

***Revised Independent
review of the Ethiopian
Railway Project
against environmental
and social
performance
standards***

Revised as of June
2014

Credit Suisse



Executive Summary

Credit Suisse (CS) is the leading bank in a planned syndicate of banks and Export Credit Agencies considering “project-related corporate finance” of a major railway extension project in Ethiopia (“the Project”), to be managed, owned and operated by the Ethiopian Railway Corporation (ERC). Environmental and social impact assessments (ESIAs) have been completed by separate consultancy firms in four Lots for the length of the proposed route.

As a signatory to the Equator Principles III, CS engaged PwC to undertake an Independent Review of the four ESIAs and associated documents*, to determine their alignment with the underlying IFC Performance Standards. PwC was also asked to consider their alignment with the OECD Common Approaches and with the African Development Bank’s Operational Safeguards (together, the “standards”). PwC’s review does not constitute an audit or review carried out in accordance with generally accepted auditing standards nor does it constitute a non-audit assurance engagement in accordance with International Standards on Assurance Engagements (ISAE 3000).

PwC was also asked to provide a recommendation as to the Categorisation of the project according to Equator Principles definitions. Although certain aspects of the Project design are not yet finalised, we are mindful of the potential “irreversible” impacts (e.g. environmental - through tunnelling – and social - through resettlement). Accordingly, we recommend that the project be provisionally considered Category A.

PwC’s initial Independent Review report, issued in February 2014, identified a number of areas in which the Project did not meet the requirements of the standards. These findings were primarily due to the early stage of the Project, but some findings related to issues with the initial environmental and social assessment processes which needed to be addressed / clarified in the short-term (i.e. prior to financial close). This revised Independent Review Report should be read in the context of our initial draft Independent Review Report.

Since this initial review, the Project team has provided additional documentation to PwC and further clarifications were provided to PwC during, and subsequent to, a visit to Addis Ababa in March 2014. In addition, PwC has advised Credit Suisse on the development of its environmental and social Equator Principles Action Plan and a Resettlement Action Plan (RAP) template to address the findings in PwC’s initial report. The RAP template is based on guidance contained in IFC’s “Guidance Note 5: Land Acquisition and Involuntary Resettlement” and “Handbook for Preparing a Resettlement Action Plan”. PwC reviewed and commented on the Action Plan and RAP template and also reviewed a number of documents provided by the ESIA consultants, Yapi Merkezi, and ERC. Together these served to address a number of actions required by the Action Plan, including those needing to be addressed / clarified in the short-term (i.e. prior to financial close).

A number of priority issues raised in our original review remain outstanding but these are all covered by actions in the Action Plan and can be addressed over the medium- to long-term. These relate to:

- Resettlement
- Cultural Heritage
- Mitigation Measures and Management Programmes

In addition, a number of “other” findings raised in our initial draft Independent Review Report remain outstanding; these are also covered by the Action Plan.

In summary, provided the Action Plan is implemented fully following guidance from qualified professionals and closely monitored by independent specialists, the Project should materially meet the requirements of the Equator Principles, the underlying IFC Performance Standards, the OECD Common Approaches, and the African Development Bank Operational Safeguards.

* Please see Appendix B of our draft report dated February 2014 for details.

Independent Review of the Ethiopian Railway Project against environmental and social performance standards

Introduction

Credit Suisse (CS) is the leading bank in a planned syndicate of banks considering “project-related corporate finance” of a major railway extension project in Ethiopia (“the Project”), to be managed, owned and operated by the Ethiopian Railway Corporation (ERC). The Project is currently in planning stage, with preliminary route selection having been undertaken, and environmental and social impact assessments (ESIAs) completed by separate consultancy firms in four Lots for the length of the proposed route. Yapi Merkezi has been selected as the design and build contractor for the railway.

CS is a signatory to the Equator Principles III (EP III) and so project-related corporate finance provided by the bank must meet the EP III requirements. CS has requested PwC to undertake an “Independent Review” of the Project against the applicable requirements of EP III prior to financial close.

The EP III, Principle 7, states:

“For all Category A and, as appropriate, Category B Projects, an Independent Environmental and Social Consultant, not directly associated with the client, will carry out an Independent Review of the Assessment Documentation including the ESMPs [Environmental and Social Management Plans], the ESMS [Environmental and Social Management System], and the Stakeholder Engagement process documentation in order to assist the EPFI's due diligence, and assess Equator Principles compliance. The Independent Environmental and Social Consultant will also propose or opine on a suitable Equator Principles AP [Action Plan] capable of bringing the Project into compliance with the Equator Principles, or indicate when compliance is not possible.”

In particular, PwC has been asked to compare the ESIAs with the:

- The IFC Performance Standards
- The OECD Common Approaches
- The African Development Bank’s Operational Safeguards

The remainder of this report covers:

- Overview of the Project
- Objectives and Approach for the Independent Review
- Summary of Findings

The report is supplemented by:

- Appendix A: Detailed Assessment
- Appendix B: List of documents reviewed
- Appendix C: Links to applicable Standards

Overview of the Project

As outlined in Section 3 of the Feasibility Report prefacing the ESIA's, the Awash-Weldia railway is an extension project stretching 394km, which starts in the North East of the city of Awash, arriving at Weldia via the city of Kombolcha.

The Project connects the northern and eastern economic and traffic corridors of Ethiopia, and provides a link to Addis Ababa and the Djibouti Port, the main import and export terminal for the region. The Project is expected to contribute to the economic development of the entire country.

The design and construction of the Project was awarded to Turkish contractor Yapi Merkezi. The Project has a scheme value of US \$1.7bn and is due to be completed in a 42 month period.

PwC understands that the basic design of the Project is now complete, but that the final design will be completed following financial close. The Project is part of a wider programme of railway development in Ethiopia, which is divided into Routes and sub-divided into Lots. The Awash-Weldia stretch of the railway comprises four Lots (10, 11, 12 & 13).

Objectives and Approach for the Independent Review

An Independent Review under the EP III is designed to assess compliance with the EP III based on a review of the environmental & social impact assessment documentation, stakeholder engagement processes, management plans, and management systems. In practice, given the early stage of the Project, the Review involved reviewing the environmental and social impact assessment studies that had been undertaken for the Project in the period 2011-2012 (and subsequently updated in 2014), and a range of supporting documents produced between 2011 and 2014 that were made available. We also met with the Project team in Addis Ababa.

In addition to the Equator Principles and the IFC Performance Standards that are directly referred to by EP III for non-designated countries such as Ethiopia, Credit Suisse also requested PwC to consider whether the 2012 OECD Common Approaches and the 2013 African Development Bank (AfDB) Integrated Safeguards System¹ set any higher environmental and social standards. If any higher standards were identified these were included in the scope of the review.

In order to structure the review, PwC assessed the applicable standards to determine which have primacy and to develop a consolidated protocol against which to assess the Project documentation. A summary of this review is provided below and further details on the standards are provided in Appendix C.

¹ The Integrated Safeguards System, released in December 2013, contains updates to the African Development Bank's environmental and social standards and integrates the Bank's various requirements under one framework.

