, it is very important to ensure that independent witnesses are present during the donation process to verify its authenticity.

Stage 3: Post-Donation Monitoring Stages

Implementation monitoring is a key task under this stage. Track the implementation of RCSFS programs on the donated land to ensure adherence to agreed plans. Moreover, periodic impact assessments will be conducted to evaluate the socio-economic impact of the projects on the donors and the community. Finally, consider the following key points for the effective implementation of the monitoring mechanism for the Voluntary Land Donation Framework under the Rural Connectivity for Food Security Program (RCSFS).

Establish Responsive Institutional Arrangements: Establishing strong and functional institutional arrangements and committees at all levels of the government structure is critical for the successful implementation and functionality of the monitoring mechanism for Voluntary Land Donation Framework under the RCSFS.

Therefore, the formation of monitoring committees and the definition of their roles and responsibilities are essential tasks within the institutional arrangement. The monitoring committees will be established from Local Monitoring Committees (LMC), Regional Monitoring Committees (RMC) and from the National Monitoring Committee (NMC). The LMC has comprising community leaders, local government representatives, and RCAP officials to oversee monitoring at the village level. They are responsible to conduct field visits, collect data, and report any issues to RMCs. The Regional Monitoring Committees will comprise regional authorities, RCSFS program managers, and independent experts to oversee broader monitoring activities. RMC has responsible to Aggregate and analyze data from LMCs, conduct periodic reviews, and report findings to the NMC. Finally, the National Monitoring Committee (NMC) comprising national RCSFS officials, representatives from relevant ministries, and independent auditors to oversee overall monitoring and ensure compliance with national standards. NMC are responsible to Review reports from RMCs, ensure adherence to national and international standards, and provide policy recommendations.

Ensure effective data collection and reporting tools and techniques:

Applying data collection methods such as surveys and interviews, field observations, document review along with monthly, quarterly and annual reports plays a significant role in making the Monitoring Mechanism for Voluntary Land Donation Framework under the RCSFS effective and successful. Conducting regular surveys and interviews with land donors and other stakeholders, perform field visits to observe and document the land donation process and project implementation and regularly review

project documents, agreements, and other relevant records are very critical. Parallel to this, ensuring effective monthly, quarterly and annual reporting and feedback loop mechanism as well as providing capacity building for stakeholders will make the implementation and progress of the RCSFS effective. Procedurally, the LMC is expected to prepare a monthly report and submit it to the RMCs, summarizing local monitoring activities and findings. Quarterly reports will be prepared by the RMCs and submitted to the NMC, providing a comprehensive overview of regional monitoring activities and trends. Finally, annual reports will be prepared by the NMC, summarizing national monitoring activities, overall findings, and policy recommendations.

Ensuring an active feedback loop is another key mechanism in the monitoring process for the Voluntary Land Donation Framework under the RCSFS. This mechanism involves regular meetings with stakeholders, including land donors, to discuss monitoring findings and address any concerns. Additionally, ensuring transparency by publicly disclosing monitoring reports and findings through community meetings and online platforms is very useful.

Providing capacity-building through regular training programs for LMC, RMC, and NMC members on monitoring techniques, data collection methods, and reporting protocols, as well as organizing periodic workshops and seminars for stakeholders to share experiences, best practices, and lessons learned, is very important.

11. Risk Management and Continues Improvement for VLD

Risk management and continuous improvement are other critical components that must be ensured in the process of monitoring mechanisms for the voluntary land donation framework under the RCSFS. Regularly identifying potential risks related to the land donation process and project implementation is essential. Developing and implementing strategies to mitigate identified risks, including contingency plans and corrective actions, is crucial. Equally important is conducting periodic reviews of the monitoring mechanism to identify areas for improvement and regularly soliciting feedback from stakeholders to refine and enhance the monitoring process.

11.1. Potential Risks and Mitigation Strategies during the Implementation of VLD

Although the Rural Connectivity for Food Security Access Program (RCSFS) is designed to maximize community benefits from both social and economic perspectives, its implementation may be exposed to various risks due to different contributing factors. Implementing a Voluntary Land Donation (VLD) framework within the RCSFS context may present several risks. Understanding these risks is crucial for developing effective mitigation strategies. Here are some key risks that could be expected:

No	Some key risks that could be expected	Driving Factors	Mitigation Strategies

●	Community Resistance and Social Conflict	▶ Lack of Trust ▶ Previous Lessons ▶ Cultural Sensitivities	▪ Ensure strong community engagement and awareness creation ▪ Conduct transparent, inclusive consultations ▪ Ensure clear communication about the purpose, benefits, and safeguards of the VLD process. ▪ Involve community leaders and trusted local figures in the communication process. ▪ Foster a participatory approach to decision-making
●	Inequitable Land Donations	▶ Full donations ▶ Partial Donations ▶ Marginalization	▪ Develop clear criteria and transparent processes to land donations process prevent elite capture ▪ Implement strict guidelines to protect vulnerable groups. ▪ Conduct social impact assessments to identify potential adverse effects and ensure equitable participation and benefits.
●	Land Tenure Conflicts	▶ Disputes over land ownership and tenure rights.	▪ Establish clear legal frameworks and procedures for resolving land tenure disputes. ▪ Provide legal support and dispute resolution mechanisms to address conflicts promptly.
●	Implementation Challenges	▶ Inconsistent Application ▶ Capacity Issues ▶ Administrative and Bureaucratic Challenges	▪ Provide adequate capacity building in the form of training to local officials, community leaders, and other stakeholders on the VLD framework and its implementation. ▪ Provide resources and support to local administrations to handle the administrative burden effectively. ▪ Simplify administrative procedures and ensure efficient coordination between different governmental and non-governmental agencies.
●	Legal and Regulatory Risks	▶ Legal Disputes ▶ Regulatory Non-compliance	▪ Implement effective legal and regulatory support ▪ Employed a Standardize VLD Framework
●	Environmental and Land Use Concerns	▶ Land Degradation ▶ Loss of Livelihoods ▶ Affecting local ecosystems and agricultural productivity.	▪ Provide great emphasis to sustainable land use planning in integrate environmental considerations into the VLD framework to ensure sustainable land management practices and environmental conservation measures. ▪ The local government develops alternative livelihood programs for those who donate land to mitigate any negative impact on their food security. ▪ Conduct thorough environmental impact assessments before land use changes.
●	Resource Constraints	▶ Lack of Land Swaps	▪ The local government should consider utilizing the land stock of the Wereda, as well as neighboring weredas, based on consensus and with the permission of land donors, to resettle individuals within the same administrative and geographical conditions.
●	Economic Displacement	▶ Land donation might lead to economic displacement of	▪ The local governments develop alternative livelihood programs and provide support for economic transition, such as skills training and access to new markets.

		farmers who depend on the land for their livelihoods.	
●	Monitoring and Evaluation Risks	▶ Lack of Transparency ▶ Inadequate Feedback Mechanisms	▪ Implement robust monitoring and evaluation mechanisms with clear indicators and regular reporting in the VLD process ▪ Involve independent bodies to ensure transparency and accountability. ▪ Implement feedback mechanisms to continuously improve the VLD framework based on community input and experiences.

12. Glossary of terms

Compensation: a payment or reparation given to an individual or entity to make up for loss, damage, or suffering. This can include monetary payments, replacement of lost property, or other forms of restitution provided as a remedy for harm or inconvenience experienced.

