

FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA

MINISTRY OF WATER IRRIGATION AND ENERGY

and

DEVELOPMENT BANK OF ETHIOPIA

**Access to Distributed Electricity and Lighting Program in
Ethiopia (ADELE) – P171742**

Environmental and Social Risk Assessment

January 2021

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1. INTRODUCTION

1.1. Project Background

The proposed **Access to Distributed Electrification and Lighting in Ethiopia Project (ADELE)** provides financing for (i) grid strengthening for improved reliability and quality of supply in Addis Ababa and other key urban areas, (ii) off-grid solutions (mini-grids and solar home systems) in rural and remote rural areas, and (iii) standalone systems for electricity supply to education and health facilities. Besides, the project provides a comprehensive account of priority technical assistance and capacity building activities for the effectiveness and efficiency of the program. It also contains a set of interventions to engage women in service delivery e.g. focusing on financing and business skills gaps in female enterprises and up the annex

Training programs for solar engineers. At the beneficiary level, it provides information on affordability constraints and product preferences of women versus men. More specifically, the project aims at providing 1.45 million Tier 1 and above solar off-grid solutions, and isolated mini-grids, designed to handle grid-level loads, for 230,000 households and 11,500 enterprises. The project also provides a coordinated combination of these technology solutions as well as standalone solar systems for 2,000 social institutions.

The proposed operation will support the delivery of energy services with the potential to enable productive use in suburban, rural, and deep-rural areas thus contributing to post-COVID recovery. The delivery of energy services through off-grid solutions can support productive and income-generating activities in agriculture (i.e. irrigation, and processing) and commercial sectors, improving the livelihoods of fragile and vulnerable communities, and opening opportunities for women and youth, disproportionately affected by unemployment and lack of productive opportunities.

The Project Development Objective (PDO) is to increase access to reliable electricity for households, social institutions, and enterprises in Ethiopia.

1.2. Objectives E&S Risk Assessment

The main objective of the risk assessment for the ADELE project is to:

- Identify the main environmental and social as well as health and safety risks and impacts of ADELE Sub-Components 3.1 and 3.2: Access to Finance to Increase Off-grid Solar Penetration implemented by MoWIE and DBE, respectively, and propose appropriate indicative mitigation measures for the identified risks.

As part of this risk assessment:

- An environmental and social action plan has been prepared and annexed to this Environment and Social Risk Assessment to indicate both MoWIE and DBE are committed to conduct a capacity assessment and establish and implement a functional Environmental and Social Management System (ESMS) to manage the environmental and social risks and implement mitigation measures recommended as indicated in this risk assessment. (see annex1).
- Also, a Terms of Reference for capacity assessment of MoWIE and DBE for establishing and implementing functional Environmental and Social Management System (ESMS) before project implementation has been produced and annexed with this risk assessment (see annex 2).

1.3. Methodology

DBE: The E&S Risk Assessment was prepared through literature review and some stakeholder consultations through telephone and email. The DBE E&S external Fund and Credit management expertise undertook a review of the ADELE Project preparation documents, including WB ESF requirements, Concept stage ADELE-ESRS, and other similar project documents. They are also reviewed and analyzed Ethiopian legislation, policies, and guidelines relevant to the subject within the scope of the project.

Consultations with key stakeholders (MFIs, PSEs, individuals) were held between December 1 and December 3, 2020. The main points outlined in the interview with stakeholders are summarized and presented in section five (5) of this report.

MoWIE: These E&S Risk and impact Assessments, with mitigation measures, was prepared through literature review and stakeholder consultations. Following the COVID 19 procedure, virtual (Skype) Telephone and email. The MoWIE E&S Team undertook a review of the ADELE Project preparation documents, including WB ESF requirements, and other similar project documents. The Team has also reviewed and analyzed Ethiopian legislation, policies, and guidelines relevant to the subject within the scope of the project.

Consultations with key stakeholders were held between November 20 and November 24, 2020. The main points outlined in the consultative meetings with key stakeholders are summarized and presented in section five (5) of this report.

2. OVERVIEW OF ADELE PROJECT COMPONENTS

ADELE has five components: (1) Network strengthening for improved reliability of supply in urban areas; (2) Solar mini-grids for rural economic development, (*sub-component 2.1. EEU EEU-led mini-grids* and *sub-component 2.2. Private sector-led mini-grid pilot*); (3) Solar home systems for households, small-holder farmers and small businesses (*sub-component 3.1. Incentivizing market expansion and innovation* and *sub-component 3.2. Access to finance to increase off-grid solar penetration in Ethiopia*); (4) Standalone solar systems for social institutions (particularly schools and health centers); and (5) Capacity building, technical assistance, and implementation support. Cross-cutting activities on Gender and Citizen Engagement will be implemented in parallel to ensure equal participation from men and women in the sector.

The project will be implemented by the Development Bank of Ethiopia (DBE), Ministry of Water, Irrigation, and Energy (MoWIE), and the Ethiopian Electric Utility (EEU). Among ADELE project sub-components, MoWIE will be an implementing agency for Components 3.1 while DBE will be an implementing agency for Components 3.2 and both will take part in component 5.

2.1. Component Description

Component 3: Solar home systems for households, small-holder farmers, and small businesses

This component will expand the availability and affordability of off-grid solar systems for households, small-holder farmers, and small businesses in rural areas, with a particular focus on deep rural and other underserved areas. This will be done by facilitating foreign currency to importers of quality-certified systems and providing local currency financing to off-grid solar companies,

distributors, and consumers to increase the offering and adoption of quality off-grid solar products in underserved areas on affordable terms.

Activities under this component will expand access to electricity for an estimated 750,000 households for which solar home systems represent the best option due to distance to the grid, population density, or demand loads. This component will provide financial support to increase and deepen the supply and demand of products. On the supply side, the component will promote increased availability of products in the Ethiopian market supporting companies that can provide Lighting Global (and corresponding IEC standards) quality-approved systems, commit to honoring warranties for end consumers, provide after-sales servicing, and translate funding into new connections. On the demand side, this component will support consumer-financing schemes, such as PAYGo, to expand financing options for end-consumers. This will help boost the affordability of off-grid solar services, especially in rural and deep-rural areas, where consumers' purchasing power is constrained. This component will provide (i) targeted results-based financing to pre-qualified market players supporting the development of robust and sustainable supply-chains in deep rural areas; and (ii) financing in the form of foreign exchange for importation of systems and local currency loans for working capital and consumer financing.

The delivery of off-grid solar services, including the location of customers, will be closely monitored through an electronic tracking platform. Off-grid systems procured and distributed under the component will be equipped to allow for their effective tracking and location, to facilitate monitoring and evaluation of the effectiveness of the approach to foster electrification in deep rural areas. Participating businesses, as part of the financing agreement, will be required to submit products and (limited) clients' data to a tracking application, which will be supplemented by location data for the equipment. The aggregated collected data will allow identifying, inter alia, distribution, and usage patterns and permit the fine-tuning of the targeting efforts of further policy interventions.