Standards	Notes on Applicability	How we have covered Standard in our Assessment Approach
Equator Principles III (EP III)	EP III signatories are required to follow a structured process for E&S risk management, set out in 10 Principles	We have undertaken a high level review of the application of the standards underpinning the Equator Principles, i.e. the IFC Performance Standards, based on available information and discussions with Credit Suisse and the Project team.
IFC Performance Standards (IFC PS)	<p>The EP III requires all projects located in Non-Designated Countries (of which Ethiopia is one) to be evaluated against the requirements of the IFC PS.</p> <p>The IFC PS consist of 8 standards, which outline the process for identifying and assessing E&S risks and define sound E&S practices in 7 topic areas.</p>	The IFC PS are the primary basis for our assessment – we developed a protocol based on these Standards and assessed each ESIA Lot Report against these Standards.
World Bank Group Environmental, Health and Safety Guidelines (EHS Guidelines)	The EP III requires projects located in Non-Designated Countries (of which Ethiopia is one) to be evaluated against the requirements of the World Bank Group Environmental, Health and Safety Guidelines (EHS Guidelines). These Guidelines provide sector-wide general technical guidance on a range of environmental, occupational health & safety, community health & safety, and construction & decommissioning issues.	The E&S topics covered in the EHS Guidelines are referred to where applicable in the assessment, but the Guidelines will be more applicable during later stages of design and construction of the railway.
OECD Common Approaches	The OECD Common Approaches are recommended for Member Agencies when providing export credit for exports of capital goods and/or services with a repayment term of two years or more. The OECD Common Approaches require members to evaluate E&S impacts, and the IFC PS serve as one applicable benchmark standard for such an assessment.	The OECD Common Approaches asks Members to benchmark non-project finance projects against “all ten World Bank Safeguard Policies, OR, all eight IFC Performance Standards” and limited or non-recourse finance projects against “the relevant aspects of all eight IFC Performance Standards”. As such, the applicable requirements of the OECD Common Approaches are covered by IFC PS review.
African Development Bank (AfDB) Safeguards System’s Operational Safeguards Standards (OS Standards)	The African Development Bank (AfDB) Safeguards System’s Operational Safeguards standards (OS) are closely aligned with the IFC PS, and much of the language and requirements are based on the IFC PS. The OS standards however, place more emphasis on vulnerable groups and gender issues than the IFC PS, in relation to resettlement. In addition, further points of differentiation are around climate change risk and community consultation.	The additional issues covered by the OS have been added in to the assessment protocol.

The environmental and social impact assessments for the Project were undertaken in four Lots. PwC reviewed each Lot individually and assessed it against the requirements of the applicable Standards, as set out above. The following assessment criteria were used for the review:

Evaluation Criteria	
Fully meets or Exceeds	Assessment outcomes fully meet or exceed those articulated in Standards – therefore no divergence
Materially Meets	Assessment outcomes materially meet requirements in Standards – therefore low divergence
Partially Meets	Assessment outcomes do not meet requirements in Standards in certain instances – therefore medium divergence.
Not yet met	Assessment outcomes do not yet meet the Standards' requirement – therefore high divergence.

Our work was primarily desk-based, supplemented by a three-day visit to Addis Ababa to meet with ERC, Yapi Merkezi, the consultants responsible for the ESIA reports, and a number of local community stakeholders. The 1st Stage of our work comprised:

1. Initial review of the four ESIA documents (Lots 10 – 13) dated from 2011 -2012
2. Issue of initial draft findings (mid-Jan 2014)
3. Telephone conversations with Credit Suisse and Yapi Merkezi to discuss initial draft findings
4. Further review of additional documentation (including re-stated ESIA reports) to produce the first Independent Review report (Feb 2014). (The list of documents made available to PwC at this stage are included in Appendix B of the first Independent Review report)

Following the issue of PwC's first Independent Review report (Feb 2014) Credit Suisse worked with the Project team to produce an environmental and social Action Plan to address the findings in the PwC report. The 2nd Stage of our work then comprised:

5. Meeting with Project team in Addis Ababa (March 2014) to discuss the Independent Review report and the associated Action Plan.
6. Review of and comment on the Action Plan, RAP template and any associated documentation.
7. Update of the Independent Review report based on latest documentation received and status of Action Plan (this report, June 2014)

A total of 156 documents were received including the four ESIA reports restated on the basis of our draft findings (Appendix B sets out the documents received and whether they were relevant to the Independent Review).

Summary of Findings

Categorisation

PwC was asked to recommend the rating of the Project under the Equator Principles, which require Projects to be categorised as either Category A or Category B, based on the following definitions:

Category A – Projects with:

- potential significant adverse environmental and social risks and/or

- impacts that are diverse, irreversible or unprecedented;

Category B – Projects with:

- potential limited adverse environmental and social risks and/or
- impacts that are few in number, generally site-specific, largely reversible and readily addressed through mitigation measures; and

Category C – Projects with:

- minimal or no adverse environmental and social risks and/or impacts.

However, the OECD Common Approaches document Annex 1 (“Illustrative List of Category A Projects”) considers that “Construction of railway lines that go beyond urban areas and of long-distance railway lines” should be categorised as Category A. There are also a number of aspects of the Project that we consider to represent higher risk and so would make a Category A rating appropriate. These include the “significant” and “irreversible” environmental impacts associated with tunnel boring and groundwork for the railway, and “significant” social impacts associated the resettlement requirements.

On balance, PwC recommends that the Project is provisionally rated as Category A.

Overview of findings

PwC’s initial Independent Review report, issued in February 2014 found a number of areas in which the Project did not meet the requirements of the standards. These findings were primarily due to the early stage of the Project, but some findings related to issues with the initial environmental and social assessment processes which needed to be addressed / clarified in the short-term (i.e. prior to financial close).

Since the initial review report, the Project team has provided additional documentation to PwC and further clarifications were provided to PwC during a visit to Addis Ababa in March 2014. In addition, PwC has advised Credit Suisse on the development of an environmental and social Action Plan to address the findings in PwC’s initial report.

The findings are set out below, and organised as follows:

- A: Findings raised by PwC in initial Independent Review Report, subsequently addressed by documentation provided to PwC
- B: Findings raised by PwC Independent Review Report which are covered by the Action Plan and RAP template

A: Findings raised by PwC in initial Independent Review Report, subsequently addressed by documentation provided to PwC

A number of findings raised by PwC in the initial Independent Review Report were subsequently addressed by documentation provided to PwC. Those findings that needed to be addressed / clarified in the short-term (i.e. before financial close) have been addressed.

Area	Summary of initial findings and how they were addressed
ESIA Scoping and Coverage of Issues	PwC’s initial finding related to confirmation of coverage of environmental and social issues in the impact assessment. Specifically whether for environmental and social issues not included in the ESIA reports these had been confirmed as

Area	Summary of initial findings and how they were addressed
	not being relevant to the Project. This confirmation has now been provided.
Project “Area of Influence”	PwC’s initial finding related to confirmation of scope of the environmental and social impact assessment in relation to the project’s “area of influence”. This confirmation has now been provided by the Project team, although noting that this “area of influence” will need to be reassessed in the event of a re-routing of the railway line.
Water	PwC’s initial finding related to understanding the impact of the Project on the availability of water for dependent local communities. The Project team subsequently provided analysis on the Project’s estimated total annual water use in relation to the rainfall in the catchment area of the Project.
Biodiversity and natural resources	PwC’s initial finding related to the robustness of the impact assessment process followed in relation to biodiversity. The Project team subsequently provided detail on the process that was followed, which PwC found provided a basic but satisfactory level of assessment.
Stakeholder Engagement	PwC’s initial finding related to confirmation of the processes followed for stakeholder engagement as part of the impact assessment process. This confirmation has now been provided by the Project team.
Indigenous Peoples	PwC initial finding related to confirmation of the presence or absence of indigenous peoples in the Project area. Confirmation that indigenous peoples will not be impacted by the Project has subsequently been provided.
Cultural Heritage	With the exception of Lot 12, the ESIA reports contained limited detail on the assessment of impacts from the Project on cultural heritage, beyond stating that there are likely to be cultural resources in the project area. However, the consultants have subsequently provided confirmation that “internationally recognised practices for the protection, field-based study, and documentation of cultural heritage” (IFC PS 8 / 6) were followed in the assessment. In addition, a Chance Finds procedure is in place, the implementation of which should be tracked through the monitoring of the Action Plan requirements.

