

**Ethiopia Human Capital Project (HCP) (P172284)  
Environmental and Social Commitment Plan (ESCP)**

FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA

MINISTRY OF FINANCE

ETHIOPIA HUMAN CAPITAL PROJECT (P172284)

**ENVIRONMENTAL AND SOCIAL  
COMMITMENT PLAN (ESCP)**

27 June 2022

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1. The Federal Democratic Republic of Ethiopia (Recipient) will implement the Ethiopia Human Capital Project (the Project), with the involvement of the Ministry of Finance (MOF) and the implementing agencies, i.e. the Ministry of Health (MOH), Ministry of Education (MOE), Ministry of Women and Social Affairs (MoWSA), Ministry of Agriculture (MOA), Ministry of Water and Energy (MOWE), Ministry of Planning and Development (MoPD) and other stakeholders including Agency for Civil Society Organizations (ACSO). The International Development Association (the Association) has agreed to provide financing for the Project.
2. The Federal Democratic Republic of Ethiopia shall ensure that the Project is carried out in accordance with the Environmental and Social Standards (ESSs) and this Environmental and Social Commitment Plan (ESCP), in a manner acceptable to the Association. The ESCP is a part of the Financing Agreement. Unless otherwise defined in this ESCP, capitalized terms used in this ESCP have the meanings ascribed to them in the referred agreement(s).
3. Without limitation to the foregoing, this ESCP sets out material measures and actions that the Recipient shall carry out or cause to be carried out, including, as applicable, the timeframes of the actions and measures, institutional, staffing, training, monitoring and reporting arrangements, and grievance management. The ESCP also sets out the environmental and social (E&S) instruments that shall be adopted and implemented under the Project, all of which shall be subject to prior consultation and disclosure, consistent with the ESS, and in form and substance, and in a manner acceptable to the Association. Once adopted, said E&S instruments may be revised from time to time with prior written agreement by the Association.
4. As agreed by the Association and the Recipient, this ESCP will be revised from time to time if necessary, during Project implementation, to reflect adaptive management of Project changes and unforeseen circumstances or in response to Project performance. In such circumstances, the Recipient through Ministry of Finance and the Association agree to update the ESCP to reflect these changes through an exchange of letters signed between the Association and the Recipient State Minister of the Ministry of Finance. The Recipient shall promptly disclose the updated ESCP.

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	<b>MATERIAL MEASURES AND ACTIONS</b>	<b>TIMEFRAME</b>	<b>RESPONSIBLE ENTITY/AUTHORITY</b>
<b>MONITORING AND REPORTING</b>			
<b>A</b>	<p><b>REGULAR REPORTING</b> Prepare and submit to the Association regular monitoring reports on the environmental, social, health and safety (ESHS) performance of the Project, including but not limited to the implementation of the ESCP, status of preparation and implementation of E&amp;S instruments required under the ESCP, stakeholder engagement activities, and functioning of the grievance mechanism(s)</p>	Submit six-monthly and annual reports to the Association throughout Project implementation, commencing after the Effective Date. Submit each report to the Association no later than 30 days after the end of each reporting period.	Ministry of Finance (MOF), with reports from implementing entities and Third-Party Implementer (TPI),
<b>B</b>	<p><b>INCIDENTS AND ACCIDENTS</b> Promptly notify the Association of any incident or accident related to the Project which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers, including, inter alia, cases of sexual exploitation and abuse (SEA), sexual harassment (SH), and accidents that result in death, serious or multiple injury. Provide sufficient detail regarding the scope, severity, and possible causes of the incident or accident, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any contractor and/or supervising firm, as appropriate.</p> <p>Subsequently, at the Association’s request, prepare a report on the incident or accident and propose any measures to address it and prevent its recurrence.</p>	<p>Notify the Association no later than 48 hours after learning of the incident or accident.</p> <p>Provide subsequent report to the Association within a timeframe acceptable to the Association</p>	MoF with reports from implementing entities and TPI
<b>C</b>	<p><b>CONTRACTORS AND THIRD-PARTY IMPLEMENTERS</b> Require contractors and supervising firms to provide quarterly monitoring reports on ESHS performance in accordance with the metrics specified in the respective bidding documents and contracts and submit such reports to the Association.</p>	Submit the quarterly reports to the Association upon request as annexes to the reports to be submitted under action A above.	MoF, TPI
<b>ESS 1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS</b>			