Sub-Component 3.1: Incentivizing Market Expansion into deep-rural areas and Innovation (To be implemented by MoWIE) (US\$10 million)

This sub-component will set up a Results-Based Financing (RBF) facility, offering competitively awarded incentives to off-grid solar companies to accelerate off-grid solar expansion in Ethiopia, with a focus on deep-rural areas. The RBF is expected to contribute to faster and deeper penetration of off-grid energy solutions by supporting scale and expansion in areas that would otherwise be too hard and costly to reach. The RBF payments will partially offset the initial costs and risks associated with off-grid solar companies expanding their operations and setting up their sales and service infrastructure in new regions, thereby incentivizing the private sector to serve more rural and underserved areas. Overall, the RBF will help cover recruitment and training of new sales agents, development and improvement of supply chains, acquisition of new customers and marketing, and development of sustained and extended after-sales service capacity. The RBF will also support capacity building of new market entrants in rural distribution, such as cooperatives, and scale-up and expansion of innovative business models, such as pay-as-you-go (PAYGo), combining product distribution with consumer financing. Support will also be provided in sourcing and aggregating demand for distributors, particularly cooperatives, to reduce transaction costs. This sub-component will be implemented by MoWIE with the support of an experienced firm providing fund administration support services and relevant capacity strengthening for MoWIE's PIU. The competitive selection of the firm will be a disbursement condition for this sub-component.

The performance under the RBF will be measured by many verified connections in designated areas. Participants will be required to supply (limited) consumer information to submit claims, to be verified by an Independent Verification Agent (IVA). The amount of the incentive will vary per system size and household location, granting higher incentives to those companies or cooperatives that are serving households located in deeper rural areas and selling products offering more service to the customer, potentially with a dedicated line to promote off-grid solar productive use appliances. The focus of the RBF will be on underserved regions, such as the 'lowland' regions, which have a high degree of vulnerability and lack of infrastructure, and underserved populations such as women business owners in these areas. The target population for the RBF is illustrated in Figure 1. The RBF might be extended to subsidize end-user prices in a later stage of the project if additional affordability enhancements are needed for particular consumer segments, such as extremely poor and vulnerable households. The exact procedures of the RBF will be laid out in the Project Operational Manual (POM), as a disbursement condition for this component.

This Initial Environmental and Social Risk Assessment is intended to describe the specific components and subcomponents of ADELE; whereby, MoWIE has a role for the environmental and social risk management responsibilities to the proposed investment.

In the implementation and expansion of this ADELE subproject, the Ministry of Water, Irrigation and Energy MoWIE will develop and implement the ADELE project with the support of the World Bank. As one of the environmental & social standards, assessment & management of the environmental & social risk

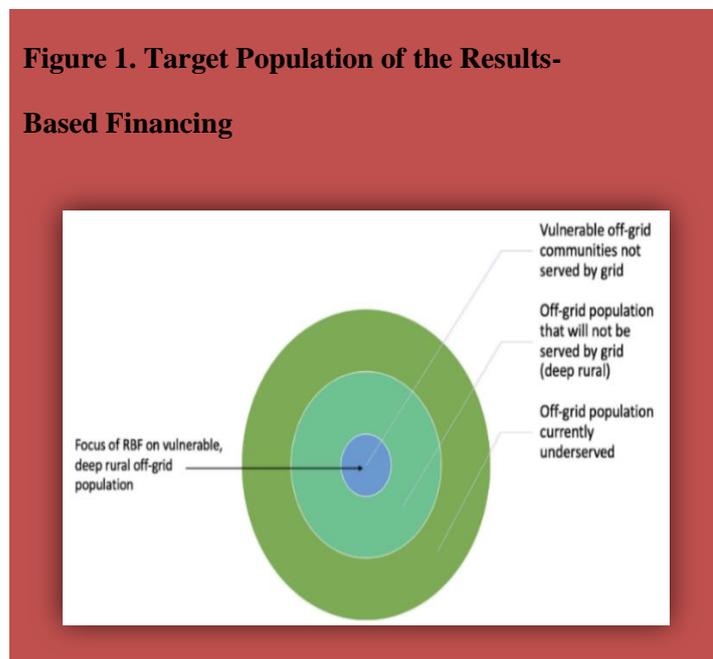
and impact are required to be prepared by MoWIE to show that the projects are implemented environmentally & socially feasible and appropriate measures are designed to manage the environmentally & social risks and impacts associated with each stage of the project. In this regard, MoWIE has identified the risks and mitigation measures of the project as follows.

MoWIE will develop and submit an Environmental and Social Management System (ESMS) for the World Bank approval before commencement of project sub-component activities.

Sub-Component 3.2: Access to Finance to Increase Off-grid Solar Penetration (To be implemented by DBE) (\$40 Million)

Enterprises operating in the off-grid market require access to (a) foreign exchange funding for the importation of off-grid energy systems and (b) working capital financing for day-to-day operations like the establishment and expansion of the supply chains, funding of operations and logistics, and financing the value chain. Financing is also needed for consumers especially in rural and deep rural areas where consumers' purchasing capacity is a constraint. End-user financing can also drive the uptake of bigger systems that provide a wider range of

Figure 1. Target Population of the Results-Based Financing



electricity services and can power income-generating activities. Therefore, companies and MFIs also need (c) capital for the provision of consumer financing via supplier financing or PAYGo business models or micro-loans to households and businesses.

In response to these financing needs, the finance facility will have three windows: (i) foreign exchange for the importation of off-grid systems, particularly solar home systems (SHS) Tier 1 and above and solar-powered productive use equipment (PUE); (ii) local currency for working capital provided to businesses along the off-grid solar value-chain, and consumer financing for end-user households, small-holder farmers, and small businesses; and (iii) a risk-sharing mechanism for partial loan guarantees to reduce credit constraints driven by the commercial banks' significant risk aversion to lending to the off-grid market and a traditionally strong focus on (immovable) collateral and high coverage ratios in their lending decisions. The financing facility would be structured as an APEX arrangement with resources channeled through eligible participating financial institutions (PFIs) to maximize the outreach of the project component and the sustainability of the intervention by commercially availing resources through the broadest group of financial institutions, to attend the widest set of enterprises in the off-grid solar value-chain and end-consumers in rural areas.

The foreign exchange window will provide access to foreign currency funds for the importation of quality certified off-grid systems and components, particularly solar home systems (SHS) Tier 1 and above and solar-powered productive use equipment (PUE). The project seeks to address the shortage of foreign currency for the importation, and correspondingly domestic supply, of off-grid solar systems by providing dedicated foreign currency resources. This window will provide importers access to foreign currency funds to underwrite the issuance of Letter of Credits (LC) for the importation of off-grid solar systems and components that comply with IEC quality standards.

The local currency window will provide working capital for off-grid solar market players, and support consumer financing options for end-users including households, small-holder farmers, and small businesses. Eligible financing under the local currency window will include funding for the distribution, sale, consumer-side financing, maintenance, and recycling of quality certified off-grid systems, as well as the acquisition of such systems by end-users.

The risk-sharing facility will enhance access to and reduce the costs of financing for businesses, particularly women-owned enterprises, by providing default coverage for loans to off-grid solar companies. Access to financing for off-grid solar companies is constrained by the financial sector's risk aversion to attending to the off-grid sector and their long-standing preference to secure business lending with immovable collateral, principally real estate. This limits access in particular for emerging solar businesses and women-owned companies, with lesser access to collateral. The risk-sharing fund will provide partial loan guarantees for loans extended by eligible PFIs to businesses in the off-grid solar value-chain to supplement collateral coverages. For approved operations, the fund will assume a limited first loss guarantee, allowing a wider set of businesses access to finance.

The sub-component will be implemented by the Development Bank of Ethiopia (DBE), which will identify market participants as beneficiaries of the three windows based on pre-determined criteria and under terms outlined in the POM (a disbursement condition for this component). Moreover, DBE will ensure adequate and independent credit risk assessments and market principles in the credit origination and lending decisions, and administration and recovery processes, as well as market, conform approaches in the pricing of resources to limit the potential for distortions. All regulated commercial banks and MFIs in good standing would have access to the wholesale funding, subject to compliance with eligibility criteria

following the World Bank's OP 10.00 guidelines. Registered and compliant businesses with adequate business history and performance will be eligible end-recipients of funds under the foreign exchange and local currency windows. The terms of financing, eligibility criteria for participating financial institutions and private enterprises, and arrangements for the operation and administration of the facility will be defined in the POM.