Connectivity: the state or extent of being connected or interconnected, especially in terms of infrastructure like roads, bridges, or digital networks that facilitate movement, communication, and link communities

Consent: a permission or agreement or approval given by a person or group after being fully informed of the relevant facts, implications, and consequences or with full understanding of the relevant facts.

Dispute: a dispute is a conflict or disagreement between two or more parties. Disputes can arise over various issues, including property rights, contracts, personal relationships, and business transactions. They often require resolution through negotiation, mediation, arbitration, or legal proceedings to reach a settlement or verdict.

Equity: the quality of being fair and impartial, ensuring that everyone has access to the same opportunities and resources, taking into account their different circumstances and needs.

Fairness: the quality of making judgments that is free from discrimination or bias, favoritism, to be ensuring just and equitable treatment for all parties involved.

Food Security: a situation where all people, at all times, have physical, social, and economic access to sufficient, safe, and nutritious food that meets their dietary needs and food preferences for an active and healthy life.

Governing Law: is the legal framework or body of laws that apply to and regulate a particular situation, contract, or dispute. It determines the rules and principles that will be used to interpret and enforce agreements, resolve conflicts, and guide legal proceedings.

Grievance Redress: the processes and mechanisms established to address complaints and resolve disputes brought forward by individuals or groups. This involves investigating grievances, providing solutions or remedies, and ensuring that appropriate actions are taken to correct any issues rose.

Grievance: a grievance is a formal complaint or expression of dissatisfaction raised by an individual or group who believes they have been wronged or unfairly treated. Grievances can occur in various contexts, such as the workplace, communities, and within organizations, and typically involve a process for addressing and resolving the complaint through established procedures or mechanisms.

Kind Compensation: non-monetary rewards or compensation provided to individuals or communities as compensation, such as goods, services, or benefits that are equivalent in value to what is given up or other benefits rather than cash.

Land Donation: the act of giving a full of or a percentage of one's land for a specific purpose voluntarily without coercion to the government or another entity and expecting direct monetary compensation. This can be for public projects, community benefits, or charitable reasons.

Land Swaps: the process where two parties mutually agree to exchange parcels of land. This can occur between private individuals, businesses, or governmental entities. Land swaps are often used to consolidate land holdings, facilitate development projects, resolve land disputes, or achieve environmental conservation goals by trading land of lesser value for land that is strategically important or more valuable for specific uses.

Landholders: they are individuals, groups, or entities that hold legal ownership or title to a piece of land. This ownership grants them certain rights and responsibilities, including the ability to use, sell, lease, or develop the land.

Pastoralist Communities: groups of people, whose primary livelihood is based on raising and herding livestock such as cattle, goats, sheep, and camels often moving with their animals to find fresh pastures and water.

Recipient: a recipient is a person or entity that receives something. This can refer to receiving goods, services, benefits, payments, or any other form of transfer from another party.

Voluntary Participation: the act of willingly taking part in an activity or program based on one's own free choice, without being forced or mandated as well as without any form of compulsion.

Voluntary: an action performed willingly, without coercion or pressure, based on one's free will.

13. Annex 1: A Sample Voluntary Donation of Land Agreement

This Voluntary Donation of Land Agreement Number _____is made on this ____ day of _____, **2024**, by and between:-

Donor: Name full name: **Mr. /Ms.** _____ Address: Zone_____, District (Woreda)_____, Kebele_____ National ID/Passport Number: _____, phone number:_____
Recipient: Rural Connectivity and Access Program (RCAP) Address: Regional State Government of _____ Represented by: _____ Title: _____

1. **Purpose** The purpose of this Agreement is to formalize the voluntary donation of land by the Donor to the Recipient for the implementation of infrastructure projects under the Rural Connectivity and Access Program (RCAP).

2. **Description of the Land** The land subject to this donation is described as follows:
   - Location: _____
   - Plot Number (Certificate No) : _____
   - Total Area: _____, Voluntarily Donated Area _____
   - Boundaries:
     - Surrounded From **Eastern** Side by_____
     - Surrounded From **Western** Side by_____
     - Surrounded From **Northern** Side by_____
     - Surrounded From **Southern** Side by_____
   - Current Use: _____

3. **Confirmation of Voluntariness** the Donor hereby confirms that this donation is made voluntarily without any pressure, unnecessary influence, or pressure from the Recipient or any other party.

4. **Purpose of Donation** The land is donated to the Recipient for the purpose of developing and implementing infrastructure projects aimed at improving rural connectivity and access as part of the RCAP. That the Owner testifies that the land/structure is free of squatters or encroachers and not subject to any other claims.

5. **Rights and Responsibilities**
   - **Donor:**
     - Confirms ownership of the land and has the legal right to donate it.
     - Agrees to transfer all rights and interests in the land to the Recipient.
     - Ignores any future claims to compensation for the land.
     - The donor hereby grants to the RCAP this asset for the construction and development of the road/ bridge under rural connectivity access program for the benefit of the community.
   - **Recipient:**
     - Accepts the donation and agrees to use the land for the specified purpose.

- Commits to developing infrastructure projects on the donated land in line with the RCAP objectives.
- Ensures that the land will not be used for any purpose other than what is stated in this Agreement.

6. **Documentation and Transfer of Title**
   - The Donor agrees to provide all necessary documents to facilitate the transfer of title to the Recipient include a copy of the site plan or certified map, if available.
   - The Recipient agrees to cover any costs associated with the registration and transfer of the land title.

7. **Grievance Redress**
   - The Donor recognizes awareness of the Grievance Redress Mechanism (GRM) established by the RCAP.
   - Any disputes arising from this Agreement will be addressed through the GRM.

8. **Compensation**
   - Although the donation is voluntary, the framework should provide for fair kind compensation or support to the donor if necessary. This may include livelihood restoration or other support mechanisms

9. **Amendments**
   - Any amendments to this Agreement must be made in writing and signed by both parties.

10. **Governing Law**
    - This Agreement shall be governed by and construed in accordance with the national laws of the Ethiopia along with Regional State Government of Ethiopia.

11. . **Signatures** This Agreement is signed by the parties on the date first above written.

Donor: Signature: _____Name: _____ Date: _____
Recipient: Signature: _____Name: _____Title: _____ Date: _____
Witnesses:
Witness 1: Name: _____ Signature: _____ Date: _____
Witness 2: Name: _____ Signature: _____Date: _____

Annex M: Generic ES Clauses to be Included in Contract Documents

Proper environmental and social management of construction projects can be achieved only with adequate site selection and project design. Please note that these environmental and social clauses shall be applicable for projects involving any construction or rehabilitation activities, regardless of their

category or schedules, and hence should be part of the procurement and construction contract agreement. As such, the ES instruments for projects involving any new construction, any rehabilitation or reconstruction for existing projects, or maintenance should provide information as to screening criteria for site selection and design including the following:

Site Selection

Sites should be chosen based on community needs for additional projects, with specific lots chosen based on geographic and topographic characteristics. The site selection process involves site visits and studies to analyze: (i) the site's rural characteristics; (ii) federal, regional, or local regulations affecting the proposed lot; (iii) accessibility and distance from inhabited areas; (iv) land ownership, including verification of absence of squatters and/or other potential legal problems with land acquisition; (v) determination of site vulnerability to natural hazards, (i.e. intensity and frequency of floods, earthquakes, landslides, volcanic eruptions); (vi) suitability of soils and subsoils for construction; (vii) site contamination by lead or other pollutants; (viii) flora and fauna characteristics; (ix) presence or absence of natural habitats and/or ecologically important habitats on site or in vicinity (e.g. forests, wetlands, coral reefs, rare or endangered species); and (ix) historic and community characteristics.