B: Findings raised by PwC in initial Independent Review Report which are covered by the Action Plan

A number of issues raised in our initial Independent Review Report (and our subsequent Review work) remain outstanding but these are all covered by the Action Plan and RAP template, and appropriate completion dates have been assigned. In the Action Plan, higher priority actions have been assigned completion dates closely following financial close, whereas those actions that cannot be implemented until a later phase of the Project (either in detail design, construction, or operation) have been assigned a corresponding completion date.

Area	Summary of finding and Action Plan requirements
Resettlement	<p>Each ESIA Report identifies that land acquisition and compensation to affected communities would be required. In addition, a Resettlement Policy Framework has been drafted that describes the overall approach to resettlement that will be followed once the final route has been determined. A requirement to produce a full RAP prior to construction is included in the Action Plan. The RAP template has been designed to be used to guide the development of the full RAP.</p> <p>The Resettlement Policy Framework will also need to be updated to include information on how gender equality will be integrated into the resettlement and compensation process.</p>
Mitigation Measures and Management Programmes.	<p>A high level environmental and social management system has been developed for the Project (by both Yapi Merkezi and ERC), and each ESIA report includes a range of mitigation measures. The Action Plan contains requirements for the development of more detailed management plans and the implementation of these to be monitored as the project progresses.</p>
Environmental and social policy (PS1)	<p>ERC to develop its own Environmental and social policy to guide development of its environmental and social management system</p>
Organisational Capacity and Competency (IPC PS1)	<p>Ensure that appropriate organisation structures are put in place, and appropriately qualified personnel are employed to manage environmental and social aspects of the Project.</p>
Emergency Preparedness and Response (IPC PS1)	<p>Emergency preparedness and response procedures to be fully developed and implemented by the Project, involving stakeholder and affected communities where appropriate.</p>
Monitoring and Review, Communications and Grievance Mechanisms, Ongoing Reporting to Affected Communities (IPC PS2)	<p>Mitigation measures to be monitored for their effectiveness, Affected Communities and other stakeholders to be provided with effective communications and a mechanism to be set up to take into account grievances.</p>
Working Conditions and Management of Worker Relationships, and Protecting the Workforce (specifically child labour / forced labour) (IPC PS2)	<p>Ensure that workers (including those employed by third parties / contractors) are treated fairly, that safe and healthy working conditions are promoted, and that steps are taken to avoid child labour / forced labour in the workforce and in the primary supply chain.</p>

Area	Summary of finding and Action Plan requirements
AfDB OS1: Environmental and Social Risk Assessment	<p>Incorporate mitigation measures into the HR policy and/or management plans with respect to:</p> <ul style="list-style-type: none"> • Providing equal employment opportunities for women • Establishing a code of conduct for workers which include guidelines on interaction with the local community • Community education and awareness-raising on STDs and HIV/AIDS transmission
Pollution Prevention (IPC PS3)	Ensure adverse impacts on human health and the environment are avoided or minimised by minimising pollution arising from Project activities.
IFC PS3: Resource Efficiency and Pollution Prevention (IPC PS3)	Re-estimate the project's annual carbon emissions, and if these are still expected to exceed 25,000 tons per year, consider alternatives and quantify and report the project's emissions on an annual basis.
Community Health, Safety and Security (IPC PS4)	Ensure that health and safety risks to Affected Communities are clearly identified and managed, and that security staff employed (directly or through contractors), to safeguard assets or sites during the project will need to act in a manner that does not negatively impact on the affected communities.

Summary

In summary, provided the Action Plan is implemented fully following guidance from qualified professionals and closely monitored by independent specialists, the Project should materially meet the requirements of the Equator Principles, the underlying IFC Performance Standards, the OECD Common Approaches, and the African Development Bank Operational Safeguards. However, it should be noted that any further changes to the route may occasion a requirement further supplemental environmental and social impact assessment work to be undertaken.

PwC’s full review of the Project against the standards is included in Appendix A.

Appendix A – Detailed assessment

Evaluation Criteria	
Fully meets or Exceeds	Assessment outcomes fully meet or exceed those articulated in Standards – therefore no divergence
Materially Meets	Assessment outcomes materially meet requirements in Standards – therefore low divergence
Partially Meets	Assessment outcomes do not meet requirements in Standards in certain instances – therefore medium divergence.
Not yet met	Assessment outcomes do not yet meet the Standards' requirement – therefore high divergence.