This sub-component builds on the experience with the forex and local currency credit line for off-grid solar products under the Bank's ENREP project, currently managed by the Development Bank of Ethiopia (DBE). The credit line under the Electricity Network Reinforcement and Expansion Project (ENREP) has played a critical role in unlocking the supply of quality-verified solar products. The new facility incorporates lessons from the ENREP project, such as the need for increased participation from financial intermediaries to widen and deepen sector access to finance. The facility design ensures adequate credit risk assessments and market principles in credit origination, lending decisions, administration and recovery processes, as well as market conform approaches in the pricing of resources. Furthermore, the design of the facility ensures that the financing framework for the project fits into the larger financial market context and limits the potential for distortions.

DBE will develop and submit an ESMS for the World Bank approval before commencement of project sub-component activities.

Sub-Component 5.2: Enhancing MoWIE's monitoring and technical capacity (US\$15 million) – implemented by MoWIE

This sub-component will support the capacity strengthening of MoWIE to oversee the efficiency and effectiveness of ADELE in general, and specifically to increase their capacity as implementing agency for sub-component 3.1. This will be done through the establishment of enhanced technical and management capacity, strengthening of tracking systems and capabilities, and support in advancing required regulatory and institutional reforms to support private sector participation in the off-grid sector. Activities will include technical assistance in support of the onboarding of off-grid technical and operational experts to strengthen project implementation and monitoring, and procurement of an experienced fund administration support firm and an Independent Verification Agency, in support of the implementation of sub-component 3.1. This will include training and knowledge transfer to build MoWIE's capacity. Finally, relevant sector studies and background technical analyses are also included.

Sub-Component 5.3: Environmental and Social Risk Management Technical Assistance and Capacity Building (US\$3 million) - implemented by MoWIE, EEU, and DBE

This subcomponent will finance activities aimed at (i) technical assistance and support for establishing and strengthening a functional ESMS for EEU, MoWIE, and DBE; (ii) environmental and social capacity building, staffing/consultants, assessments, procedures, and guidelines; (iii) undertake annual environmental and social performance review and Environment, social and safety audit; (iv) support implementation of SEP including increase community awareness of social, environmental and safety impacts of sub-projects, including strengthening the grievance redress system (GRM); and (v) monitoring and reporting of environmental, social, health and safety.

Sub-Component 5.4: Enhancing the financial sector's role to provide financing to the off-grid energy sector, including strengthening DBE's capacity to manage the off-grid electrification financing facility (IDA US\$2 million equivalent) - implemented by DBE

2.2 Institutional and Implementation Arrangements

2.2.1. DBE will provide overall coordination of the sub-Project component 3.2 The Directorate of External Fund and Credit Management at DBE will be responsible for the overall coordination and sub-project oversight including (a) defining, jointly with the respective agency, the project areas based on technical and policy development priorities; (b) resolving challenges requiring high-level intervention facing the project; (c) monitoring the implementation of the project, and (d) consolidating information from agencies and reporting on the progress of implementation and evaluating the project.

DBE will oversee and coordinate the implementation of Component 3; Sub-component 3.2 will be implemented through a firm providing fund administration support. For sub-component 3.2., DBE will competitively select experienced consultants/firms/ for sub-project different activities support and capacity building, and an Independent Verification Agency (IVA).

2.2.2. MoWIE will provide overall coordination of the Project. The Directorate of Electrification at MoWIE will be responsible for the overall coordination and project oversight including (a) defining, jointly with the respective agency, the project areas based on technical and policy development priorities; (b) resolving challenges requiring high-level intervention facing the project; (c) monitoring the implementation of the project, and (d) consolidating information from agencies and reporting on the progress of implementation and evaluating the project.

MoWIE will oversee and coordinate the implementation of Component 3, Sub-component 3.1 will be implemented through a firm providing fund administration support. For sub-component 3.1., MoWIE will competitively select an experienced firm for fund administration support and capacity building, and an Independent Verification Agency (IVA).

3. WORLD BANK ENVIRONMENT AND SOCIAL FRAMEWORK

The WB Environmental and Social Standards applicable to the project and linked to the implementation of subcomponent 3.1 and 3. 2. are summarized below. For details refer: <http://www.worldbank.org/en/projects-operations/environmental-and-social-framework>

ESS 1: Management of Environment and Social risk and impact assessment

Sets out the responsibilities for assessing, managing, and monitoring environmental and social risks and impacts associated with each stage of a project supported by the Bank through Investment Project Financing (IPF), to achieve environmental and social outcomes consistent with the Environmental and Social Standards

Applicability: the sub-project has environmental and social risk impacts that require to be assessed. Besides, it will help to adopt differentiated measures so that adverse impacts do not fall disproportionately on the disadvantaged or vulnerable, and they are not disadvantaged in sharing development benefits and opportunities resulting from the project.

ESS 2: Labor and Working Conditions

Recognizes the importance of employment creation and income generation in the pursuit of poverty reduction and inclusive economic growth. Borrowers can promote sound worker-management

relationships and enhance the development benefits of a project by treating workers in the project fairly and providing safe and healthy working conditions. Prohibits child labor and forced labor, focus on OHS, grievance mechanism, etc.

Applicability: Project activity may cause safety incidents while working at height; project activities should apply certain principles of ESS2 i.e., labor, gender, GBV requirements

ESS3: Resource Efficiency and Pollution Prevention and Management

Recognizes that economic activity and urbanization often generate pollution to air, water, and land, and consume finite resources that may threaten people, ecosystem services, and the environment at the local, regional, and global levels. This ESS sets out the requirements to address resource efficiency and pollution prevention and management throughout the project life cycle.

Applicability: The major potential environmental concern arising from solar home systems (SHS) is the improper disposal of the lead-acid storage battery used in SHS. If not properly disposed of, the lead sulfate can contaminate surrounding land and bodies of water (World Bank 2013). The situation of end-of-life battery management is of concern. Collection and recycling practices lack basic precaution measures to prevent the emission of lead and battery acid to the workspace and the environment. Not only the Batteries but also used panels may also need proper management practices.

ESS4: Community Health and Safety

Addresses the health, safety, and security risks and impacts on project-affected communities and the corresponding responsibility of Borrowers to avoid or minimize such risks and impacts, with attention to people who, because of their particular circumstances, may be vulnerable. Focus on risks and impacts on communities through design and safety of infrastructure, equipment, products, services, traffic, and hazardous materials.

Applicability: The emission of lead and battery acid to the workspace and the environment can cause severe and potentially life-threatening health risks for workers and the communities surrounding such operations.

ESS5: Land Acquisition, Restrictions on Land Use and voluntary Resettlement: component 3 Do not require land acquisition and bring access restriction. The solar home systems will be built on an individual house's rooftop. Thus, these subcomponents do not apply ESS5

ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources. Similar to ESS5 these components do not undergo physical work on the ground. Thus, implementing component 3 will not have an impact on Biodiversity. Thus ESS 6 will not apply.

ESS 7: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities

Ensures that the development process fosters full respect for the human rights, dignity, aspirations, identity, culture, and natural resource-based livelihoods of Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities. It is also meant to avoid adverse impacts of projects on Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities, or when avoidance is not possible, to minimize, mitigate and/or compensate for such

impacts. It provides a clear definition and introduction of Free, Prior, Informed Consent (FPIC) in specified circumstances.

