

# **THE FEDERAL ENVIRONMENTAL PROTECTION AUTHORITY**



## **GUIDELINES TO PREPARE ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN**

NOT FOR CITATION

This guidelines is still under development and shall be binding after consensus is reached between the Environmental Protection Authority and the Environmental Units of Competent Sectoral Agencies

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## 1. Introduction

An important objective of environmental assessment is to develop procedures and plans to ensure that the mitigation measures and monitoring requirements approved during the environmental compliance review will actually be carried out in subsequent stages of the project.

As a result, EPA places strong emphasis on the preparation and proper implementation of ESMPs.

The environmental assessment proclamation and related procedures thus require the proponent or their consultants to prepare an ESMP as a major output of the environmental assessment. Where appropriate, the key contents of ESMPs are incorporated into the condition of the approval.

EPA requires that an ESMP be included as part of the EIAs and IEEs (for schedule I and II projects). The ESMP is carefully reviewed to ensure environmental safeguard compliance through out the project cycle.

A properly implemented ESMP can also contribute to the achievement of a number of objectives, including:

- compliance with environmental regulations;
- meeting internal standards and targets;
- improve investor and/or customer satisfaction;
- improve the Institution's public image;
- improve relations with regulatory authorities;
- facilitate permitting process; and
- decrease short- and long-term liabilities.

The purpose of these guidelines is therefore to give guidance on the design and proper implementation of ESMP.

## 2. Contents of the ESMP

At the minimum contents of an ESMP should include and describe the following:

### ***2.1. Summary of Impacts***

Under this section positive and negative significant impacts that can

be obtained or emanated as a result of the implementation of the proposed action should be outlined. These impacts can be direct, indirect, cumulative, synergistic, immediate, long term, temporal or permanent. It can also be impacts on:

- Human health and safety
- social and economic well being of the society
- economy of the country,
- occupational health and safety
- physical environmental conditions
- appropriate technology
- Biodiversity resources, etc.

## **2.2. Proposed Mitigation Measures**

This section should set out clear and achievable targets, and quantitative indicators of the level of mitigation required. Each measure should be briefly described in relation to the impact and conditions under which it is required. These should be referred to designs, development activities, equipment descriptions, and operating procedures and implementation responsibilities.

## **2.3. Enhancement Measures**

The enhancement measures description should indicate the arrangement for enhancing the potential positive impacts on a sustained basis. It should also present a strategy and concrete action plan to go beyond a mere fixation of the adverse impacts emanated from the proposed action.

## **2.4. Monitoring Programs and Parameters**

This section should outline the specific monitoring protocols, parameters, and expected frequencies. It should identify objectives and specify methods, the type of monitoring required; describes parameters as well as environmental performance indicators which provide linkages between impacts and mitigation measures identified in the EIA/IEE report.

It should further elaborate, sampling location, techniques and frequency of measurements detection limits and definition of thresholds to signal the need for corrective actions and description of post decommissioning monitoring.

## **2.5. Public Consultation Activities**

The ESMP should include a plan for meaningful public participation and

communication mechanisms during the finalization and implementation of the ESMP. The degree of consultation will depend on the project and local situation, but will normally include (i) notification of local communities when project activities are going to take place; (ii) disclosure of the results of emergency plan or monitoring programs to local communities and other stakeholders; and (iii) provision for independent third party monitoring, where and when necessary.

Projects with potential for significant adverse impacts may require public consultation on the design of mitigation measures and provide for public participation in environmental monitoring. Stakeholder consultation is also recommended during the preparation of final monitoring reports.

## ***2.6. Responsibilities***

This section should specify the institutional arrangements for implementation -taking into account the local conditions. Responsibilities for mitigation and monitoring shall be defined along with arrangements for information flow, and for coordination between agencies responsible for mitigation. ESMP should specify the organizations and individuals that will be responsible for undertaking the mitigating and monitoring measures, e.g., for enforcement of remedial actions, monitoring, training, and financing. A third party may be contracted in case the local authorities' capacity is limited. The ESMP may propose institutional arrangements including establishment of appropriate organizational arrangements, appointment of key staff and consultants; and arrangements for counterpart funding when necessary.

## ***2.7. Preliminary Cost Estimates***

To ensure that mitigation measures and monitoring are adequately funded, the ESMP should contain preliminary cost estimates. During implementation, the ESMP should be revised once construction and operational activities are well defined. Information should also be provided on the responsibilities for reporting, work plan, procurement plan, cost estimates and mechanisms for corrective action.