Construction Activities and Environmental and Social Rules for Contractors

The following information is intended solely as broad guidance to be used in conjunction with local and national regulations. Based on this information, environmental and social rules for contractors should be developed for each project, taking into account the project size, site characteristics, and location.

After choosing an appropriate site and design, construction activities can proceed. As these construction activities could cause significant impacts on and nuisances to surrounding areas, careful planning of construction activities is critical. Therefore, the following rules (including specific prohibitions and construction management measures) should be incorporated into all relevant bidding documents, contracts, and work orders.

Prohibitions

The following activities are prohibited on or near the project site:

- Cutting of trees for any reason outside the approved construction area;
- Hunting, fishing, wildlife capture, or plant collection;
- Use of unapproved toxic/hazardous materials, including lead-based paints, asbestos, etc.
- Disturbance to anything with cultural or historical value;
- Building of fires;
- Use of firearms (except authorized security guards);
- Use of alcohol by workers.

Construction Management Measures

Waste Management and Erosion:

Solid wastewater, and hazardous wastes must be properly controlled, through the implementation of the following measures:

Waste Management:

- Minimize the production of waste that must be treated or eliminated.
- Identify and classify the type of waste generated. If hazardous wastes are generated, proper procedures must be taken regarding their storage, collection, transportation and disposal.
- Identify and demarcate disposal areas clearly indicating the specific materials that can be deposited in each.
- Control placement of all construction waste (including earth cuts) to approved disposal sites (>300 m from rivers, streams, lakes, or wetlands). Dispose in authorized areas all of garbage, metals, used oils, and excess material generated during construction, incorporating recycling systems and the separation of materials.
- No trench shall be left open for more than 7 days, unless duly authorized by the supervisor upon Contractor's request. Trenches and other excavation works shall be established, demarcated/fenced and/or signposted sufficient to prevent accident or injury to workers or the public, including during hours of darkness.

Specific Protection Measures: Quarries, Borrow Areas and Deposit Sites

The Contractor shall obtain appropriate licenses/permits from relevant authorities to operate quarries or borrow areas prior to their first use. The location of quarries and borrow areas shall be subject to review and approval by relevant local and regional authorities.

New sites:

- Shall be located 1km or more from settlement areas, archaeological areas, and cultural sites - including churches and cemeteries, wetlands or any other valued ecosystem component, or on high or steep ground.
- Shall not be located in water bodies, or adjacent to them, as well as to springs, wells, well fields.
- Shall not be located in or near forest reserves, natural habitats or national parks.
- Shall be designed and operated in the perspective of an easy and effective rehabilitation. Areas with minimal vegetation cover such as flat and bare ground, or areas covered with grass only or covered with shrubs less than 1.5m in height, are preferred.
- Shall have clearly demarcated and marked boundaries to minimize vegetation clearing and safety hazards for third parties.
- Shall be operated in accordance with the General Environmental Protection Requirements, the Construction ESMP for the project and in accordance with any consent/permit conditions.

Maintenance:

- Identify and demarcate equipment maintenance areas (>15m from rivers, streams, lakes or wetlands).
- Ensure that all equipment maintenance activities, including oil changes, are conducted within demarcated maintenance areas; never dispose spent oils on the ground, in water courses, drainage canals or in sewer systems.

- Identify, demarcate and enforce the use of within site access routes to limit impact to site vegetation.
- Install and maintain an adequate drainage system to prevent erosion on the site during and after construction.

Erosion Control

- Erect erosion control barriers around perimeter of cuts, disposal pits, and roadways.
- Spray water on dirt roads, cuts-fill material and stockpiled soil to reduce wind induced erosion, as needed.
- Maintain vehicle speeds at or below 15 km/hr within work area at all times.

Stockpiles and Borrow Pits

- Identify and demarcate locations for stockpiles and borrow pits, ensuring that they are 15 meters away from critical areas such as steep slopes, erosion prone soils, and areas that drain directly into sensitive water bodies.
- Limit extraction of material to approved and demarcated borrow pits.

Site Clean-up

- Establish and enforce daily site clean-up procedures, including maintenance of adequate disposal facilities for construction debris.

Safety during Construction

The Contractor's responsibilities include the protection of every person and nearby property from construction accidents. The Contractor shall be responsible for complying with all national and local safety requirements and any other measures necessary to avoid accidents, including the following:

- Carefully and clearly mark pedestrian-safe access routes.
- If school children are in the vicinity, include traffic safety personnel to direct traffic during school hours.
- Maintain supply of supplies for traffic signs (including paint, easel, sign material, etc.), road marking, and guard rails to maintain pedestrian safety during construction.
- Conduct safety training for construction workers prior to beginning work.
- Provide personal protective equipment and clothing (goggles, gloves, respirators, dust masks, hard hats, steel-toed and –shanked boots, etc.,) for construction workers and enforce their use.
- Post Material Safety Data Sheets for each chemical present on the worksite.
- Require that all workers read, or are read, all Material Safety Data Sheets. Clearly explain the risks to them and their partners, especially when pregnant or planning to start a family. Encourage workers to share the information with their physicians, when relevant.
- Ensure that the removal of asbestos-containing materials or other toxic substances be performed and disposed of by specially trained workers.
- During heavy rains or emergencies of any kind, suspend all work.
- Brace electrical and mechanical equipment to withstand seismic events during the construction.

Nuisance and Dust Control

To control nuisance and dust the Contractor should:

- Maintain all construction-related traffic at or below 25 km/hr. on roads within 200 m of the site.
- Maintain all onsite vehicle speeds at or below 15 km/hr.
- To the extent possible, maintain noise levels associated with all machinery and equipment at or below 90 db.
- In sensitive areas (including residential neighborhoods, hospitals, etc.) more strict measures may need to be implemented to prevent undesirable noise levels.
- Minimize production of dust and particulate materials at all times, to avoid impacts on surrounding families and businesses, and especially to vulnerable people.
- Phase removal of vegetation to prevent large areas from becoming exposed to wind.
- Place dust screens around construction areas, paying particular attention to areas close to housing, commercial areas, and recreational areas.
- Spray water as needed on dirt roads, cut areas and soil stockpiles or fill material.
- Apply proper measures to minimize disruptions from vibration or noise coming from construction activities.

Community Relations

To enhance adequate community relations the Contractor should:

- Following the country and ESIA/ESMP requirements, inform the population about construction and work schedules, interruption of services, traffic detour routes and provisional bus routes, as appropriate.
- Limit construction activities at night. When absolutely necessary, ensure that night work is carefully scheduled, and the community is properly informed so they can take necessary measures.
- At least five days in advance of any service interruption (including water, electricity, telephone, and bus routes) the community must be advised through postings at the project site, at bus stops, and in affected homes/businesses.

Chance Finds Procedures for Culturally Significant Artifacts

The Contractor is responsible for familiarizing themselves with the following "Chance Finds Procedures", in case culturally valuable materials are uncovered during excavation, including:

- Stop working immediately following the discovery of any materials with possible archaeological, historical, paleontological, or other cultural value, announce findings to project manager and notify relevant authorities.
- Protect artifacts as well as possible using plastic covers, and implement measures to stabilize the area, if necessary, to properly protect artifacts.
- Prevent and penalize any unauthorized access to the artifacts.
- Restart construction works only upon the authorization of the relevant authorities.