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1.1	<p><b>ORGANIZATIONAL STRUCTURE</b></p> <p>Establish and maintain HCP Coordinating Unit under the Channel One Programs Coordinating Directorate (COPCD) with qualified staff and resources to support management of ESHS risks and impacts of the Project including an environmental specialist and a social specialist.</p> <p>Assign E &amp; S focal persons at regional and woreda level-each implementing entity shall assign environment and social focal persons at different administrative levels.</p> <p>MOF shall ensure that third party implementers assign E &amp; S specialists (namely one environment, one social specialists)</p>	<p>Hire or appoint an environmental specialist and a social specialist at COPCD four months after project effectiveness.</p> <p>Assign an environment and social focal person for each implementing entity and region six months after project effectiveness</p> <p>Third party implementers shall assign an environmental specialist and a social specialist before disbursement</p>	<p>COPCD/MOF</p> <p>MOF, implementing entities and regions</p> <p>MoF, TPI</p>
1.2	<p><b>ENVIRONMENTAL &amp; SOCIAL ASSESSMENT</b></p> <p>Adopt and implement an Environmental and Social Management Framework (ESMF) for the Project, consistent with the relevant ESSs.</p> <p>Adopt and implement the subproject Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plan (ESMP), as set out in the ESMF. The proposed activities described in the exclusion list set out in the ESMF shall be ineligible to receive financing under the Project.</p>	<p>Adopt the ESMF prior to disbursement for components 1 and 2, and thereafter implement the ESMF throughout Project implementation</p> <p>Adopt the ESMP prior to the carrying out of subproject activity that requires the adoption of such ESMP. Once adopted, implement the respective ESMP throughout Project implementation.</p>	<p>MOF, implementing entities and TPI</p>
1.3	<p><b>MANAGEMENT OF CONTRACTORS</b></p> <p>MoF shall ensure that contractors develop and implement specific environmental and social management plans based on the particularity of each project site considering existing environmental and social features. Once prepared, the plans will be reviewed by MoF prior to commencement of works, throughout Project implementation.</p>	<p>ESMP shall be prepared and integrated in to bidding process and throughout the contract.</p> <p>Throughout Project implementation</p>	<p>MoF/ Contractors</p>

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	<p>The following tools will be developed and implemented:</p> <ul style="list-style-type: none"> <li>• C-OHS management plan</li> <li>• C-Site Rehabilitation Plan</li> <li>• C-Grievance Management Procedure</li> <li>• C-Waste Management Plan (WMP)</li> <li>• E&amp;S screening tool for all subprojects</li> <li>• C-GBV prevention and response action plan and code of conduct</li> <li>• Traffic Management Plan</li> </ul> <p>MoF shall ensure that the requirement of C-ESMP preparation by contractor is added to any bidding documents and contract for designing, building, and/or supervision of project infrastructure.</p>		
1.4	<p><b>TECHNICAL ASSISTANCE</b></p> <p>Ensure that the consultancies, studies (including feasibility studies, if applicable), capacity building, training, and any other technical assistance activities under the Project are carried out in accordance with terms of reference acceptable to the Association, that are consistent with the ESSs. Thereafter ensure that the outputs of such activities comply with the terms of reference.</p>	Throughout Project implementation	MOF, implementing entities and TPI
1.5	<p><b>CONTINGENT EMERGENCY RESPONSE FINANCING</b></p> <p>a) Ensure that the Contingency Emergency Response Component (CERC) Manual includes a description of the ESHS assessment and management arrangements for the implementation of the CERC component in accordance with the ESSs.</p> <p>b) Adopt a CERC-Environmental and Social Management Framework (CERC-ESMF) which shall be required for activities under CERC component, in accordance with the CERC Manual and the ESSs, and thereafter implement the measures and actions required under CERC-ESMF, within the timeframes specified in said CERC-ESMF.</p>	<p>a) The adoption of the CERC manual in form and substance acceptable to the Association is a withdrawal condition under Section [XX] of Schedule 2 of the Financing Agreement for the Project.</p> <p>b) Adopt CERC-ESMF and include it as part of the respective bidding process, if applicable, and in any case, before the carrying out of the relevant Project activities for which the CERC-ESMF is required. Implement the CERC-ESMF in accordance with their terms, throughout Project implementation.</p>	MOF
<b>ESS 2: LABOR AND WORKING CONDITIONS</b>			
2.1	<b>LABOR MANAGEMENT PROCEDURES</b>		