Applicability: Though ADELE project implementation scope is widespread throughout Ethiopia, component 3.1 and 3.2 is particularly targeted deep rural and underserved regions of the Country, Underserved communities may be particularly vulnerable if their resources are transformed, impacted and also, they may not be to afford the project benefits like other project beneficiaries. In such cases, it is required to take account of obtaining the Free, Prior, and Informed Consent (FPIC) procedure of affected Historically Underserved Communities as describe in ESS 7.

ESS8: Cultural Heritage

Recognizes that cultural heritage provides continuity in tangible and intangible forms between the past, present, and future. People identify with cultural heritage as a reflection and expression of their constantly evolving values, beliefs, knowledge, and traditions. Cultural heritage, in its many manifestations, is important as a source of valuable scientific and historical information, as an economic and social asset for development, and as an integral part of people's cultural identity and practice. The standard sets out measures designed to protect cultural heritage throughout the project life cycle and sets out general provisions on risks and impacts to cultural heritage from project activities.

Applicability: Even though there will not be any construction activity to be implemented under component 3 on the ground and will be implemented on the rooftop of individual houses, ESS8 is applied if the project should identify any individual houses which may have important physical cultural resources at that need protection in the project course of implementation.

ESS9: Financial Intermediaries

The objective of ESS9 is

- To set out how the Financial Intermediaries (FI) will assess and manage environmental and social risks and impacts associated with the subprojects it finances;
- To promote good environmental and social management practices in the subprojects the FI finances;
- To promote good environmental and sound human resources management within the FI.

FIs are required to develop and maintain, in the form of an Environmental and Social Management System (ESMS), effective environmental and social systems, procedures, and capacity for assessing, managing, and monitoring risks and impacts of subprojects, as well as responsibly managing overall portfolio risk.

Applicability: As DBE is the main FI and MoWIE will have private sectors and cooperatives to implement ADELE, the main environment and social standard that applies to the proposed ADELE component 3 activities. In the application of the ESS 9 the FI's ESMS will include the following elements: (i) environmental and social policy; (ii) clearly defined procedures for the identification, assessment, and management of the environmental and social risks and impacts of subprojects; (iii) organizational capacity and competency; (iv) monitoring and review of environmental and social risks of subprojects and the portfolio; and external communications mechanism.

ESS10: Stakeholder Engagement and Information Disclosure

Recognizes the importance of open and transparent engagement between the Borrower and project stakeholders as an essential element of good international practice. Effective stakeholder engagement can improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation. It consolidates WB engagement provisions meaningful consultation, access to information, and grievance redress

Applicability: This ESS recognizes the importance of open and transparent engagement between the Borrower and project stakeholders as an essential element of good international practice. Effective stakeholder engagement can improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation. Consolidates WB engagement provisions meaningful consultation, access to information, and grievance redress.

4. IDENTIFICATION OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS

Solar Home Systems (SHS) are solar photovoltaic (PV) units that provide zero-emissions electricity supply to homes for a variety of uses, such as lighting, television sets, radio, charging of mobiles, and other small appliances. Each system will consist of at least a PV module to convert solar energy into electrical energy, a battery to store the electrical energy, a charge controller to protect the system from attaining an overcharged and undercharged condition, and cables and connecting devices. Solar home systems capacities are expected to range between approximately 10 and 200 Wp. Only units that have a warranty period of one-two (1-2) years will be eligible to be included in the project. The proposed beneficiaries of this initiative are expected to be households that relied on kerosene lamps for lighting, most of which are relatively inefficient tin lamps with a simple wick and no cover. Off-grid lighting would have been provided by kerosene while batteries or diesel generators would have charged small appliances. The burning of kerosene and diesel generates CO₂.

4.1. Environmental and Social Risk Classification

As per the new Environment and Social Standard /ESS/ the WB classify all projects (including projects involving Financial Intermediaries (FIs)) into one of four classifications: High Risk, Substantial Risk, Moderate Risk or Low Risk. A project will be classified as High, Substantial, Moderate, and Low risk, considering:

- the type, location, sensitivity, and scale of the Project including physical considerations
- the nature and magnitude of the potential ES risks and impacts, including the type of development (greenfield or brownfield, e.g. rehabilitation, maintenance, or upgrading activities); the nature of the potential risks and impacts (e.g. whether they are irreversible, unprecedented, or complex); resettlement activities;
- presence of Indigenous Peoples; and possible mitigation measures considering the mitigation hierarchy
- the capacity and commitment of the Borrower to manage such risks and impacts in a manner consistent with the ESSs
- other areas of risk that may be relevant to the delivery of ES mitigation measures and outcomes, including the nature of the mitigation and technology being proposed, considerations relating to domestic and/or regional stability, conflict, or security

Thus, DBE and MoWIE will develop a risk categorization system for the specific Component to be implemented under the ADELE project as part of this risk assessment report. Furthermore, following this initial environmental and social risk assessment, DBE/MoWIE will make sure that the risk classification is undertaken in detail during the ESMF preparation under the ESMS.

An environmental and social risk categorization system enables DBE & MoWIE to monitor and evaluate its exposure to environmental and social risk aggregated at the relevant portfolio level. This allows DBE & MoWIE to better manage and track changes in the risk profile and the associated environmental and social impacts of the ADELE subproject. This information can also be used by DBE /MoWIE to report internally to senior management, externally to stakeholders, and to the World Bank on overall environmental and social risk.

The proposed project aims to offer competitively awarded incentives to off-grid solar companies to accelerate off-grid solar expansion throughout Ethiopia, with a focus on incentivizing the private sector to serve more rural and underserved areas. Accordingly, examining the type, location, sensitivity, scale of the subproject, the project has various potential benefits to the households located in deeper rural areas including alleviating the daily household burdens of women and enhancing their livelihoods. (please see section 4.2 below). Also, the potential E&S risks and impacts of the subproject risk and impacts are reversible, not complex, and do not require any resettlement and associated livelihood impacts. Though the project has many potential benefits including the provision of renewable energy technology, there are few E&S risk and impacts associated with waste management (mainly disposal and recycling of solar panels, used batteries especially lead-acid and lithium-ion batteries, defected and used solar panels which are considered hazardous wastes, poor OHS practices for solar companies', labor issues, presence of Indigenous/underserved communities. Additionally, some gender-related risks might involve gender-based violence, the risk of underserving/ excluding female-headed households, and the need to close gender gaps in access to credit in deep rural and Historically Underserved areas of the country where ADELE is planned to be implemented.

Thus, considering the risk factors that help to identify the project risks classification, component 3: Solar home systems for households, small-holder farmers, and small businesses, with sub-component 3.1: *Incentivizing Market Expansion into deep-rural areas and Innovation and subcomponent 3.2 Access to Finance to Increase Off-grid Solar Penetration risks are classified as Substantial as the overall the project risk classification is substantial*

4.2. Positive Environmental and Socio-economic Impacts

The project will have broad socioeconomic benefits for households in deep-rural areas of vulnerable and underserved populations such as women business owners in ADELE project areas. This component has also a focus on those Historically Underserved/ Indigenous People¹, improving households' access to modern energy is central to restoring livelihoods and mitigating the impacts on the poor and most vulnerable.