Standard	Sub-heading	Summary Findings	Alignment	Actions required to align with Standard requirements (as contained in the Action Plan)
IFC PS1: Assessment and Management of Environmental and Social Risks and Impacts Objectives: - To identify and evaluate environmental and social risks and impacts of the project. - To adopt a mitigation hierarchy to anticipate and avoid, or where avoidance is not possible, minimize, and, where residual impacts remain, compensate/offset for risks and impacts to workers, Affected Communities, and the environment. - To promote improved environmental and social performance of clients through the effective use of management systems. - To ensure that grievances from Affected Communities and external communications from other stakeholders are responded to and managed appropriately. - To promote and provide means for adequate engagement with Affected Communities throughout the project cycle on issues that could potentially affect them and to ensure that	Policy	The Environmental and Social Management System (ESMS) documents produced by the Ethiopian Railways Corporation (ERC) and the main contractor, Yapi Merkezi (YM) state their commitment to develop a written Policy to address all environmental, health and safety and social impacts and risks, in accordance with clearly defined principles. These commitments state that the Policies will be formally adopted by both organisations prior to commencement of construction of the Project. They also state that a copy will be provided to every employee of the company and will form part of the contract with contractors engaged in activities associated with design, construction or operation. The Policy will also be made available to the public. Both ESMS documents reference YM's corporate policy statements that are part of YM's integrated management system, certified to relevant standards of ISO 9001:2008 for quality, ISO 14001:2004 for environment and OHSAS 18001:2007 for health and safety. These systems standards documents are provided in the annex of both ESMS documents. The policy description in the ESMS documents also outlines Key Performance Indicators (KPIs) for auditing compliance with the Policy.	Materially Meets	<ol style="list-style-type: none"> ERC to share final ERC E&S Policy with Agents ERC to appoint Environmental and Social Consultant approved by the Agents ERC and Environmental and Social Consultant(s) to agree the scope of work of the Environmental and Social Consultant(s) with the Agents Environmental and Social Consultant(s) to audit ERC E&S Policy compliance on a 6 monthly basis and supply Progress Reports to ERC, Agents and ECAs
	Identification of Risks and Impacts	Confirmatory scoping assessments were not undertaken to determine whether any material E&S issues were not included in the scope of the existing ESIA. Therefore, each ESIA consultant has provided Credit Suisse with a signed confirmation letter explaining why certain E&S issues were not deemed to be material and therefore not assessed in their restated ESIA reports.	Materially Meets	No further action required unless the proposed route changes.
	Management Programs	The ESMS documents produced by ERC and YM describe the arrangements the two organisations propose to make to manage the environmental, health, safety and social impacts and risks of the Project in conformance with applicable laws and regulations of Ethiopia and international standards. The ESMS is designed to comply with the requirements of ISO 14001:2004 for environment and OHSAS 18001:2007 for health and safety. The ESMS documents are based on the core principles of ERC's and YM's corporate management approach that addresses management responsibility; provision of responsibility; investment realisation; and measurement, analysis and improvement. Detailed management system documents to implement the high level management system requirements contained in the ESMSs have not yet been developed. These should be tailored to the detailed design and construction phases, and include tools, processes and procedures, and field manuals.	Materially Meets	<ol style="list-style-type: none"> Nominated Supplier to share high level management system documentation with ERC and Agents ERC and Nominated Supplier to develop more detailed management system documents (including standards, tools, processes and procedures, field manuals etc.) to implement the high level management system requirements relevant to the detailed design phase and the Construction Phase respectively. Environmental and Social Consultant(s) to audit HSE Management System on a 6 monthly basis and supply Progress Reports to ERC, Agents and ECAs (in accordance with the scope of work, which is to be agreed with the Agents).
	Organisational Capacity and Competency	The ESMS documents produced by ERC and YM define the roles and responsibilities regarding the implementation and monitoring of the ESMS. Both documents also contain organograms indicating the lines of responsibility between ERC and YM, and operational teams. The Action Plan also includes a requirement to appoint an environmental and social (E&S) specialist or consultants and to set up an E&S Committee to oversee the project's implementation.	Materially Meets	<ol style="list-style-type: none"> Receive confirmation of appointment/recruitment of Environmental and Social Consultant(s) and other specialists or consultants, including the individual's CVs which should demonstrate experience in IFC PS, local regulations and ESIA mitigation action plan for both

Standard	Sub-heading	Summary Findings	Alignment	Actions required to align with Standard requirements (as contained in the Action Plan)
relevant environmental and social information is disclosed and disseminated.				<p>environmental and social aspects. The appointment of the Environmental and Social Consultant(s) and such other specialists and consultants shall be in accordance with the criteria agreed with the Agents.</p> <p>2. Receive E&S Committee Terms of Reference and finalised meeting minutes. E&S Committee Terms of Reference should include objectives of the E&S committee, roles and responsibilities and member lists with contact details.</p>
	Emergency Preparedness and Response	<p>The ESMS documents produced by ERC and YM contain Emergency and Preparedness Response Plans. These identify areas where accidents and emergency situations may occur, response and reporting procedures and responsibilities. They also include an example spill response template and template incident & investigation register.</p>	Fully meets or exceeds	No further action required.
	Monitoring and Review	<p>The ESMS documents produced by ERC and YM contain an overview section titled "Monitoring, enforcement and auditing" which outlines that annual and spot audits will be conducted and the results retained and made available to those requesting the information. The draft Action Plan contains provisions to ensure that progress reports regarding E&S issues are produced and that these are shared with Lending Banks throughout the lifecycle of the project.</p>	Materially Meets	<p>1. ERC / Environmental and Social Consultants to provide to the Agents and ECAs interim progress reports covering the development, progress and status of the updated and full Resettlement Action Plan and compliance with PS5.</p> <p>2. Receive Progress Reports from the Environmental and Social Consultant(s) on the project's compliance with specified international standards (as stated in the Terms of Reference) and local legislation, during and following the Construction Phase and the operation phase:</p> <ul style="list-style-type: none"> • Health & Safety (including material incidents/accidents); • Environmental management including: Noise; Soil; Workplace dust/ Exhaust air quality; Wastewater; Waste streams generated; • Biodiversity; • Resettlement; • Security; • Ongoing stakeholder engagement • Grievances raised • Recruitment of local population; • Mitigation measures relating to gender issues; and • Public complaints.
Stakeholder Engagement	<p>The environmental and social impact assessment (ESIA) reports produced for the four lots provide varying amounts of detail regarding the stakeholder engagement activities conducted, including the groups consulted. The YM ESMS contains a Stakeholder Engagement Plan (SEP). This identifies affected and interested parties, and their respective concerns. It also outlines engagement processes to be followed, including how stakeholder engagement activities will be recorded and monitored during the project. Details of each Lot's stakeholder meetings are provided, including the topics discussed and grievances raised. However, PS3 requires stakeholder engagement to begin early in the process of identifying environmental and social risks and impacts. As no scoping assessments were conducted, there is no evidence that engagement took place.</p>	Materially Meets	No further action required unless the proposed route changes.	

Standard	Sub-heading	Summary Findings	Alignment	Actions required to align with Standard requirements (as contained in the Action Plan)
	External Communications and Grievance Mechanisms	The YM ESMS contains a SEP which contains proposed engagement techniques, which include ongoing consultation with affected people and providing project plans and updates to the public. The SEP also contains a grievance procedure for stakeholders to use. This includes a clear process through which grievances are received, handled and acted upon, and explicitly states that the mechanism will still enable complainants to seek other legal remedies. A template grievance record form is also provided.	Fully meets or exceeds	No further action required.
	Ongoing Reporting to Affected Communities	The YM ESMS contains a SEP which contains details of how affected communities will be updated on the progress of implementing the project. This includes announcements and information on construction activity which could cause disturbance, any significant changes to design of the works and ongoing consultation such as emails and posters.	Fully meets or exceeds	No further action required.
AfDB OS1: Environmental and Social Risk Assessment - The objective of this overarching Operational Safeguard (OS), along with the OSs that support it, is to mainstream environmental and social considerations— including those related to climate change vulnerability—into Bank operations and thereby contribute to sustainable development in the region.	Gender	The ESIA generally mentioned gender equality in broad terms, typically by referencing Ethiopia's National Policy on Women and the National Plan of Action for Gender Equality and outline major societal issues facing women in the area, such as discriminatory culture, harmful traditional practices and low social status. Lot 11's Confirmation Letter and Lot 12's ESIA includes potential measures to improve these conditions. The Confirmation Letters produced by the ESIA consultants outline further mitigation measures and beneficial impacts of the line such as access to healthcare, awareness raising initiatives and non-discriminatory recruitment practices.	Partially Meets	1. Incorporate mitigation measures into the HR policy and/or ESMPs with respect to: <ul style="list-style-type: none"> ○ Providing equal employment opportunities for women ○ Establishing a code of conduct for workers which include guidelines on interaction with the local community ○ Community education and awareness-raising on STDs and HIV/AIDS transmission ○ Reporting and disciplinary procedure for any incident of abuse
	Climate change risk	The Contractor's Summary Document on Climate Change Risk assesses the project's vulnerability to climate change risk and classifies the project as Category 3 (not vulnerable to climate change) as per the AfDB's categorisation. The assessment includes temperature, rainfall and emission projections, potential impacts of climate change on the railway line, and mitigation measures.	Fully meets or exceeds	No further action required.
	Community consultation	The four ESIA's and the SEP contained in YM's ESMS provide evidence that community stakeholders were consulted in order to ensure their concerns are reflected in the design and construction of the railway. Additionally, the SEP contained in the ESMS contains details of the stakeholder meetings held during the ESIA process, the issues discussed, and concerns raised.	Fully meets or exceeds	No further action required unless the proposed route changes.
IFC PS2: Labor and Working Conditions Objectives: <ul style="list-style-type: none"> - To promote the fair treatment, non-discrimination, and equal opportunity of workers. - To establish, maintain, and improve the worker-management relationship. - To promote compliance with national employment and labor laws. - To protect workers, 	Working Conditions and Management of Worker Relationship	The ESMSs developed by YM and ERC contain HR policies which clarify how the project manages issues such as employment practices and terms, support for collective bargaining and workers' organisations, and accommodation arrangements.	Fully meets or exceeds	No further action required.
	Protecting the Work Force	The ESMSs and HR policies contained within them, state that the project shall not use child labor and forced labor as mentioned in IFC Performance Standard 2.	Fully meets or exceeds	No further action required.
	Occupational Health and Safety	The ESIA's consider potential impacts to workers' health, with Lots 12 and 13 containing some mitigation measures to health and safety risks. The ESMSs developed by YM and ERC contain E&S management plans. Health and safety is included as a specific topic, and the plans contain mitigation measures against identified safety risks, such as education on safety procedures and clear sign posting. Regular audits of procedures and checks on staff knowledge	Materially Meets	1. Nominated Supplier to share high level management system documentation with ERC and Agents 2. ERC and Nominated Supplier to develop more detailed management system documents (including standards,