Environmental and Social Supervision/Monitoring during Construction

The bidding documents should indicate how compliance with environmental and social rules and design specifications would be supervised, along with the penalties for non-compliance by contractors or workers. Construction supervision requires oversight of compliance with the manual and environmental specifications by the contractor or his designated environmental and social supervisor. Contractors are

also required to comply with national, regional and local regulations governing the environment, social, health and safety.

Annex N: Generic Health and Safety Management Plans

This annex covers the health and safety precautions for the most common road construction activities. If road construction involves special methods of construction, the contractor needs to come up with the associated health and safety precautionary measures. The health and safety requirements specified here are only the minimum requirements. Other equivalent or better approaches are also acceptable if proven.

Safety Plan, Site Planning and Layout

Safety Plan of a Workplace

A contractor prepares safety plan of workplaces which shall incorporate the following:

- Assignment of a safety officer and/or the establishment of safety and health committee whose members include representatives of the contractor and workers. The officer/committee will be in charge of following up the safety preparations and implementations.
- Provide on-the-job training by safety officer and/or safety committee members to the workers. The training includes providing information to workers of any measures applied on the construction site for ensuring safety in understandable ways.
- Displaying pieces of information of particular importance including the following.
    - list of construction work to be performed on a construction site involving particular risks, the approximate time of performance of the work, the contact details of a person responsible for the work and measures for ensuring the safety of workers;
    - instructions for action in the event of a risk, the names and contact details of persons responsible;
    - the names and contact details of persons giving first aid, the contact address of nearest place of providing emergency medical assistance and the means of access.

Site Layout of a Workplace: Before work begins, site layout plan that contains the following items shall be prepared and approved:

- Safe means of access to and outlet from all workplaces.
- The sequence or order in which work will be done.
- Access for workers on and around the site.
- The locations of danger zones.
- Storage for flammable materials, if there are any.
- Routes for vehicular traffic. These should be "one way" as far as practicable.
- Storage areas for materials, construction waste and equipment. Materials need to be stored as close as possible to the appropriate workstation.
- The location of construction machinery (if used). This is usually dependent on operational requirements. The objective should be to avoid the need to slew the load over workers and traffic of the surrounding area.
- The location of medical and welfare facilities.
- Delineation and fencing external border of the site and clearly marking it in order to keep away unauthorized persons and to protect the public from site hazards. The type of fencing will depend on the location of the site.

- Appropriate lighting posts, if night work or work when there is no adequate light is expected.
- Signs and signals that convey required cautionary messages.

Signs and Signals

- Warning, Cautionary, and Informative signs and signals shall be placed where required.
- Signs shall be visible at all times when work is being performed and shall be removed or covered when the hazards no longer exist.
- Danger Signs: Danger signs shall be used only where an immediate hazard exists. Danger signs shall have red as the predominating color for the upper panel; black outline on the borders; and a white lower panel for additional sign wording
- Caution signs: Caution signs should be used only to warn against potential hazards or to caution against unsafe practices.

General Mitigation Measures for Occupational Health and Safety Risks

- Construction area should be protected to create an exclusion zone so that the public will not enter the construction area and expose to safety hazards.
- Excavations should be supported by sloping, battering, shoring, etc.
- Do not stack/place excavation spoils on the rim or top of pits/trenches.
- Do not stack/place construction materials on the rim or top of pits/trenches.
- Do not place machines/equipment (if used) on the rim or top of pits/trenches.
- Investigate the stability of existing structures adjacent to excavations (if any) before the work commences and if there is a need consider measures such as shoring before excavations begin.
- Excavations should have proper ingress and egress, and the access should be positioned in the supported excavation area.
- Excavations much have edge protections or barriers around the rim or top so that workers and the public will not fall in.
- Machine operations (if any) should take special care when operating near excavation rim/top.
- Never throw hand tools or materials down to someone in an excavation.
- Check availability of existing utilities before excavation begins (if possible) and take care during excavation not to inadvertently striking existing utilities.
- All work-at-height should be done on proper scaffolds, working on drums, barrels, wooden planks, stacks of HCBs and bricks is strictly prohibited.
- Scaffolds should be fully boarded, fitted with guard rails, toe boards, and outriggers.
- Scaffolds should have proper access ladders/stairs.
- Scaffolds should be placed on a firm and level ground.
- Scaffolds should be inspected periodically for their integrity and safety.
- Ladders can only be used for short duration work or inspection which can be done safety.
- Wooden ladders should not be used.
- Formwork should be structurally designed and checked before installation, accounting its self-weight, weight of wet concrete, weight of persons standing on it during erection and concrete casting, and weight of equipment on the formwork such as vibrators.
- Formwork stripping should be done by competent workers with safe procedures.

- Make sure that workers (other than the trained workers) are not under the formwork during stripping.
- Do not throw materials and debris from heights.
- During operating machines (if any), make sure that workers are not working near the machine and access is restrict around the machines in operation.
- Make sure that weights to be lifted (if any) are within the capacity of the lifting machines/equipment.
- Properly secure the load or any part of the load which might slip and fall during lifting operations.
- Workers should not be underneath the weight to be lifted during the operation, access to the lifting area should be restricted.
- Adequate fresh air ventilation must be provided in confined spaces (if any).
- Under no circumstances should workers enter a confined space without instructions from supervisor(s).
- All necessary safety and rescue equipment must be available on site before entry into confined space.
- Maintain housekeeping of work area to prevent risk of fire (remove unnecessary accumulated debris, flammable liquids/gases, wooden materials, plastics, etc.).
- Provide fire arrest equipment, with volume commensurate to the volume and type of flammable materials available in the construction area.
- Insulate all open electric conductors.
- Electrical equipment should not be operated in wet environment.
- Hot works should not be done near flammable materials.
- Hot works area should be covered by screens and only the assigned worker should be in the screened area.
- Hot works should not be done for continuous period, rather allow breaks during hot works to avoid overheating of workers.
- Do not leave construction debris/refuse lying about in the work area, clean up frequently.
- Ensure that all waste is disposed of in the correct bin, segregate wastes.
- Do not obstruct walkways or access with hand tools or materials.
- Make sure that spilled oil, grease, or liquids are cleaned up from floors.
- Appropriately and frequently dispose cutoff or excess timber, reinforcing bars, and any other material.
- Position all cables and hoses out of the way, do not lay cables and hoses across a pedestrian walkway.
- Workers should be given work based on their physical capabilities and jobs they can reasonably handle.
- Always check the weight of a load before manually lifting.
- Know the correct way of lifting weight before attempting.
- When working with hand tools, select proper tools for the job, make sure they are in good condition, and use them correctly.
- Use appropriate types of PPE for each work type, wear high visibility vest, hard hat, and safety boots at all times.
- Speed of construction machines, trucks and vehicles (if any) should be controlled in the work area.
- Flagmen should be assigned to coordinate traffic.

- Safety zones must be created in the work area with the speed of the traffic taken into account.
- Safety signs should be used to communicate with workers, visitors, and the public.
- First aid kits should be made available at the work area and should be replenished after use.
- Trained first aider should be available at the work area at all times.