## ***2.8. Reporting and Reviewing***

This section should specify institutional responsibilities and roles for preparing, submitting, receiving, reviewing, and approving the reports. An implementation schedule detailing the timing, frequency and duration of mitigation measures, monitoring, and reporting of the

progress should be prepared, showing phasing and coordination with procedures in the project operations manual. Recipients of such reports should include those with responsibility for ensuring timely implementation of mitigation measures and for undertaking remedial actions. In addition, the structure, content and timing of reporting should be specified.

### ***2.9. Work Plan***

This section should specify staffing chart and proposed schedules of participation by the project team members, and activities and inputs of related government agencies. The responsibilities and requirements of contractors should be clearly addressed to ensure integration ESMP into legal requirements and bidding/contract documents.

### ***2.9. Procurement Plan***

This section should include 2 sections: (i) the plan for procurement of the specific items and equipment required to implement of the mitigation and monitoring programs in the ESMP, and (ii) a description of procedures to ensure consistency of all project procurement with the principles and practices of environmentally responsible procurement of goods and services.

### ***2.10. Cost Estimates***

This section should provide the detailed costs of implementation. These should be specified for both the initial and recurring expenses for implementing all measures defined in the ESMP, integrated into the total project costs. All costs, including administrative design and consultancy, and operational and maintenance costs— resulting from meeting required standards or modifying project design should be captured. A budgeting plan should be attached to cover the necessary costs.

### ***2.11. Project Feedbacks and Adjustment***

The section should outline the procedures and mechanisms that will be used to modify and reshape the project in the light of monitoring results as well as to report on environmental performance and the occurrences of unforeseen circumstance to the Interested and affected parties on regular basis.

### ***2.12. Capacity building***

Successful environmental supervision requires a mechanism to (i) determine whether the proponent is carrying out the project in

conformity with the ESMP, (ii) identify problems, and (iii) develop plans for corrective action.

The need and mechanism for capacity building required for proper implementation of ESMP and continual improvement in the environmental management performance of the firm should be described.

In some cases, technical assistance may be required to build capacity, including technical support, equipment and financial resources, for strengthening of the proponent. In general, institutional strengthening should:

- help the proponent to supervise the implementation of the ESMP including supervision and evaluation of the work to be undertaken with respect to the mitigation measures and monitoring requirements;
- provide on-the-job training to staff or top management team of the organization in order to build awareness and technical expertise in the environmental and social aspects of environmental management;
- instruct the organization personnel in the proper techniques of project inspection, monitoring, use of field monitoring equipment, and data collection; and
- assist the firm to coordinate and consult with other government agencies, local communities, NGOs, and other stakeholders concerned with the environmental aspects of the project.

### **3. Institutional Environmental Policy**

Under this section the firm should state its commitment to work towards realizing the objectives of sustainable development and continual improvements in its environmental performance. The firm should also indicate its firm conviction to adhere at the minimum to the country's environmental Policy goals and principles as well as applicable legal environmental requirements. This section elaborates on the firm or corporate social and environmental responsibilities.

### **4 Sample Forms**

The development of mitigation measures, the monitoring program, institutional arrangements and scheduling can be aided by the use of the matrices presented in Tables 1 to 4 herein under. These matrices should be included in the ESMP document.



**Table 1: Template for summarizing Mitigation /enhancement Measures (MEM)**

<b>Project Stage</b>	<b>Project Activity</b>	<b>Potential Environmental Impacts</b>	<b>Proposed MEM</b>	<b>Institutional Responsibilities</b>	<b>Cost Estimates</b>
Pre-Construction Phase					
Construction Phase					
Operation and Maintenance Phase					

**Table 2: Template for summarizing Monitoring Requirements**

	<b>Mitigation Measure</b>	<b>Parameters To be Monitored</b>	<b>Location</b>	<b>Measurements</b>	<b>Frequency</b>	<b>Responsibilities</b>	<b>Cost</b>
Pre-Construction Phase							
Construction Phase							
Operation and Maintenance Phase							

**Table 3: Template for summarizing Institutional capacity**

I. Strengthening Activity	Position (Responsibilities)	Strengthening Program	Schedule	Cost Estimate	
Mitigation					
Monitoring					
II. Training Activity	Participants	Course	Content	Schedule	Cost Estimate
1. ESMP Implementation Re-design Conflict Resolution					
2. Environmental Processes, Methods and Equipment					
3. Environmental Policies and Programs					

**Table 4: Template for Scheduling and Reporting**

	Year 1				Year 2				Year 3				...			
Activity	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4				

Mitigation Measures .....																	
Monitoring .....																	
Institutional Strengthening .....																	
Training .....																	