Standard	Sub-heading	Summary Findings	Alignment	Actions required to align with Standard requirements (as contained in the Action Plan)
including vulnerable categories of workers such as children, migrant workers, workers engaged by third parties, and workers in the client's supply chain. - To promote safe and healthy working conditions, and the health of workers. - To avoid the use of forced labor.		are also incorporated into the plans.		tools, processes and procedures, field manuals etc.) to implement the high level management system requirements relevant to the detailed design phase and the Construction Phase respectively. 3. Environmental and Social Consultant(s) to audit HSE Management System on a 6 monthly basis and supply Progress Reports to ERC, Agents and ECAs (in accordance with the scope of work, which is to be agreed with the Agents).
	Workers Engaged by Third Parties	The E&S Management Plan contained in the YM ESMS includes Workers Engaged by Third Parties in its scope, and states that work conducted by third parties will need to comply with the E&S requirements set out in the ESMS. The YM HR policy also includes a section on non-employee workers, which commits YM to ascertain that their parties are reputable and legitimate, contractually require compliance with the YM HR policy, and monitor compliance. The HR policy also requires contractors to have similar arrangements with their sub-contractors.	Materially Meets	1. Nominated Supplier to share high level management system documentation with ERC and Agents 2. ERC and Nominated Supplier to develop more detailed management system documents (including standards, tools, processes and procedures, field manuals etc.) to implement the high level management system requirements relevant to the detailed design phase and the Construction Phase respectively. 3. Environmental and Social Consultant(s) to audit HSE Management System on a 6 monthly basis and supply Progress Reports to ERC, Agents and ECAs (in accordance with the scope of work, which is to be agreed with the Agents).
	Supply Chain	The HR Policy contained in the YM ESMS commits YM to "take reasonable steps to enquire about the use of child labour and forced labour in its supply chain in relation to goods and materials which are central to the core functions of the project". It also outlines procedures to address the discovery of such labour. However, the policies and ESMSs do not describe any ongoing monitoring activities for these issues.	Materially Meets	No further action required.
IFC PS3: Resource Efficiency and Pollution Prevention Objectives: - To avoid or minimize adverse impacts on human health and the environment by avoiding or minimizing pollution from project activities. - To promote more sustainable use of resources, including energy and water. - To reduce project-related GHG emissions.	Resource Efficiency	GHGs: The Contractor's Summary Document on Climate Change Risk estimates the annual GHG emissions arising from the operation of the railway line to be 23,400 tons per year (based on a worst-case scenario). This is well below the EP threshold of 100,000 tons per year and below the IFC and OECD threshold of 25,000 tons per year. The YM ESMS contains examples of steps to reduce GHG emissions during the project, such as selecting and maintaining smaller and more efficient machines for construction.	Materially Meets	No further action required.
		Water use: The YM document on water availability summarises water availability in Ethiopia based on seasonal rainfall statistics in Ethiopia. It provides an estimate of the water required during the construction phase, and compares to the water availability in the line's area. It concludes that the water requirements of the line will not adversely impact water availability in the regions. Additionally, the ESIs outline that the majority of water for the project will be used for dust suppression.	Fully Meets	No further action required unless the proposed route changes.
	Pollution Prevention	The ESIs generally address potential pollution impacts to soil and water courses from construction excavation and subsequent erosion, and from leaks and spills of oils, fuels, chemicals and wastes. Pollution to air from traffic operations is also raised. The E&S management plans contained in the ESMSs include mitigation measures to minimise the risk of pollution occurring such as proper handling of hazardous substances, controlling waste disposal processes and covering vehicles carrying dust-generating materials. However, a baseline study was not conducted regarding existing ambient conditions and the assimilative capacity of the environment.	Materially Meets	No further action required.
IFC PS4: Community Health, Safety and Security	Community Health and Safety	The ESIs generally recognised the potential community health and safety risks associated with the project such as increased traffic during construction and the proximity of communities to construction sites. The YM E&S Management Plan contained in its ESMS contains Community Health and Safety as a specific topic and outlines	Materially Meets	1. Nominated Supplier to share high level management system documentation with ERC and Agents 2. ERC and Nominated Supplier to develop more detailed