Preventative and Protective Measures of Ladders and Scaffolding

Ladders

The following general requirements apply to all portable ladders including job-made ladders.

- Ladder rungs, cleats and steps must be parallel, level and uniformly spaced when the ladder is in position for use.
- Provide a metal spreader or locking device on each stepladder to hold the front and back sections in an open position when the ladder is being used.
- Ladder components must be surfaced to prevent injury from punctures or lacerations, and prevent snagging of clothing.
- The type of ladder to be used around electric lines should not be made of a conductor.
- The bottom of a ladder should be of such material that develops friction with the floor.
- Do not tie or fasten ladders together to create longer sections unless they are specifically designed for such use.
- The minimum clear distance between the sides of individual rung/ step ladders and the minimum clear distance between the side rails of other fixed ladders shall be 16 inches (41 cm).

Scaffoldings: General Requirements for All scaffolds

- All scaffoldings shall be designed in such a way that it is safe against falling, breaking and sway and get approval.
- The contractor shall provide safe means of access for each employee erecting or dismantling a scaffold where the provision of safe access is feasible and does not create a greater hazard. The contractor shall have a competent person to determine whether it is feasible or would pose a greater hazard to provide, and have workers use a safe means of access. This determination shall be based on site conditions and the type of scaffold being erected or dismantled.
- The vertical supports of scaffolds shall rest on a firm foundation or sills.
- All scaffolds above 3 meters high above ground shall be equipped with a guardrail not less than 1-meter height and an intermediate rail.
- Scaffolding shall be erected plumb line, and level, and all connections shall be securely fastened.
- The width of work platforms on scaffolds shall be not less than 40 cm.
- Materials only for current use shall be kept on scaffolds.
- Safe means of access (ladder or equivalent) shall be provided to all working levels of the scaffolding.
- Overhead protection shall be provided for workers on a scaffold exposed to overhead hazards.
- Employees shall not work on scaffolds during storms or high winds.
- Tools, materials, and debris shall not be allowed to accumulate on scaffolds.

Excavation Work

- Before commencing excavation work the following pre-excavation requirements should be recognized:
  - Excavation works with power tools or equipment in an area likely to have underground conduits, cables or pipelines, the location of the service facilities shall be accurately determined;
  - Trees, boulders or other matters located within 2 meters of the area to be excavated shall be removed before commencing excavation work;
- The following points should be properly studied before the work of excavation begins on site:
  - The nature of the ground should be verified by a competent person or organization;
  - Proper safety plan should be submitted and approved to make sure that the excavation will not affect adjoining buildings, structures or roadways;
  - The concerned body should check and verify the position of all the public utilities such as water pipes and electrical conductors that may cause danger during work;
- A worker shall not be permitted or required to enter an excavation over 1.5 meters in depth unless:
  - the sides of the excavation are firm or are sloped to safe angle;
  - the sides have been secured by the use of sheet piling, shoring or bracing;
  - The workers are protected by other effective means.
- If equipment or other heavy objects are located or operated close to the edge of excavation or if excavations are adjacent to or abutting buildings or other structures or a hazard is created by vibration from nearby equipment or from passing vehicles traffic, the added loads shall be considered in the design of the support system;
- When workers are required to enter excavations over 1.5 meters in depth, a ladder shall be provided in the immediate area where workers are and the ladder shall extend from the bottom of the excavation to the least 90 cm above the top of the excavation;
- With the exceptions of borrow pits, excavations of depth higher than 3.0 meters shall be guarded by substantial railings made of locally available materials (such as wood logs). Shallower excavations shall be marked along their perimeter by reflective ropes;
- Adequate measures should be taken to prevent the formation of dusts or to suppress as practicable as possible, such as by sprinkling water at regular intervals in excavation works;
- A worker shall not allow excavated materials to remain within 1.2 meters of the edge of a trench typed excavation, not within 1.5 meters of a pit-typed excavation.

Annex O: World Bank Incident Reporting Forms

Part B: To be completed by Borrower within 24 hours

B1: Incident Details			
Date of Incident:	**Time:**	**Date Reported to PIU:**	**Date Reported to WB:**
Reported to PIU by:	**Reported to WB by:**	**Notification Type:** Email/'phone call/media notice/other	
Full Name of Main Contractor:		**Full Name of Subcontractor:**	

B2: Type of incident (please check all that apply)[1]

Fatality ☐ Lost Time Injury ☐ Displacement Without Due Process ☐ Child Labor ☐ Acts of Violence/Protest ☐ Disease Outbreaks ☐
Forced Labor ☐ Unexpected Impacts on heritage resources ☐ Unexpected impacts on biodiversity resources ☐
Environmental pollution incident ☐ Dam failure ☐ Other ☐

[1]See Annex 1 for definitions

B3: Description/Narrative of Incident

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

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

B4: Actions taken to contain the incident

Short Description of Action	Responsible Party	Expected Date	Status

For incidents involving a contractor:
Have the works been suspended (for example, under GCC8.9 of Works Contract)? Yes ☐; No ☐;
Trading name of Contractor (if different from B1):
Please attach a copy of the instruction suspending the works.

B5: What support has been provided to affected people

Annex 1: Incident Types

The following are incident types to be reported using the environmental and social incident response process:

Fatality: Death of a person(s) that occurs within one year of an accident/incident, including from occupational disease/illness (e.g., from exposure to chemicals/toxins).

Lost Time Injury: Injury or occupational disease/illness (e.g., from exposure to chemicals/toxins) that results in a worker requiring 3 or more days off work, or an injury or release of substance (e.g., chemicals/toxins) that results in a member of the community needing medical treatment.

Acts of Violence/Protest: Any intentional use of physical force, threatened or actual, against oneself, another person, or against a group or community, that either results in or has a high likelihood of resulting in injury, death, psychological harm, deprivation to workers or project beneficiaries, or negatively affects the safe operation of a project worksite.

Disease Outbreaks: The occurrence of a disease in excess of normal expectancy of number of cases. Disease may be communicable or may be the result of unknown etiology.

Displacement Without Due Process: The permanent or temporary displacement against the will of individuals, families, and/or communities from the homes and/or land which they occupy without the provision of, and access to, appropriate forms of legal and other protection and/or in a manner that does not comply with an approved resettlement action plan.

Child Labor: An incident of child labor occurs: (i) when a child under the age of 14 (or a higher age for employment specified by national law) is employed or engaged in connection with a project, and/or (ii) when a child over the minimum age specified in (i) and under the age of 18 is employed or engaged in connection with a project in a manner that is likely to be hazardous or interfere with the child's education or be harmful to the child's health or physical, mental, spiritual, moral or social development.

Forced Labor: An incident of forced labor occurs when any work or service not voluntarily performed is exacted from an individual under threat of force or penalty in connection with a project, including any kind of involuntary or compulsory labor, such as indentured labor, bonded labor, or similar labor-contracting arrangements. This also includes incidents when trafficked persons are employed in connection with a project.

Unexpected Impacts on heritage resources: An impact that occurs to a legally protected and/or internationally recognized area of cultural heritage or archaeological value, including world heritage sites or nationally protected areas not foreseen or predicted as part of project design or the environmental or social assessment.