¹ GoE recognized Afar, Ethiopian Somali, Gambella, Benishangul-Gumuz and pastoral and agro-pastoral areas of SNNPR and Oromia as Underserved Traditional Local Communities- equivalent to Indigenous Peoples/Sub-Saharan African Historically;

2) Elias Mulugeta, The demand for kerosene and per capita income in Ethiopia, Ethiopian Journal of Economics, Volume XIII, No 2, October 2004

;

For Component 3, the project will support quality-certified systems under Lighting Global standards, now ICE quality standards. The project will support systems Tier-1 (lanterns and multi-lighting systems) and above. Detailed technical specifications of the systems to be supported by the ADELE project will be outlined in the Project Implementation Manual (POM), as a disbursement condition, and will be included in the financing agreements both for the performance-based financing and the financing facility windows.

Below are the most prominent benefits from ADELE Sub-Component 3.1 and 3.2: Incentivizing Market Expansion into deep-rural areas and Innovation through installation and construction of SHS:

- **Reduced lighting costs to project beneficiaries:** Electricity access will replace kerosene lamps which are expensive to operate. Kerosene is costly both for low-income households that buy it, and for governments that subsidize it. In rural Ethiopia, according to the Ethiopian Journal of Economics² kerosene is used as the main source of cooking fuel in urban areas and used as a source of light in rural areas. The recent rise in kerosene price is the largest shift in price which has occurred during the last two decades. Poor households generally expend proportionally more on energy than richer households and hence higher energy costs will have a larger budgetary implication for the poor. Comparing to these costs, the consumption electricity bills seem to be cheaper than using kerosene for lighting significantly. Therefore, this project means greater savings on the part of the households.
- **Clean Energy:** Renewable energy is seen as a necessary step toward sustainable energy development, diminution of the use of fossil fuels, and mitigation of climate change. One of the main benefits of renewable energy is that it generates significantly lower carbon dioxide emissions than fossil fuels. Though, renewable energies are not CO₂ sinks yet when their complete life cycle is considered, their greenhouse gas emission rate per unit of energy produced is much less than for energy sources based on fossil fuels and slightly less than for nuclear power. With lower carbon emissions, the adoption of renewable energy technology can help reduce global warming.
- **Security and safety:** In different ways, electric lighting may have a preventive character for the sake of security and safety. First, the replacement of traditional lighting may reduce the incidence of lighting-induced fire in the household. Second, cooking with wood fuels and traditional lighting is the main indoor air pollutant and emits smoke that may have adverse effects on people's health. Third, the incidence of animal attacks and thefts will reduce due to the SHS introduction.
- **Improved access to information and communications:** Access to electricity will lead to improved communication for the beneficiaries that will be enabled by the fact that charging of mobile phones will be easier and cheaper. New information is provided through television and better access to broadcasting and telecommunication via radios and mobile phones. Access to more and new information may imply the transmission of knowledge and the promotion of new norms and values, such as gender equality.
- **Contribute to the improved standard of living:** Access to electricity will change the standard of living of the people as they can light their homes and use domestic appliances like, television sets, radio and charging mobile phones. The use of electricity for lighting implies that the people will not be exposed to smoke arising from the use of kerosene lamps which predisposes people to respiratory diseases.

- **Positive expected impact on poverty reduction:** With more affordable and stable electricity in the otherwise off-grid areas, the beneficiaries will be engaged in income-generating activities, hence improving their economic status.
- **Gender Considerations:** Electricity is a basic service especially for lighting but is still a luxury for many rural women and men. Access to modern electricity will go a long way towards alleviating the daily household burdens of women, giving them more time, improving their health, and enhancing their livelihoods. The available literature on gender and energy suggests that providing electricity to communities and homes will promote gender equality, women's empowerment, and women's and girls' access to education, health care, and employment. Indeed, most gender benefits of the project will occur because women tend to spend more time at home, are responsible for household chores that can be carried out more productively with electricity, and because certain tasks are culturally defined as women's work. The first and strongest impacts of the project shall occur via lighting and TV.

Electricity will replace more expensive candles and kerosene lamps, thereby reducing indoor air pollution, fire, burn risk and providing higher quality light. Women and girls will benefit more from electricity and reduced effects of air pollution from kerosene lamps because they spend more time in the kitchen. Lighting and television will improve access to information, the ability to study and extend the effective working hours. The women will also benefit more due to access to information, especially on health and nutrition since they also spend more time at home. The project will also enhance security in the rural areas as most homes will be lit up, a benefit that is more appreciated by women.

- **Improve study time:** One potentially important impact of electrification is the improvement of studying conditions of school-age children. Studying hours at home will tend to be higher for SHS user households.
- **Provision of employment:** Although minimal this project will have a positive impact on both direct and indirect employment levels in the country translating into incomes at the household levels which will trigger other spending and demand in the local economy.

4.3. Adverse Environmental and Social Risks and Mitigation Measures

There are certain environmental and social, health and safety risks to the implementation of this project component, Solar Home System installation for households. These are listed in Table 1 below with suggested mitigation measures. Sample subproject risk and impact screening format have been annexed to this document (*Please see annex 2*).

4.3.1. Major Environmental and Social Risks

The **main environmental, health, and safety risks** identified are Electronic waste (e-waste) production and chemical pollution and risks associated with occupational health and safety aspects.

- **Electronic waste (e-waste) – chemical pollution:** Main risks and impacts occur at the end of the life cycle of the PV products and materials. These are concerning the production of e-waste which contains hazardous materials. The e-waste generated by solar businesses is not a significant portion of the e-waste problem, but it is a significant issue.

Some of the sources of pollution are used panels, used batteries (both lead-acid and lithium-ion), the plastic materials used in equipment, some residues from polystyrene, steel, and metal elements such as aluminum, copper, or cadmium. When panels to be

damaged or improperly disposed of after being decommissioned, there could be an issue. Solar systems may have oils or molten salts, hydraulic fluids, coolants, and lubricants – all materials that may be hazardous.

The potential risks and impacts associated with the waste generated from this technology are (1) Soil and freshwater (both surface and groundwater) contamination, (2) health risk for workers of informal recycling sector and communities' population (3) Community health impacts (due to hazardous nature of the waste, if not handled and disposed of properly these materials could pose serious public health threats. Thus, possible mitigation measures including technology alternatives should be considered to reduce the impacts related to hazardous waste. Furthermore, efforts have to be made clear for the use of proper mitigation hierarchy for Waste management.

- **Occupational Health and Safety (OHS):** Solar off-grid sector, including SHS, will promote the installation of different solar systems at different levels: domestic, public facilities, and productive uses. Limited attention has been given to the associated OHS aspects so far². Potential occupational injuries and accidents exist in all stages of the life cycle of the materials, from manufacturing, installation, and maintenance to decommissioning and recycling, too many different workers' groups in various types of workplaces and sectors. Besides, the workers involved in installation may have to climb the roof of the consumer's house which could be about 3 to 5 meters high, using ladders or other climbing gears.

Therefore, employers and supervisors are obliged to implement all reasonable precautions to protect the health and safety of workers. Preventive and protective measures should be introduced according to the following order of priority:

- *Minimizing the hazard:* through design of safe work systems and administrative or institutional control measures. Examples include job rotation, training safe work procedures, lock-out, and tag-out, workplace monitoring, limiting exposure or work duration, etc.
- *Providing appropriate personal protective equipment (PPE)* in conjunction with training, use, and maintenance of the PPE.

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

The **potential social risks** and impacts encompass, (a) affordability of the technology, (b) access to functioning grievance redress mechanisms, (c) social exclusion of women, youth, persons with disabilities, and other members of vulnerable groups, (d) IPSHUTLC communities and households might have difficulties accessing project benefits, diverse nature of regions, socio-economic and socio-cultural aspects including gender aspects are quite different which requires cautious SEA/SH risk assessment, and (f) lack of compliance with labor and working conditions laws and related standards, especially about supervision of SHS companies'/ distributors' violations of labor laws, worker grievances, and occupational health and safety.