Standard	Sub-heading	Summary Findings	Alignment	Actions required to align with Standard requirements (as contained in the Action Plan)
Objectives: - To anticipate and avoid adverse impacts on the health and safety of the Affected Community during the project life from both routine and non-routine circumstances. - To ensure that the safeguarding of personnel and property is carried out in accordance with relevant human rights principles and in a manner that avoids or minimizes risks to the Affected Communities.		measures to minimise health and safety risks to affected communities. These include the provision of safe water supplies and disposal facilities, care when selecting campsites so as not to infringe on local communities and providing health education.		management system documents (including standards, tools, processes and procedures, field manuals etc.) to implement the high level management system requirements relevant to the detailed design phase and the Construction Phase respectively. 3. Environmental and Social Consultant(s) to audit HSE Management System on a 6 monthly basis and supply Progress Reports to ERC, Agents and ECAs (in accordance with the scope of work, which is to be agreed with the Agents).
	Security Personnel	Security personnel will be requested from the government. Private security will only be recruited should there be no government personnel available. The YM HR policy contained in its ESMS states that security staff will be checked to ensure they have not been implicated in previous crimes or abuses. The ESMS also contains a Security Management Plan which outlines the training provided to security staff, which includes topics such as search methods, discipline rules and public relations and behaviour. The ESMS also contains details of a grievance procedure which will be used to collect concerns about security arrangements.	Materially Meets	1. Receive Progress Reports from Environmental and Social Consultant(s) that considers security arrangements (including grievances received from local communities). 2. Receive security training records and ensure these are kept accurate and updated on a regular basis 3. Receive training materials and seek confirmation that these materials are in compliance with the requirements of the Voluntary Principles on Security and Human Rights
IFC PS5: Land Acquisition and Involuntary Resettlement Objectives: - To avoid, and when avoidance is not possible, minimize displacement by exploring alternative project designs - To avoid forced eviction. - To anticipate and avoid, or where avoidance is not possible, minimize adverse social and economic impacts from land acquisition or restrictions on land use by (i) providing compensation for loss of assets at replacement cost ⁴ and (ii) ensuring that resettlement activities are implemented with appropriate disclosure of	General / Displacement	The ESIA reports make limited reference to land acquisition, right-of-way clearance, compensation and economic/physical displacement, with only Lot 12 providing a calculation of the replacement and compensation cost and the associated methodology. The Summary Document on YM's Recent Work and Assessments Related to Resettlement Requirements along the Proposed Line states that after alternative design studies for the alignment of the line, rural huts and farmlands are the only two assets requiring resettlement and compensation. The document provides quantitative estimates and compensation principles for both. The YM and ERC ESMSs contain Resettlement Policy Frameworks which include similar information to the summary document. They also contain responsibilities for carrying out the resettlement process and the details of public consultation and participation process to be followed. The draft Action Plan includes a requirement that a full Resettlement Action Plan (RAP) is prepared once the design phase is completed.	Partially Meets	1. Updated and full Resettlement Action Plan, based on the Resettlement Action Plan Template, to be supplied to the Agents and approved by the Agents prior to commencement of the Construction Phase (Where construction work requires resettlement, all resettlement activities will be completed, and all grievances and disputes addressed, before any construction work commences.)

Standard	Sub-heading	Summary Findings	Alignment	Actions required to align with Standard requirements (as contained in the Action Plan)
<p>information, consultation, and the informed participation of those affected.</p> <ul style="list-style-type: none"> - To improve, or restore, the livelihoods and standards of living of displaced persons. - To improve living conditions among physically displaced persons through the provision of adequate housing with security of tenure at resettlement sites. 	Private Sector Responsibilities Under Government-Managed Resettlement	The ERC ESMS states that while the Contractor (YM) will prepare the land acquisition and right-of-way plan for ERC, it is the responsibility of ERC to prepare to carry out the land allocation and resettlement process outlined in the Resettlement Policy Framework.	Materially Meets	1. Updated and full Resettlement Action Plan, based on the Resettlement Action Plan Template, to be supplied to the Agents and approved by the Agents prior to commencement of the Construction Phase (Where construction work requires resettlement, all resettlement activities will be completed, and all grievances and disputes addressed, before any construction work commences.)
<p>AfDB OS2: Involuntary Resettlement: Land acquisition, population displacement and compensation</p> <ul style="list-style-type: none"> - This Operational Safeguard (OS) aims to facilitate the operationalisation of the Bank's 2003 Involuntary Resettlement Policy in the context of the requirements of OS1 and thereby mainstream resettlement considerations into Bank operations. 	Resettlement	Please see the findings contained above under IFC PS5: Land Acquisition and Involuntary Resettlement – General / Displacement.	Partially Meets	Please see the findings contained above under IFC PS5: Land Acquisition and Involuntary Resettlement – General / Displacement.
	Vulnerable groups	The ERC ESMS states that while the Contractor (YM) will prepare the land acquisition and right-of-way plan for ERC, it is the responsibility of ERC to prepare to carry out the land allocation and resettlement process outlined in the Resettlement Policy Framework. The draft Action Plan includes a requirement that a full Resettlement Action Plan (RAP) is prepared once the design phase is completed. No mention is made that the RAP will contain specific provisions relating to how the process will integrate gender concerns as contained the OS e.g. safeguards for women regarding the quality and quantity of land to be compensated; land titles in name of both spouses or of single heads of household regardless of gender; husbands and wives, unmarried women, elderly sons and daughters being explicitly included as eligible for compensation; or, compensation payments being made to both husbands and wives where feasible and socially accepted.	Partially Meets	Please see the findings contained above under IFC PS5: Land Acquisition and Involuntary Resettlement – General / Displacement.
<p>IFC PS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources</p> <p>Objectives:</p> <ul style="list-style-type: none"> - To protect and conserve biodiversity. - To maintain the benefits from ecosystem services. - To promote the sustainable management of living natural resources through the adoption of practices that integrate conservation needs and development priorities. 	General	The ESIA provide some limited narrative regarding the baseline environmental conditions in areas affected by the line, including potential impacts on flora and fauna. The ESIA Consultants' Confirmation Letters outline why the consultants do not consider biodiversity to be a material issue and hence why biodiversity is not explored in detail in the ESIA. In these letters, biodiversity is asserted to not be a material issue for various reasons. For example, agricultural activities have modified or eliminated all original plant and animal communities along the line meaning there are no biologically sensitive areas. Additionally, a re-alignment of the line moved it away from the Awash National Park and conservation area. Confirmatory scoping assessments were not undertaken to determine whether any material E&S issues, including biodiversity, were not included in the scope of the ESIA. Baseline studies on biodiversity were not conducted either.	Materially Meets	No further action required.
	Protection and Conservation of Biodiversity	The ESIA Consultants' Confirmation Letters assert that the majority of land the line traverses is highly modified habitat due to agricultural activities, and that none of these areas contain habitat of significant biodiversity value. Considerations of natural and critical habitats are not applicable to the project. Additionally, the line does not pass through any legally protected or internationally recognised areas - a re-alignment of the line means it now avoids the Awash National Park. The project is also unlikely to introduce any new alien species to the area. For these reasons, this section of the PS does not apply to the project.	N/A	No further action required.
	Management of Ecosystem Services	The ESIA Consultants' Confirmation Letters outline why the consultants do not consider biodiversity to be a material issue and hence why biodiversity is not explored in detail in the ESIA. The line is unlikely to adversely impact ecosystem services and hence this section of the PS does not apply to the project. The YM document on water	N/A	No further action required.

Standard	Sub-heading	Summary Findings	Alignment	Actions required to align with Standard requirements (as contained in the Action Plan)
		availability also asserts that the water requirements of the line will not adversely impact water availability in the region.		
	Sustainable Management of Living Natural Resources	Not relevant to this project - the project does not engage in the primary production of living natural resources.	N/A	No further action required.
	Supply Chain	Not relevant to this project - no primary production (e.g. food or fibre products) being purchased.	N/A	No further action required.
IFC PS7: Indigenous Peoples Objectives: - To ensure that the development process fosters full respect for the human rights, dignity, aspirations, culture, and natural resource-based livelihoods of Indigenous Peoples. - To anticipate and avoid adverse impacts of projects on communities of Indigenous Peoples, or when avoidance is not possible, to minimize and/or compensate for such impacts. - To promote sustainable development benefits and opportunities for Indigenous Peoples in a culturally appropriate manner. - To establish and maintain an ongoing relationship	General	The ESIA Consultants' Confirmation Letters assert that no Indigenous People will be affected by the construction of the line and therefore this PS does not apply to the project. This was established through site visits conducted along the railway route and stakeholder consultations with community groups and government administrations. The letters assert that the project route travels through regions inhabited by Amhara and Oromo people - the two largest ethnic groups of the country.	N/A	No further action required.
	Circumstances Requiring Free, Prior, and Informed Consent	Not applicable.	N/A	No further action required.
	Mitigation and Development Benefits	Not applicable.	N/A	No further action required.
	Private Sector Responsibilities	Not applicable.	N/A	No further action required.