Unexpected impacts on biodiversity resources: An impact that occurs to a legally protected and/or internationally recognized area of high biodiversity value, to a Critical Habitat, or to a Critically Endangered or Endangered species (as listed in IUCN Red List of threatened species or equivalent national approaches) that was not foreseen or predicted as part of the project design or the environmental and social assessment. This includes poaching or trafficking of Critically Endangered or Endangered species.

Environmental pollution incident: Exceedances of emission standards to land, water, or air (e.g., from chemicals/toxins) that have persisted for more than 24 hrs or have resulted in harm to the environment.

Dam failure: A sudden, rapid, and uncontrolled release of impounded water or material through overtopping or breakthrough of dam structures.

Other: Any other incident or accident that may have a significant adverse effect on the environment, the affected communities, the public, or the workers, irrespective of whether harm had occurred on that occasion. Any repeated non-compliance or recurrent minor incidents which suggest systematic failures that the task team deems needing the attention of Bank management.

Part C: To be completed by Borrower (following investigation)

C1: Investigation Findings
Please replace text in italics with findings, noting for example: *I. where and when the incident took place,* *II. who was involved, and how many people/households were affected,* *III. what happened and what conditions and actions influenced the incident,* *IV. what were the expected working procedures and were they followed,* *V. did the organization or arrangement of the work influence the incident,* *VI. were there adequate training/competent persons for the job, and was necessary and suitable equipment available,* *VII. what were the underlying causes; where there any absent risk control measures or any system failures,*

C2: Corrective Actions from the investigation to be implemented (To be fully described in Corrective Action Plan)		
Action	**Responsible Party**	**Expected Date**

Part C cont.: To be completed by Borrower (following investigation)

C3a: Fatality/Lost time Injury information

Immediate cause of fatality/injury for worker or member of the public (please check all that apply) [2]:

1. Caught in or between objects ☐ 2. Struck by falling objects ☐ 3. Stepping on, striking against, or struck by objects ☐ 4. Drowning ☐ 5. Chemical, biochemical, material exposure ☐ 6. Falls, trips, slips ☐ 7. Fire & explosion ☐ 8. Electrocution ☐ 9. Homicide ☐ 10. Medical Issue ☐ 11. Suicide ☐ 12. Others ☐

***Vehicle Traffic:* 13. Project Vehicle Work Travel ☐ 14. Non-project Vehicle Work Travel ☐ 15. Project Vehicle Commuting ☐ 16. Non-project Vehicle Commuting ☐ 17.Vehicle Traffic Accident (Members of Public Only) ☐**

Name	Age/DOB	Date of Death/Injury	Gender	Nationality	Cause of Fatality/Injury	Worker (Employer)/Public

[2]See Annex 2 for definitions

C3b: Financial Support/Compensation Types (To be fully described in Corrective Action Plan template)

1. Contractor Direct ☐ 2. Contractor Insurance ☐ 3. Workman's Compensation/National Insurance ☐ 4. Court Determined Judicial Process ☐ 5. Other ☐ 6. No Compensation Required ☐

Name	Compensation Type	Amount (US$)	Responsible Party

C4: Supplementary Narrative

Annex 2: Definition of fatality/injury immediate causes

1. **Caught in or between objects:** caught in an object; caught between a stationary object and moving object; caught between moving objects (except flying or falling objects).
2. **Struck by falling objects:** slides and cave-ins (earth, rocks, stones, snow, etc.); collapse (buildings, walls, scaffolds, ladders, etc.); struck by falling objects during handling; struck by falling objects.
3. **Stepping on, striking against, or struck by objects:** stepping on objects; striking against stationary objects (except impacts due to a previous fall); Striking against moving objects; Struck by moving objects (including flying fragments and particles) excluding falling objects.
4. **Drowning:** respiratory impartment from submersion/emersion in liquid.
5. **Chemical, biochemical, material exposure:** exposure to or contact with harmful substances or radiations.
6. **Falls, trips, slips:** falls of persons from heights (e.g., trees, buildings, scaffolds, ladders, etc.) and into depths (e.g., wells, ditches, excavations, holes, etc.) or falls of persons on the same level.
7. **Fire & explosion:** exposure to or contact with fires or explosions.
8. **Electrocution:** exposure to or contact with electric current.
9. **Homicide:** a killing of one human being by another.
10. **Medical Issue:** a bodily disorder or chronic disease.
11. **Suicide:** the act or an instance of taking, or attempting to take, one's own life voluntarily and intentionally.
12. **Others:** any other cause that resulted in a fatality or injury to workers or members of the public.

Vehicle Traffic

13. **Project Vehicle Work Travel:** traffic accidents in which project workers, using project vehicles, are involved during working hours and which occur in the course of paid work.
14. **Non-project Vehicle Work Travel:** traffic accidents in which project workers, using non-project vehicles, are involved during working hours and which occur in the course of paid work.
15. **Project Vehicle Commuting:** traffic accidents in which project workers, using project vehicles, are involved while travelling to (i) the worker's principal or secondary residence; (ii) the place where the worker usually takes his or her meals; or (iii) the place where he or she usually receives his or her remuneration.
16. **Non-project Vehicle Commuting:** traffic accidents in which project workers, using non-project vehicles, are involved while travelling to (i) the worker's principal or secondary residence; (ii) the place where the worker usually takes his or her meals; or (iii) the place where he or she usually receives his or her remuneration.
17. **Vehicle Traffic Accident (Members of Public Only):** traffic accidents in which non-project workers/members of the public are involved in an accident while travelling for any purpose.

Part B: To be completed by Borrower

B1: Incident Details		
Date of incident intake by the project/GM:	**Date Reported to PIU:**	**Date Reported to WBG:**
Reported to project/GM by: ☐ Survivor ☐ Third party ☐ Other: _____ **Is a record of this incident in GM?** Yes ☐ No ☐	**Reported to PIU by:** ☐ GM operator ☐ Directly, by Survivor ☐ Directly, by third party ☐ Other: _____	**Reported to WBG by:** ☐ PIU ☐ Directly, by Survivor ☐ Directly, by third party ☐ Other: _____

B2: Incident type (please check all that apply) See Appendix 1 for definitions
Sexual exploitation ☐ Sexual abuse ☐ Sexual harassment ☐

B3: Provide the following details from the GM record	
Age of survivor (if recorded in GM):	Have the national legislation or mandatory reporting requirements been followed? Yes ☐ No ☐
Sex of survivor (if recorded in GM): Male ☐ Female ☐ Other ☐	Was the survivor referred to service provision?[10] Yes ☐ No ☐
Is the survivor employed by the project (as indicated by the survivor or complainant and reported in the GM)? Yes ☐ No ☐	Is the alleged perpetrator employed by the project (as indicated by the survivor or complainant and reported in the GM)? Yes ☐ No ☐

B4: Basis for further action	
a. Has the complainant provided informed consent to lodge a formal complaint? Yes ☐ No ☐	c. Has the survivor provided informed consent to be part of an investigation into misconduct? Yes ☐ No ☐
b. Does the employer have a suitable administrative process and capacity in place to investigate misconduct relating to SEA/SH in a survivor-centered way? Yes ☐ No ☐	d. Has the complaint been filed anonymously or through a third party? Yes ☐ No ☐
If the answer to any of these questions is no, has the GM assessed the risks and benefits of carrying out an investigation into the alleged misconduct, taking into account the survivor's safety and wellbeing? Yes ☐ No ☐	
Will an investigation into misconduct be undertaken in addition to an investigation into adequacy of project systems, processes or procedures? Yes ☐ No ☐	

[10] When a complaint is filed by a third party, or the survivor has not reached out to the project, the project may not be able to confirm this information. In these cases, it may not be advisable for the project GM to attempt to reach the survivor, as this may jeopardize confidentiality, safety, and agency. Projects may attempt to find safe ways to pass information indirectly (such as through broad efforts to inform) about services available.