² European Agency for Safety and Health at work (E-Fact 68). OSH and small-scale solar energy applications. ¹⁶
Based on IFC, EHS Guidelines, General EHS Guidelines: Occupational Health and Safety

4.3.2. Environmental and Social Risks and Impacts Management Measures

Social risk management actions are assessed based on the scope of the proposed project component and commensurate with potential risks and impacts. The social risk management approach will divulge on (a) strategic stakeholder and community engagement and functioning grievance redress accessible for all affected communities; (b) social development plan informed by the enhanced social assessment for people meeting the requirements of ESS-7 Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities (Afar, Somali, Gambella, Benishangul-Gumuz and pastoral and agro-pastoral areas of SNNPR and Oromia); (c) gender dimensions including GBV; and (d) unintended labor issues, including regarding worker health and safety, child labor, and non-compliance with labor laws.

Table 1: Environmental and Social Risks from the implementation of SHS at Household

Risk	Pre-Con	Cons	Oper.	Description	Mitigation Measure
Waste disposal; Soil and groundwater contamination		√	√	<ul style="list-style-type: none"> ▪ Indiscriminate disposal of solid and liquid wastes including recycled batteries, other used and/or damaged solar panel and lantern parts, packages, ▪ Used panels (containing oils or molten salts, hydraulic fluids, coolants, and lubricants) and used batteries (both lead-acid and lithium-ion) are hazardous wastes. ▪ Improper recycling of lead-acid batteries causes wide-scale lead pollution/poisoning, including air, soil, and water contamination. lead entry into the food chain resulting in diseases and fatalities. ▪ Additional waste issues are related to plastic material, polystyrene residues, aluminum, copper, steel, etc. ▪ Management of used batteries will be a significant risk. 	<ul style="list-style-type: none"> • Waste management at the core subproject area shall be efficient and required to be implemented in an environmentally friendly manner. • Best practice methods for waste management and disposal in and around the project site; conduct regular awareness creation and sensitization program for the proponent and community residents in the area about the potential negative impacts, health and safety risks, and proper waste management practices. • Encourage incorporating the cost of the responsible management of waste into the business budgeting and financial prospects. • Responsibly choose a waste management partner • Encourage common (Federal/Regional) frameworks for recycling of batteries and need to be promoted • Engagement with industry, regulators, and NGOs to explore practical national and regional waste management solutions

					<ul style="list-style-type: none"> • Proper management of waste systems and channel development • Development of specific waste management plan targeting e-wastes including used solar panels and Battery • Establishment of a reparation network and replacement parts channel • Communication and educational programs for end-users and communities • Training on waste management processes for participating private business, cooperatives, and beneficiaries (through TA of ADELE) • Promote reuse, recycling, or energy recovery plastic treatment • Reuse, recycling, or energy recovery in an equipped unit for polystyrene treatment • Establish a buy-back mechanism, particularly for batteries, by introducing financial incentives/rewards for households to return expired batteries to the prequalified organization rather than to informal smelters. • To finance the buy-back mechanism, establish an extended producer responsibility system for entities that import,
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					produce, and/or market PV panels and batteries.
Heat or Light Reflection			√	<ul style="list-style-type: none"> ▪ Rooftop Solar panel implantation/ due to sunlight reflection/ could result in minor health and social conflict. Improper place of solar panel may cause sunlight reflection resulted for some visual amenity of nearby houses and will cause for social conflict 	<ul style="list-style-type: none"> • To minimize interruption of visual quality, the solar panel should be placed in the right direction (north-south) and with no reflection of light that affects the neighbors' visual quality
Chemical impact			√	<ul style="list-style-type: none"> ▪ The potential emissions associated with solar energy could be heavy metals like lead, mercury and may cadmium emissions 	<ul style="list-style-type: none"> • Best handling of the used battery; especially lead-acid battery handling should be managed through best-practiced instruments/ tools. • Identify suppliers that have products, particularly solar panels and inverters, which comply with ISO or other industry best practice standards and follow-up and monitor the products at a regular interval. • Moreover, it's vital to raising awareness of the community on the effective use of off-grid PV systems, waste management, and old battery handling mechanisms
Occupational health and safety and Child labor;		√	√	<ul style="list-style-type: none"> ▪ Occupational health and safety issues will arise during the project implementation periods. This resulted from <ul style="list-style-type: none"> - Improper use and lack of availability of the required Personal Protective Equipment (PPE). - Slips and trips fall - Injuries, lack of protective equipment, etc. 	<ul style="list-style-type: none"> • To ensure safe handling and use of PPE and to address the occupational health and safety issue, availability and proper use of PPE by the project beneficiaries, contractors, laborer who are engaged in the installation, operation, and maintenance of the proposed subprojects shall be in place

				<ul style="list-style-type: none"> - due to lack of awareness on the proclamation and the negative impact of child labor 	<p>and regularly monitored by the project coordination unit at all phases</p> <ul style="list-style-type: none"> • Workers shall wear protective gear and be trained in safe practices • Assessment of workplace hazards. Consult and involve workers in the workplace risk assessment as well as in the choice of prevention measures • Training on type of risks and suppression measures (safe working procedures) • Maintain a fully stocked and accessible first aid kit. • All stakeholders and other participating companies are not allowed to use child labor in any stage of the subprojects. They will be aware and enforced to respect the national Proclamation No. 377/2003 states that children under the age of 14 will not be employed and young workers (14 to 18 years) shall not perform work that is likely to jeopardize their health or safety.
Community Health and Safety		√	√	<ul style="list-style-type: none"> ▪ Improper disposal of harmful hazardous wastes generated to the environment (including soil and water contamination) have a health implication on the community 	<ul style="list-style-type: none"> • Properly Handle. Store and dispose of used solar panels and batteries. • Create awareness and provide training

					<p>for the community on hazardous waste handling storage and disposal mechanism.</p> <ul style="list-style-type: none"> • Develop project-specific hazardous materials management plan and procedure
Visual Impact			√	<ul style="list-style-type: none"> ▪ In case of improper sitting of the solar panels, it may affect the neighboring community members due to sunlight reflection from the panels, particularly if the panels are angled towards windows, doors, or active service areas of the neighbors. If this is not corrected immediately, the reflection affects the neighbors and other communities living nearby for a prolonged period of the year and become a source of grievance and social conflict. 	<ul style="list-style-type: none"> • workers who install the panels should follow the standard of placing the rooftop solar panel in a north-south direction; • regular monitoring and inspection of the impacts, if any non-conformity exists • Recording and solving the grievance records
Social risk			√	<ul style="list-style-type: none"> ▪ Potentially adverse social conflict impacts emanated from the project are likely to be minimal, ▪ associated with the potential exclusion of poor and vulnerable households, including Female-Headed Households (FHHs) 	<ul style="list-style-type: none"> • Ensure that beneficiaries' eligibility criteria to be transparent and part of the SEP communication mechanism • Like environmental impacts are easily manageable through the implementation of socially acceptable best practices during the design and subproject implementation phase. • Moreover, raising awareness of the target community on the effective use off-grid PV systems for the benefit of all household members and on the expected role of the

					community/households, members in the management of the subprojects at their level is vital.
Cultural Heritage		√		<ul style="list-style-type: none"> The proposed projects should not affect any cultural heritage. During the project preparation and implementation period, it is important to ensure that the proposed subprojects do not have an effect on a place or building having aesthetic, anthropological, archaeological, architectural, cultural, historical, or social significance or special value for present and future generations. Solar home and solar lantern may not have impacts on cultural heritage. 	<ul style="list-style-type: none"> To balance different ideologies regarding solar systems and to minimize or avoid such impacts, all necessary measures should be considered at the design phase and due attention should be paid during the screening of the subprojects in consultation with relevant institutions. The relevant screening checklist should be prepared
Consumer/user health and safety		√	√	Safe installation and use of panels and batteries	<ul style="list-style-type: none"> Ensure safe installation Promote consumer education about proper and safe practices for use of equipment Proper isolation of equipment Proper signalization of the solar power system Awareness-raising on e-waste generation and management
Lack of Project Ownership	√	√	√	<ul style="list-style-type: none"> Although the proposed subprojects are integrated with the individual beneficiaries 	<ul style="list-style-type: none"> It is essential to consult stakeholders including all the community members that reside within the core project area at the outset. Awareness of the community on the benefits, negative impacts, expected roles, management of the subprojects to be implemented at the household level is vital. The level of participation of all relevant stakeholders during project