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	<p>Adopt and implement the Labor Management Procedures (LMP) for the Project, including, inter alia, provisions on working conditions, management of workers relationships, occupational health and safety (including personal protective equipment, and emergency preparedness and response), code of conduct (including relating to SEA and SH), forced labor, child labor, grievance arrangements for Project workers, and applicable requirements for contractors, subcontractors, and supervising firms.</p> <p>The LMP shall also include measures to address security of project workers in areas experiencing conflict, consistent with Ethiopia Labor Proclamation No. 1156/2019 and ESS2.</p>	Adopt the LMP prior to disbursement for components 1 and 2, and thereafter implement the LMP throughout Project implementation].	MOF, implementing entities and TPI
2.2	<p><b>GRIEVANCE MECHANISM for PROJECT WORKERS</b>  Establish and operate a grievance mechanism for Project workers, as described in the LMP and consistent with ESS2.</p>	Establish grievance mechanism prior to disbursement and thereafter maintain and operate it throughout Project implementation	MOF, implementing entities and TPI
<b>ESS 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT</b>			
3.1	<p><b>WASTE MANAGEMENT PLAN</b>  Adopt and implement a Waste Management Plan (WMP), to manage hazardous and non-hazardous wastes, consistent with ESS3.</p>	Adopt the WMP prior to commencing implementation of any subproject potentially involving wastes, and thereafter implement the WMP throughout Project implementation].	MOF, implementing entities and TPI
<b>ESS 4: COMMUNITY HEALTH AND SAFETY</b>			
4.1	<p><b>GBV AND SEA RISKS:</b>  GBV action plan will be prepared based on GBV risk assessment to address the IPF related potential risks. The GBV Action Plan will include Codes of Conduct and other requirements applicable to contractors.</p>	GBV action plan shall be prepared prior to disbursement for Component 1 and 2 and in any event prior to bidding of the sub projects.	MOF, implementing entities and TPI
4.2	<p><b>TRAFFIC AND ROAD SAFETY</b>  Incorporate measures to manage traffic and road safety risks as required in the ESMP to be prepared under action 1.2 above.</p>	Same timeframe as for the adoption and implementation of the ESMP	MOF, implementing entities and TPI

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4.3	<p><b>COMMUNITY HEALTH AND SAFETY</b> Assess and manage specific risks and impacts to the community arising from Project activities including e.g., behavior of Project workers, risks of labor influx, response to emergency situations, and include mitigation measures in the ESMPs to be prepared in accordance with the ESMF.</p>	Same timeframe as for the adoption and implementation of the ESMPs	MOF, implementing entities and TPI
4.4	<p><b>SECURITY MANAGMENT:</b> Assess and implement measures to manage the security risks of the Project, including the risks of engaging security personnel to safeguard project workers, sites, assets, and activities. A Security Risk Assessment (SRA) and related Security Management Plan (SMP) will to be carried out to minimize the risk of conflict and insecurity situation consistent with the requirements of ESS4, in a manner acceptable to the Association.</p> <p>As part of the Security Management Plan and related implementation, adopt and enforce standards, protocols and codes of conduct for the selection and use of security personnel, and screen such personnel to verify that they have not engaged in past unlawful or abusive behavior, including sexual exploitation and abuse (SEA), sexual harassment (SH) or excessive use of force.</p>	<p>SMP shall be prepared prior to disbursement, and in any event before any physical engagement conflict-prone areas, or the deployment of security personnel. Thereafter maintain the SMP throughout Project implementation.</p> <p>Before deploying security personnel under the Project and thereafter throughout Project implementation</p>	MOF, implementing entities and TPI
<b>ESS 5: LAND AQUITION RESTRICTION OF LAND USE AND INVOLUNTARY RESETTLEMENT</b>			
5.1	<p><b>RESETTLEMENT POLICY FRAMEWORK</b> Adopt and implement a Resettlement Policy Framework (RPF) for the Project, consistent with ESS5. Though major constructions are not anticipated, depending on the findings from the ongoing damage assessments, the project interventions could involve constructions of basic service facilities in conflict-affected areas with small-scale displacement and restriction of access.</p>	Resettlement Policy Framework (RPF) shall be prepared, disclosed, consulted upon, prior to disbursement for component 1. Thereafter, implement RPF throughout Project implementation.	MOF, implementing entities and TPI
5.2	<p><b>RESETTLEMENT PLANS</b> Adopt and implement a resettlement action plan (RAP) for each activity under the Project for which the RPF requires such RAP, as set out in the RPF, and consistent with ESS5.</p>	On-going throughout Project as required by RPF. RAPs shall be approved before subproject bidding and implemented before commencement of the Civil works.	MOF, implementing entities and TPI