Appendix 1: Incident Types

Incident Type	Example
Sexual Exploitation: Any actual or attempted abuse of position of vulnerability, differential power or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. In Bank financed operations/projects, sexual exploitation occurs when access to or benefit from a Bank financed Goods, Works, Non-consulting Services or Consulting Services is used to extract sexual gain.	• A community member is promised employment on the World Bank financed project site in exchange for sex • A member of the project team connecting water lines to homes requests a sexual favor for access to water connection • A project worker denies passage of a woman through the worksite unless she performs a sexual favor
Sexual Abuse: Actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. In Bank financed operations/projects, sexual abuse occurs when a project related worker (contractor staff, subcontractor staff, supervising engineer) uses force or unequal power vis a vis a community member or colleague to perpetrate or threat to perpetrate an unwanted sexual act.	• A project worker abuses a community member • A project worker has a sexual relationship with a child • A project worker befriends a child, supporting her and/or her family in exchange of sexual favors • A project worker stays in the cafeteria after dinner and sexually assaults a kitchen staff member • A project worker touches an administrative staff member's body. • A supervisor for a subcontractor asks his female colleague to join him for a business dinner with the main contractor. After dinner he asks her to entertain "the boss" in his room as an appreciation for the contract and her work.
Sexual Harassment: Any unwelcome sexual advance, request for sexual favor, verbal or physical conduct or gesture of a sexual nature, or any other behavior of a sexual nature that might reasonably be expected or be perceived to cause offence or humiliation to another, when such conduct interferes with work, is made a condition of employment, or creates an intimidating, hostile or offensive work environment. In Bank financed operations/projects, sexual harassment occurs within the context of a subcontractor or contractor and relates to employees of the company experiencing unwelcome sexual advances or requests for sexual favor or acts of a sexual nature that are offensive and humiliating among the same company's employees.	• A worker sends sexually explicit text messages to a coworker • A colleague leaves an offensive picture that is sexually explicit on a co-worker's desk • A project worker asks all female employees to great him with a kiss on the cheek every day before work. • A project worker compliments his co-worker's body. • A project worker continuously invites a co-worker out for drinks or dinner after being told that they are not interested.

Part C: To be completed by Borrower[11] (following investigation)

C1: Findings of the investigation	
Have sanctions against a perpetrator been recommended as part of an investigation into misconduct? Yes ☐ No ☐	Has an investigation into adequacy of project systems, processes or procedures been undertaken? Yes ☐ No ☐

C2: Corrective actions to be implemented (To be fully described in Corrective Action Plan)		
Short Description of Action (SEA/SH examples)	**Responsible Party**	**Timeline for completion/Status**
Referral of Survivor to holistic care services		
Undertake disciplinary investigation in accordance with GM timelines and confirmed process		
Disciplinary actions, including sanctions, to be applied following misconduct investigation by Employer		
Increased training on Codes of Conduct (CoC)		
Audit of implementation of SEA/SH safety mitigation		
Strengthened awareness training on project-related risks, CoC and how to report incidents for project-affected community		
Training for project supervisors on the need to follow guidelines of behaviour in CoC and their supervisory responsibilities		
Plan to improve coverage/quality of service provision		
Any other system strengthening measures or corrections for system failures that are necessary		

C3: For incidents involving a Contractor:
Has the incident been referred to the DAAB? Yes ☐ No ☐

[11] Information from GM is used to complete Part C. Where appropriate (for example in the event that the Borrower is implicated in the allegation) this may be obtained by the TTL directly from the GM

Annex P Program Action Plan (PAP)

No	Action Items	Activities	Progress Indicators and Targets*	Level of Application	Responsibility	Schedule/ Timeframe	Objective
1	Strengthen and maintain the contributing Environmental and Social Management Systems (ESMSs) at national, regional and woreda level	• Prepare and adopt Environmental and Social Management System Guidelines (ESMSG) and a Voluntary Land Donation Protocol (VLDP)	N/A	• Preparation at national level • Implementation at all levels	National PCO at MUI	Prior to Program effectiveness	ESMSG and VLDP prepared prior to Program effectiveness
		• At least 20% of woredas have met the Program minimum access environmental and social (E&S) conditions; and all woredas are aware of same • Participating woredas have met the Program minimum environmental and social (E&S) conditions and are aware of E&S performance measures	• Percentage of woredas aware of Program E&S MACs (100), the MACs are listed under Section 8 above • Percentage of participating woredas having met Program minimum E&S conditions and received training on E&S performance measures (100)	At woreda level	Woreda road desk	-Program effectiveness -Prior to accessing the first Program finance at the woreda level	Woredas are aware of Program minimum E&S conditions prior to accessing Program finance.
		• Establish E&S structure at all levels including (i) recruit two Environmental and two Social Specialists at the national PCO, (ii) deploy E&S staff/focal persons at each regional PCO, (iii) deploy E&S staff/focal person at each Program participating woredas and adopt ESMSG and VLDP at woreda level, and (iv) assign E&S staff by selected contractors and consultants	• Percentage of E&S Specialists recruited at the national PCO (100) • Percentage of E&S staff/focal persons deployed at regional PCOs (100) • Percentage of E&S staff/focal persons deployed at Program participating woredas (100) • Percentage of E&S staff assigned at contractors and consultants (100)	At all levels (national, regional, woreda), including contractors and consultants	National PCO, regional PCOs, woreda road desks, contractors, and consultants	By Program effectiveness at national level, prior to activities commence at regional and woreda levels, and by contract signature for contractors/consultants	Qualified E&S staff are in place at all levels prior to start of the respective work.
		• Build the E&S capacity of implementing institutions on (i) general E&S risk management, (ii)	• Percentage of Program workers trained (100)	At all levels (national, regional, woreda), including	National PCO, regional PCOs, woreda road	Prior to Program implementation for national and	Enhanced E&S capacity to manage E&S risks

No	Action Items	Activities	Progress Indicators and Targets*	Level of Application	Responsibility	Schedule/ Timeframe	Objective
		the Program ESMSG and VLDP, and other relevant guidelines/manuals, (iii) labour and working conditions including OHS risks and management measures, (iv) community health and safety risks, including GBV/SEA/SH, security, and traffic risks, and (v) other relevant topics on E&S risk management	• Implementing institutions relevant staff trained (Yes) • Number of contractors' and consultants' staff trained (100) • Number of stakeholders trained (TBD in the Program ESMSG)	contractors, consultants, and stakeholders	desks, contractors, consultants, and local communities and stakeholders	regional staff; and prior to subprojects implementation start for woreda staff, contractors, consultants, and stakeholders; thereafter periodically during Program implementation	among different parties in time and as pertinent to their roles.
		• E&S screening of subprojects based on the ESMSG and VLDP, including application of the Program exclusion criteria to avoid significant adverse E&S impacts resulting from poor planning before and during construction at woreda level including sub projects that requires involuntary land acquisition and resettlement for both formal and informal settlers(squatters) land holders ; this may result from failure to adequately identify and mitigate adverse E&S impacts of the works leading to land acquisition including informal settlers (squatters), environmental damage, including loss of natural habitats and known physical	• Percentage of subproject screened for E&S risks (100) • Percentage of subprojects whose screening results remain valid until subproject closure (95)	At woreda level	Woreda road desks	During subproject planning and preparation; simultaneously with subproject design, prior to final site selection for construction until the subproject closure; verified as part of DLIs 5-8 IVA	Minimize loss of assets, properties, income, and livelihood for PAPs in line with VLDP. Minimize impacts on the environment and community in line with the ESMSG.. The subprojects are implemented in compliance with the key ESMSG and VLDP provisions