					<p>planning and designing has paramount importance as a buy in the process. It is quite evident that usually poor participation in the preparation and implementation of projects would result in absence of sustainability of projects.</p>
Gender-related risks		√	√	<ul style="list-style-type: none"> • Women are disproportionately affected by a lack of reliable access to energy • Gender-based violence • Female-headed households unable to targeted/underserved for the SHS 	<ul style="list-style-type: none"> • Women employment with solar businesses is part of fair labor practices • Gender-sensitive stakeholder engagement • Promote the active participation of women entrepreneurs/ businesses, women's organizations, civil society, and non-governmental organizations working on gender and energy issues • Increase information and awareness of women's that will allow them to enter into the SHS/ renewable energy market • Ensure that women entrepreneurs in the energy sector will have equal access to finance • Capacity building and internal training on code of conduct; SEA to be reported and dealt with as per the law and requirements • Promote education approaches to reinforce social inclusion

					<ul style="list-style-type: none"> Promote gender-sensitive stakeholder engagement measures
Demand and supply			√	<ul style="list-style-type: none"> Conflict of interest may cause due to different issues like; lack of awareness; unfair distribution of resource and PV material; unfair participation PSEs, Microfinance Institutions, etc 	<ul style="list-style-type: none"> Awareness of SHS distributors, solar companies on supply chain E&S risks Ensure the participation of relevant stakeholders, including the beneficiaries at the outset to improve the level of ownership and sustainability of the project

N.B. Further detailed impact identification, mitigation, and management measures will be studied in the project ESMF and SA which will be prepared before project implementation.

5. STAKEHOLDERS CONSULTATION

5.1. DBE STAKEHOLDERS CONSULTATION

DBE stakeholder consultation was made with some relevant Micro Finance institutions, Private companies, and individuals with the objectives to increase awareness about ADELE project and more specifically on the Solar Home System (SHS) technology; inform and get views about the project, to engage and maintain active participation and support of relevant stakeholders to be involved in various phases of the project, to identify any problems related with solar business activities with PSEs, to understand any problems, bureaucracy and others issues during using a solar home system from individuals

ADELE's stakeholder consultations were conducted under the constraints of physical consultation due to time shortness. Thus, phone interviews and email exchanges were used. For conducting stakeholder consultation at different levels, consultation guides and checklists were prepared and used.

The following table summarizes the stakeholders consulted and their main concerns, issues raised during the preparation of ADELE E&S Risk Assessment exercise between December 1 and 3, 2020.

5.2. MoWIE STAKEHOLDERS CONSULTATION

ADELE's stakeholder consultations were conducted under the constraints of physical consultation due to the COVID 19 situation and unrest in some parts of the country and travel restrictions. Thus, phone interviews and email exchanges were used. For conducting stakeholder consultation at different levels, consultation guides and checklists were prepared and used.

The stakeholder consultation was made with relevant Federal & Regional institutions and Private companies with the objectives to increase awareness about ADELE project and more specifically on the Solar Home System (SHS) technology; inform and get views about the project, to engage and maintain active participation and support of relevant stakeholders to be involved in various phases of the project.

At the federal level, stakeholder consultations were conducted with Ethiopian Forest Climate Change Commission (EFCCC) and Private company representatives (Ethio-Resource Group); at the regional level, six (6) regional bureaus (Afar, Benishangul Gumez, Gambella, Amhara, SNNPRS, and Somali Regions).

The following table summarizes the stakeholders consulted and their main concerns, issues raised during the preparation of ADELE E&S Risk Assessment exercise between November 19 to 25, 2020.

Table 2A: DBE Stakeholders consulted, their main concerns and issues raised during the preparation of ADELE E&S Risk Assessment

Institution	Administ ration levels	Consulted Stakeholders and Experts	Comments and Views Forwarded by Consultations Participants
1. Amhara Credit and Saving Institution (ACSI) S.C	Higher	Ato Azazh, Operation Manager	<p>The consulted stakeholders explained that they have prior experience in the area, particularly in addressing solar system/especially SHS for their customers, mainly of farmers participating under the World Bank-supported ENREP project (Off-grid Renewable Energy subcomponent). They have a consensus that the introduction of the new project ADELE would benefit participating households and financial institutions through solar energy systems like solar home systems and solar lanterns.</p> <p>Based on their experiences, participants explained the main positive impacts of solar energy on the natural environment, socio-economic and community interaction. Amongst the beneficial impacts, they mentioned reducing deforestation and forest degradation in the country. They also added that the technologies have significant positive impacts on society's health, education, communication, etc., especially for women and children, particularly in areas far from the national grid system.</p> <p>Private sectors view off-grid electric systems into three (a) home systems, (b) mini-grids, and (c) standalone applications. Private</p>
2. Omo Oromia Credit and Saving Organization S.c (OCSCO)		Ato Zerihun Kuma, Higher Expert	
3. Eshet MFI			
4. Benishangul Gumuz Micro Finance S.C	Regional	Ato Alemayehu, Higher Expert	
5. Bussa BuGonofa Micro Finance S.C		Ato Mohammed, Higher Experts	
6. Private company representative (VERA PLC, Universal PLC, and Bicad Consulting PLC).	Federal	Dr Tekeste, General manager from VERA PLC; Ato Fekadu, Manager from Universal PLC; Ato Bahiru from Bicad Consulting.	