Standard	Sub-heading	Summary Findings	Alignment	Actions required to align with Standard requirements (as contained in the Action Plan)
<p>based on Informed Consultation and Participation (ICP) with the Indigenous Peoples affected by a project throughout the project's life-cycle.</p> <ul style="list-style-type: none"> - To ensure the Free, Prior, and Informed Consent (FPIC) of the Affected Communities of Indigenous Peoples when the circumstances described in this Performance Standard are present. - To respect and preserve the culture, knowledge, and practices of Indigenous Peoples. 	<p>Where Government is Responsible for Managing Indigenous Peoples Issues</p>			
<p>IFC PS8: Cultural Heritage</p> <p>Objectives:</p> <ul style="list-style-type: none"> - To protect cultural heritage from the adverse impacts of project activities and support its preservation. - To promote the equitable sharing of benefits from the use of cultural heritage. 	<p>Protection of Cultural Heritage in Project Design and Execution</p>	<p>The ESIA Consultants' Confirmation Letters contain a summary of the existence of cultural heritage in the area of each lot. Lot 10 states that "the route follows open fields where no significant settlement and established structures exists". Lot 11 states that according to the local Culture and Tourism Office and a site investigation, "there are no recorded historical, cultural and archaeological heritage sites, no monuments and no holy trees/springs within the project influence area". Lot 12 states that consultation with the Culture and Tourism Office reveal that no heritage sites will be affected by the project. Lot 13 outlines a list of heritage sites located within 2km of the proposed railway route, and outlines precautionary measures to ensure that such sites are not disturbed. There is also an ERC Archaeological Chance Finds Procedure containing information on how to proceed should a chance find occur. The YM E&S plan also references the chance find procedure.</p>	<p>Fully meets</p>	<p>No further action required unless the proposed route changes.</p>
	<p>Project's Use of Cultural Heritage</p>	<p>Not applicable.</p>	<p>N/A</p>	<p>No further action required.</p>

Appendix B– List of documents reviewed

Item No.	Document	Used in assessment (Y/N)
1	Resettlement Action Plan 02	Y
2	Map of three Sub-Routes of part of Route 6	N
3	Map of six Sub Routes of Route 5 for Phase One	N
4	RFP Document for the procurement of engineering services	N
5	Map of Ethiopia railway network with 8 routes	N
6	Letter of invitation from ERC for technical / financial proposals	N
7	RFP General document outlining instructions to bidders	N
8	RFP Section 2: Bid data sheet	N
9	RFP Section 3: Evaluation criteria	N
10	RFP Section 4: Bidding forms	N
11	RFP Section 5: Eligible countries	N
12	RFP Section 6: Terms of Reference	Y
13	RFP Section 7: General conditions of contract	N
14	RFP Section 8: Special conditions of contract	N
15	RFP Section 9: Contract forms	N
16	Map of four sub routes of route 3 Zone37	N
17	Map of five sub routes of route 1 Zone37	N
18	Map of five sub routes of route 1 Zone38	N
19	Table of Lots 1-6 for sub-route 5 for Phase I	N
20	Table of Lots 1-5 for sub-route 1	N
21	Table of Lots 1-4 for sub-route 3	N
22	Table of Lots 1-3 for sub-route 6	N
23	RFP Table of contents	N
24	Diagram showing the two trains on the line (6.pdf)	N
25	Diagram showing the two trains on the line (5.pdf)	N
26	Diagram showing the two trains on the line (4.pdf)	N
27	Diagram showing the train and its spacing with the ditches (3.pdf)	N
28	Diagram showing the train and its spacing with the ditches (2.pdf)	N
29	Diagram showing the train and its spacing with the ditches (1.pdf)	N
30	Email from Sachin to Phil Case (subject line: "RE: Ethiopia")	Y
31	Proclamation No. 455/2005 Expropriation of Landholdings for Public Purposes and Payment of Compensation Proclamation	Y
32	Proclamation No. 541/2007 Development Conservation and Utilization of Wildlife Proclamation	Y
33	Proclamation No. 295/2002 Environmental Protection Organs Establishment	Y
34	Proclamation No. 200/2000 Public Health Proclamation	Y
35	Proclamation No: 19112000 Ethiopian Water Resources' Management Proclamation	Y
36	Proclamation No. 456/2005 Federal Democratic Republic of Ethiopia Rural Land Administration and Land Use Proclamation	Y
37	Proclamation No. 299/2002 Environmental Impact Assessment Proclamation	Y
38	Proclamation No. 209/2000 Research and Conservation of Cultural Heritage Proclamation.	Y
39	Proclamation No. 542/2007 Forest development, Conservation and Utilization Proclamation	Y
40	Hydrogeology and Hydrochemistry of the Dessie sheet (NC37-3) – cover page	N
41	Study's acknowledgement section	N
42	Summary report on hydrogeology and hydrochemistry of Dessie sheet	Y
43	Hydrogeology and Hydrochemistry off The Dessie sheet ((NC 373) – Sheet #1	Y
44	Hydrogeology and Hydrochemistry off The Dessie sheet ((NC 373) – Sheet #2	Y
45	Hydrogeology and Hydrochemistry off The Dessie sheet ((NC 373) – Sheet #3	Y
46	Hydrogeology and Hydrochemistry off The Dessie sheet ((NC 373) – Sheet #4	Y
47	Raya Hydrogeology and Isotope Hydrological Investigation Project, final report	Y
48	Hydrogeological map of Raya and Kobo valleys – map sheet 1	N