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		Progress update shall be included in six months and annual reports to the World Bank. -	
<b>ESS 6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES</b>			
6.1	<b>BIODIVERSITY RISKS AND IMPACTS</b> The design of the construction and/or rehabilitation of schools and health facilities, which will be implemented in inhabited areas, together with the ESMF subproject screening procedure, shall eliminate any subproject or identify project design solutions that would avoid negative impacts on forests, natural or critical habitats, or protected areas of high biodiversity value.	Throughout Project implementation	MOF, implementing entities and TPI
<b>ESS 7: SUB-SAHARAN AFRICAN HISTORICALLY UNDERSERVED TRADITIONAL LOCAL COMMUNITIES.</b>			
7.1	<b>UNDERSERVED LOCAL COMMUNITIES PLANNING FRAMEWORK</b> The intervention will focus on low-performing woredas that overlap strongly with woredas inhabited by underserved communities, encompassing the emerging regions in the lowlands as well as areas inhabited by pastoralists. The social assessment will be complemented by an Underserved Local Communities Planning Framework (ULCPF) to outline a framework that identify how affected communities can participate in the project including the TA.	Prior to disbursement for component 1 and 2 and thereafter throughout Project implementation	MOF, implementing entities and TPI
<b>ESS 8: CULTURAL HERITAGE</b>			
8.1	<b>CHANCE FINDS</b> Describe and implement the chance finds procedures, as part of the ESMF of the Project.	Describe the chance find procedures in the ESMF. Implement the procedures throughout Project implementation	MOF, implementing entities and TPI
<b>ESS 9: FINANCIAL INTERMEDIARIES</b>			
9.1	This standard is not currently relevant	Not Applicable	-
<b>ESS 10: STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE</b>			
10.1	<b>STAKEHOLDER ENGAGEMENT PLAN PREPARATION AND IMPLEMENTATION</b> The Borrower has developed a Stakeholder Engagement Plan (SEP) to ensure the promotion of transparency through stakeholder participation and information disclosure as well as ensure broad stakeholder engagement and participation in HCP planning processes.	The revised SEP shall be finalized Prior to Appraisal. Implement the SEP throughout the duration of the Project. The implementation of the SEP will be included in the biannual and annual reports.	MOF, implementing entities and TPI



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	The SEP will be updated to accommodate stakeholders and the newly included third party implementers for subcomponent 1.		
10.2	<b>GRIEVANCE MECHANISM:</b> All grievances including GBV/SEA/SH shall be managed by Grievance Redress Mechanism for the project as described in the SEP in manner acceptable to the association. The GRM will be SEA/SH sensitive and will have a system in place to manage GBV/SEA related issues in a confidential way.	Grievance mechanism established prior to disbursement, maintained throughout the Project implementation.	MOF, implementing entities and TPI
<b>CAPACITY SUPPORT (TRAINING)</b>			
CS1	<p>Training will be required for MOF and other core sectors staff who will be involved in the project implementation at all levels, on topics such as:</p> <ul style="list-style-type: none"> <li>• Application of ESMF and RPF for the project</li> <li>• Preparation of site-specific E&amp;S management Plans</li> <li>• Stakeholders Engagement Plan <ul style="list-style-type: none"> <li>• Grievance redress mechanisms</li> </ul> </li> <li>• Community engagement</li> <li>• Community health and safety</li> <li>• Prevention and response to gender-based violence including sexual exploitation and abuse and sexual harassment</li> <li>• Labor management, including Occupational Health and Safety measures and COVID-19 protocols</li> <li>• Preparation and implementation of Environmental and Social Assessment</li> <li>• Preparation and implementation of waste and hazardous waste management plan.</li> <li>• Requirements for project monitoring and reporting (including incident reporting).</li> </ul>	ESS-related training will be delivered at the beginning of the first year of the project implementation and to be subject to refreshers and updates throughout the Project implementation.	MOF, implementing entities and TPI