No	Action Items	Activities	Progress Indicators and Targets*	Level of Application	Responsibility	Schedule/ Timeframe	Objective
		cultural resources or their chance finds, risk of increased environmental pollution and negative occupational health and safety (OHS) impacts					
		• Minimize risk of loss of assets, properties, income, and livelihood for Program affected persons (PAPs) due to land acquisition through improved capacity to conduct and document consultations and participatory approaches where communal land is used or vulnerable persons are involved	• Monitoring shows proper application of VLDP and proper arrangements for vulnerable PAPs • Number of grievances received from PAPs in relation to loss of assets, properties, income, and livelihood (As few as possible) • Percentage of grievances addressed (100)	At all levels (national, regional, woreda)	National PCO, regional PCOs, and woreda road desks	Program implementation – prior to validating civil work contracts	No sub project that requires involuntary land acquisition is implemented; communities satisfied with land donation arrangements.
		• Preparation of subproject specific E&S instruments	• Percentage of E&S instruments prepared based on E&S screening report recommendations (100) • Percentage of subprojects whose E&S instruments enabled to manage E&S risks until subproject closure (95%)	At woreda level	Woreda road desks, consultants	During subproject planning and preparation; simultaneously with subproject design and prior to signature of respective contracts/activity initiation	E&S instruments prepared to manage identified E&S risks and impacts; describe measures to be incorporated in designs; construction measures to be included in bidding documents and contracts
		• Approval of E&S screening reports and E&S risk managements tools by the regulatory agency	• Percentage of E&S screening reports approved (100)	At woreda and regional levels	Regulatory bodies (structures similar to environment	Once E&S screening reports and risk management tools are prepared and in	Approved E&S screening reports; approved E&S risk

No	Action Items	Activities	Progress Indicators and Targets*	Level of Application	Responsibility	Schedule/ Timeframe	Objective
			• Percentage of E&S risk management tools approved (100)		protection authority)	line with time frame for subproject initiation.	management tools and VLDP signed by PAPs
		• Consideration of E&S risk management issues in construction bidding documents and contracts	• Percentage of E&S risk management issues included in construction bidding documents and subsequently in contract documents (100)	At woreda and regional levels	Woreda road desks	During works procurement and award processes	Procurement and contract documents incorporate the necessary ESRM aspects.
		• Close follow-up and monitoring of ESRM during subprojects implementation	• Percentage of subprojects regularly or periodically supervised and monitored through field inspections (100)	At national, regional, and woreda level	National PCO, regional PCOs, Woreda road desks	During subprojects implementation	Subprojects regularly or periodically monitored, and follow-up action taken to ensure continued ESRM improvement, as pertinent.
		• Appropriate and timely consultations with PAPs and other stakeholders	• Percentage of subprojects with consultations conducted with PAPs and stakeholders, including initial consultations during preparation of subprojects (100)	At woreda level	Woreda road desks	During subprojects preparation and implementation	PAPs and stakeholders consulted timely and in a meaningful way.
		• Annual E&S auditing by the regulatory agencies and incentivizing the regulatory agency through allocation of resources	• Percentage of annual E&S audits conducted as planned (100) • Incentives provided to the regulatory agencies conducting audits (Yes)	At regional level	Regulatory agencies	Annually	Annual E&S audits conducted.

No	Action Items	Activities	Progress Indicators and Targets*	Level of Application	Responsibility	Schedule/ Timeframe	Objective
2	Workers and Public Safety Management	• Development of occupational health and safety (OHS) and community health and safety (CHS) management plans • Inclusion of detailed OHS and CHS requirements and associated costs in contractors' procurement and contract documents • Develop and implement SEA/SH action plan and security management plan • Implementation of OHS and CHS plans • Close follow-up and supervision of workers and public safety management • Continuous awareness creation among communities and PAPs on OHS and CHS	• Lost time injuries or lost time accidents and any casualties or fatalities due to workplace incidents involving workers and/or the public (0) • Number of workers and/or public health and safety incidents/accidents (0) • Percentage of incidents/accidents addressed with corrective actions (100) • Percentage of SEA/SH action plan and security management plan prepared (100)	At all levels (national, regional, woreda)	National PCO, regional PCOs, woreda road desks	During subprojects preparation and design, and prior to signature of respective contracts/activity initiation; adapted during implementation	All subprojects count with an OHS and CHS plan; their requirements are included in procurement and contract documents; they are implemented; the subprojects' OHS and CHS aspects are frequently monitored; and PAPs and communities' awareness on OHS/CHS issues is enhanced; SEA/SH actional plan and security management plan prepared and implemented
3	Enhance underserved peoples, women, and other vulnerable groups participation in	• As part of the ESMSG, develop a plan or procedures to ensure equitable treatment of indigenous peoples including screening criteria to ensure subprojects are unbiased, and	• Plan or procedures prepared as part of the ESMSG to ensure indigenous peoples benefits (Yes) • Percent of subprojects that conduct separate consultations with vulnerable groups (100)	At all levels (national, regional, woreda)	National PCO, regional PCOs, woreda road desks	During Program implementation	Increased indigenous peoples and women participation in the Program; enhanced awareness on

No	Action Items	Activities	Progress Indicators and Targets*	Level of Application	Responsibility	Schedule/ Timeframe	Objective
	Program implementation	indigenous people are provided with equal opportunity • Conduct separate and inclusive consultations targeting indigenous peoples, including early during project implementation • Increase participation of women in construction of rural roads and women's ability to benefit from employment opportunities • Deliver targeted awareness campaigns to women on the benefits of participating during program implementation • Take affirmative action to increase women participation in the program • Develop gender segregated data during program planning, implementation, and reporting	• Percentage of women participating in Program implementation (50) • Percentage of women participating in targeted awareness creation campaigns (50) • Percentage of affirmative actions implemented across the subprojects (100) • Gender segregated Program data developed (Yes)				benefits of Program participation; and ethnicity and gender segregated data on Program beneficiaries developed.
4	Establish a system of solid grievance redress mechanisms (GRMs)	• Establish a functional and accessible systems of interconnected GRMs at all Program levels • Maintain and adequately operate and report the results of the GRMs throughout Program implementation	• Percentage of implementing institutions with an operational GRM (100) • Percentage of subprojects with an operational GRM (100)	At all levels (national, regional, woreda, including contractors)	National PCO/MUI, regional PCOs/regional transport bureaus, woreda road desks/woreda administration	Within 90 days of Program effectiveness at the national and regional levels and prior to accessing the first Program finance at the woreda level and prior to signing a contract in case of	GRMs established, maintained and adequately operated.

No	Action Items	Activities	Progress Indicators and Targets*	Level of Application	Responsibility	Schedule/ Timeframe	Objective
						contractors; and thereafter maintain throughout Program/ subproject implementation	