Item No.	Document	Used in assessment (Y/N)
49	Hydrogeological map of Raya and Kobo valleys – map sheet 2	N
50	Hydrogeological map of Raya and Kobo valleys – map sheet 3	N
51	Hydrogeological map of Raya and Kobo valleys – map sheet 4	N
52	Hydrogeological map of Raya and Kobo valleys – map sheet 5	N
53	ERC Right Of Way & Compensation Management Work Chart	Y
54	Feasibility Report for Awash-Kombolcha-Haragebeya	Y
55	Environmental and Social Management Manual – cover page	N
56	Social Impact Assessment and Social Management Plan – cover page	N
57	Resettlement Action Plan – cover page	N
58	Erosion and Sediment Control – cover page	N
59	ES2 RAP Household Survey 22 Feb 08 – blank questionnaire	N
60	Environmental Impact Assessment – cover page	N
61	Resettlement Action Plan	N
62	Erosion and Sediment Control	N
63	Social Impact Assessment and Social Management Plan	N
64	Chapter 3 Development Process	N
65	Chapter 4 Public Consultation	N
66	Chapter 5 Environmental Risk Assessment	N
67	Chapter 6 Project Planning and Pre-Feasibility	N
68	Chapter 7 Strategic Environmental Assessment	N
69	Chapter 8 Feasibility and Prelim Design	N
70	Chapter 8 Feasibility and Prelim Design	N
71	Chapter 10 Conducting the Detailed ESA	N
72	Chapter 11 Social Assessment	N
73	Chapter 12 Resettlement Action Plan	N
74	Chapter 13 Indigenous Peoples Development Plan	N
75	Chapter 14 Detailed Design Phase	N
76	Chapter 15 Environmental and Social Management Plan	N
77	Chapter 16 Contract Documentation and Tendering Phase	N
78	Chapter 17 Supervision and Construction Phase	N
79	Chapter 18 Operations and Maintenance Phase	N
80	Chapter 19 Environmental Management System Framework	N
81	The Federal Environmental Protection Authority - Environmental impact assessment guidelines on Road and railway	N
82	Ethiopian Roads Authority - Environmental Procedures Manual	N
83	Ethiopian Roads Authority - Resettlement/Rehabilitation Policy Framework	N
84	Guidelines for Social, Environmental and Ecological Impact Assessment and Environmental Hygiene in Settlement Areas (Draft)	N
85	Environmental & Social Monitoring and Evaluation Checklist for the railway project (Route - 1) – blank checklist	N
86	Environmental & Social Monitoring and Evaluation Checklist for the railway project (Route - 1) – specification document	N
87	Resettlement/Rehabilitation Policy Framework - RPF Updated Dec.2006 (Final) _APL III	N
88	Resettlement/Rehabilitation Policy Framework - ERA Resettlement Policy	N
89	Awash-Weldia Railway Project - Environmental Management Plan	Y
90	EIA Procedural Guideline Series 1	N
91	Environmental Management Plan	N
92	Guidelines to Prepare Environmental and Social Management Plan	N
93	Environmental impact assessment guidelines on Road and railway	N
94	Standards for specified industrial sectors	N
95	Contractor Action plan	Y
96	LHS Tree log	N
97	List of people and property impacts by the railway line	Y
98	Hydrogeological Map of Jemma Basin	N
99	Hydrogeological Map of Jemma Basin - A3 copy	N
100	Hydrogeological Map of Jemma Basin - Low resolution	N
101	Co-ordinates of tree locations	N
102	Locations of electricity lines	N
103	Hydrochemical Map of Jemma Basin	N
104	Hydrochemical Map of Jemma Basin - A3 size	N

Item No.	Document	Used in assessment (Y/N)
105	Hydrochemical Map of Jemma Basin - Low resolution	N
106	Locations of telephone lines	N
107	Details of farmland impacted by the railway line	Y
108	Engineering Geology Map of Jemma Basin	N
109	Engineering Geology Map of Jemma Basin - A3 size	N
110	Engineering Geology Map of Jemma Basin - Low resolution	N
111	Details of water lines	N
112	Map of Proposed Development Projects within Jemma Basin	N
113	Map of Proposed Development Projects within Jemma Basin - A3 size	N
114	Map of Proposed Development Projects within Jemma Basin - Low resolution	N
115	Land Cover Map of Jemma Basin	N
116	Land Cover Map of Jemma Basin - A3 size	N
117	Land Cover Map of Jemma Basin - Low resolution	N
118	Section 3 of the feasibility report	Y
119	Water resources management and environmental protection studies of the Jemma river Basin for improved food security	N
120	Final EIA report for Lot 13	Y
121	Final SEIA Report of Kamise-Hayk 2014-1	Y
122	Hayk - Robit Minutes of Meeting	N
123	Kombolcha Site Plan	N
124	Consultants Response Matrix on the comments made by PwC on ESIA Report for Lot 12	Y
125	Minutes of Metting-1 (local language) – Lot 13	N
126	Minutes of Metting-2 (local language) – Lot 13	N
127	Minutes of Metting (local language) – Lot 14	N
128	Photo from third hydrological report - 1	N
129	Photo from third hydrological report – 2	N
130	Photo from third hydrological report - 3	N
131	Route of railway showing its proximity to environmental receptors	Y
132	Awash-Kombolcha-Mekelle Railway Project – Resettlement Action Plan	Y
133	Shewarobit Site Plan	N
134	Lot 13 zip file	Y
135	ESIA for Lot 12 restated	Y
136	Third hydrology report	Y
137	Lot 11 Minutes of meeting	Y
138	ERC Manual for Compensation Guideline	Y
139	Lot 13 Minutes of meeting	Y
140	Pre Basic Design (railway map)	Y
141	Pre basic design- Awash location	N
142	Archaeological Chance Finds Procedure	Y
143	Lot 11 - Environmental Impact Assessment report final	Y
144	Response to comments - Lot 11	Y
145	ERC's Environmental and Social Management System for the Awash-Weldia Railway Project	Y
146	EKN environmental and social questionnaire	N
147	Summary document on water availability	Y
148	Contractor's Summary Document on Climate Change Risk for the Awash - Weldia Railway Project	Y
149	Yapi Merkezi's Environmental and Social Management System for the Awash - Weldia Railway Project	Y
150	Summary Document on YM's Recent Work and Assessments Related to Resettlement Requirements along the Proposed Line	Y
151	Confirmation Letter from Lot 10 ESIA Consultant	Y
152	Confirmation Letter from Lot 11 ESIA Consultant	Y
153	Confirmation Letter from Lot 12 ESIA Consultant	Y
154	Confirmation Letter from Lot 13 ESIA Consultant	Y
155	Railway line key plan	Y
156	Minutes of meetings summary spreadsheet	Y

Appendix C– Links to relevant standards

Equator Principles:

http://www.equator-principles.com/resources/equator_principles_III.pdf

IFC Performance Standards:

http://www.ifc.org/wps/wcm/connect/c8f524004a73daeca09afdf998895a12/IFC_Performance_Standards.pdf?MOD=AJPERES

World Bank Group Environmental, Health and Safety Guidelines (EHS Guidelines):

<http://www.ifc.org/wps/wcm/connect/554e8d80488658e4b76af76a6515bb18/Final%2B-%2BGeneral%2BEHS%2BGuidelines.pdf?MOD=AJPERES>

OECD Common Approaches:

[http://search.oecd.org/officialdocuments/displaydocumentpdf/?cote=tad/ecg\(2012\)5&doclanguage=en](http://search.oecd.org/officialdocuments/displaydocumentpdf/?cote=tad/ecg(2012)5&doclanguage=en)

African Development Bank (AfDB) Safeguards System’s Operational Safeguards Standards (OS Standards):

http://www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/December_2013_-_AfDB%E2%80%99S_Integrated_Safeguards_System_-_Policy_Statement_and_Operational_Safeguards.pdf

This document has been prepared for Credit Suisse Securities (Europe) Limited on the terms agreed in our Framework Agreement dated 26th May 2011, our Service Order dated 30th December 2013, and our extension agreements dated 27th February 2014, 17th March 2014 and 14th April 2014, EKN – the Swedish Export Credits Guarantee Board, and any such other party which has entered an Assumption of Duty Letter between such party, Credit Suisse Securities (Europe) Limited and PwC in relation to this document. PwC accept no liability (including for negligence) to anyone else in connection with this document and any such person should not act upon the information contained in this document without obtaining specific professional advice.

© 2014 PricewaterhouseCoopers LLP. All rights reserved. In this document, "PwC" refers to PricewaterhouseCoopers LLP (a limited liability partnership in the United Kingdom), which is a member firm of PricewaterhouseCoopers International Limited, each member firm of which is a separate legal entity.