<p>7. Individuals (Ambo woreda and Toke Kutaye Woreda)</p>		<p>End users (Ato Regasa Bekata, W/ro Ayantu Birru, W/ro Desta Eshetu, Ato Lata Kabata and Ato Alamayehu Itana from Ambo Woreda and Ato Workneh Kicha, Ato Alemu Dida from Toke Kutaye Woreda Lencha kebele)</p>	<p>sectors' involvement in solar system businesses, such as solar home systems and solar lanterns would facilitate the importation and distribution of the technologies through good interlock and integrated relations with governmental and non-governmental institutions.</p> <p>Universal PLC and Bicad PLC reported their relevant experience in importing and distributing quality solar technologies from the quality global company. They also acknowledged working relationships with DBE, MoWIE, and other stakeholders in promoting solar system experiences within the targeted communities. These private companies expressed their keenness to participate and support the new project ADELE in the development of renewable technologies (SHS) in the Ethiopian community.</p> <p>Furthermore, the companies have strongly encouraged the solar system due to its zero-carbon emission energy that could contribute to global carbon emission reduction.</p> <p>On the other hand, consulted private companies have raised their concerns reflecting that there are certain unnecessary and complicated bureaucratic processes within the different governmental institutions in the process of importing and distributing solar technologies in the country, to mention one is a business process in the Ethiopian Revenue and Customs offices. If such bottlenecks are resolved, remarkable progress would be achieved in the off-grid electric distribution in Ethiopia, including the proposed ADELE project. Some participants envisioned their optimism for the abolishing of such hurdles in the solar business during ADELE implementation period.</p>
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		<p>The individuals participated in the consultations process and who are familiar with solar systems, such as solar home system have pointed out that the introduction of Solar systems has contributed a great role on their economic, social and community interactions. It also had an enormous advantage on their Children's education, family health because the technologies have prevented indoor air pollution while also contributed to environmental conservation, reducing pressure on forest and natural resources.</p> <p>Consultation participant from Toke Kutaye woreda Lencha kebele noted that he is familiar with the solar home system since 2017. He commended the technology as reducing household expenditure used to buy kerosene for lighting; thus, improved family economic status and supported children's education. He also pointed out that the use of kerosene in the household had a high health impact on members of the family. Before using the solar home system, the kerosene smoke had caused respiratory diseases to his family members. Therefore, the use of SHS has profoundly contributed to improvement in terms of the economic and health conditions of his family.</p> <p>Another female consultation participant from Ambo Woreda, Wochan Kebele confirmed that her experience with solar lantern having three bulbs helped her two daughters (attending grade 3 and 5) to do home-works and study at night time more easily than before using the solar lantern. It also makes her listening FM Radio without extra expenditure for battery cells.</p> <p>Other participants from Toke Kutaye woreda Lencha kebele also</p>
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		<p>confirmed that solar system is helping their households with lighting, mobile charging, and access to media (close to information) via radios and television, it is also a main important source of health and safety for their families and community. Women, during the consultations, noted that productive time is saved that otherwise was being used for firewood collection, reduce money for kerosene, and improve learning and teaching system and health of the community.</p> <p>Consultation participants indicated that increase access to clean and modern energy through the introduction of solar systems has played a significant role especially in the remote and inaccessible parts of the country. The technology possesses minimum negative impacts that can be easily manageable compared to other technologies.</p> <p>The above individuals pointed out their concerns for implementers and all concerned bodies, Enterprises, micro technicians, Micro Finances, woreda energy offices to bridge the gap into access to loan, maintenance, and replacement constraints. The supply of equipment to be used for maintenance does not meet the demand of the users' needs. The maintenance of a functional solar system should be done within a short period. So, the issues may need specific solutions by all concerned stakeholders</p> <p>Generally, the individuals have pointed out the following important issues during their discussion.</p> <ul style="list-style-type: none"> • There is a gap of awareness with farmers regarding solar systems. The Woreda Water, Mines, and Energy office, DBE, and all other stakeholders should have to play a key role in promotion and awareness-raising at the country level through different media and communication mechanisms.
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			<ul style="list-style-type: none"> • There is also a failure to meet the demands for solar lanterns/solar home systems from licensed suppliers. • Illegal trading of equipment used for solar energy maintenance is very wide with low-quality materials. • The absence of follow-up and support after installation is also a big issue that needs special attention. • Regarding adverse effects that will be resulted from old batteries, solar panels, and other materials, there shall be awareness creation programs from relevant stakeholders, health extension workers, etc.
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Table 1 b: MoWIE Stakeholders consulted, their main concerns and issues raised during the preparation of ADELE E&S Risk Assessment

Institution	Administration levels	Consulted Stakeholders and Experts	Comments and Views Forwarded by Consultations Participants
1. Environment, Forest and Climate Change commission	Federal	Environment, Forest and Climate Change Commission (Dr. Ayele Agena; Director for Legal Affairs Directorate)	Generally, the consulted stakeholders agree that the introduction of distributed energy systems especially solar home systems has benefited societies and businesses in the country that are far from the national grid. Also, such technologies have significant benefits both for societies and the environment. Private sectors view off-grid electric systems into three (a) home systems, (b) mini-grids, and (c) standalone applications (e.g. water pumps for potable water supply or irrigation, for agro-processing. Their involvement in the Solar home system and the need of the society is very high and encouraging, however, their involvement in mini-grids and standalone system installation is limited due to
2. Regional Energy Bureaus	Regional	Somali Region Water, Irrigation and Energy Agency (Mohamud Mohammed : Somali Region Energy Expert)	
		Ato Yesuf Mubarek : Benshangul Gumz Alternative Energy Team Leader	
		Gambela region Mines and Energy Agency, (Mrs. Okacha Chan: Director)	
		region Mines and Energy Agency (Ato Mulugeta Feleke: SNNP Alternative Energy	

		study and installation expert)	<p>capacity, availability of foreign exchange, clear data on the needs by government agencies, taxation, market information. If such issues are resolved for private sectors, remarkable progress will be achieved in off-grid electric distribution.</p> <p>Regional participants indicated that in previous years SHS has mainly been introduced by MoWIE, GIZ, and private importers in their regions and there is a high demand for the systems which is increasing from time to time.</p> <p>The participants pointed out that the introduction of Solar systems has contributed to environmental protection by reducing pressure on forest resources and minimizing the use of kerosene for lighting that has a high health impact on the users. Besides, the users also benefited from clean lighting, mobile charging, and access to media (close to information) via radios and television. Also, productive time is saved that otherwise was being used for firewood collection, reduce money for kerosene, improve the learning and teaching system and health of the community. On the other hand, there is a concern about the management of un-functional Solar system components.</p> <p>Regarding Electronic waste from the Solar systems at the federal level the environmental policy proclamations and legislative instruments support the proper handling and management of electronic waste to collect, Store, Recycle and dispose of. There are recently certified private companies that collect, Store, Recycle and dispose of E-Wastes and other hazardous wastes according to the</p>
		Amhara Region water irrigation and energy bureau (Ato Tagele Admasu: Electrification director)	
		Dire Dawa Mines and Energy Office, (Ato Getu: Alternative Energy development Team Leader)	
		Ato Hyelom : Afar Region Water Irrigation and energy Agency, Energy Analyst	
3. Ethio- Resource Group (Private Solar Company)	Federal	<p>Ethio Resource Group (ERG) – An energy consulting and service company</p> <p>(Getnet Tesfaye (Director, Consulting))</p>	

			<p>standard. At the regional level, as discussed with the stakeholders they pointed out such arrangement is not set out in place and the malfunctioned systems are currently at the hand of the users awaiting collection or maintenance that needs high attention.</p> <p>Regarding the availability of maintenance services and spare parts, the regions indicated that previously there were small enterprises that have been trained to give maintenance service currently only a few of them are functional that need refreshment training for proper maintenance of the solar system. There is also a shortage of spare parts. Moreover, the participants raised their concern that the supply does not meet the demand of the community.</p> <p>Overall, the views of the participants indicated to increase access to clean and modern energy the introduction of solar systems has played a significant role especially in the remote and inaccessible parts of the country. The technology possesses minimum negative impacts that are well manageable compared to others.</p>
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4. GRIEVANCE REDRESS MECHANISM (GRM)

The GRM describes the process by which people affected by the SHS business can bring their grievances to MFIs, PSEs, and other Govt 'Institutions for consideration and redress through DBE/MoWIE. It also states who will receive public/user's grievances, how and by whom will grievances be resolved, and how to respond be communicated back to the complainant.

Solar business especially SHS Service Companies providing services to households in deep-rural localities will set up a project-specific grievance redress mechanism (GRM) for people to report concerns or complaints if they feel unfairly treated or are affected by any of the activities.

For companies involved in the distribution of SHS equipment will have to indicate in their transactions with users, the issues of warranty, what contact numbers to call in case they have challenges with the system or payments.

The mechanism will amongst other things: (a) provide information about project (subcomponent 3.1 and 3.2) implementation; (b) provide a forum for resolving grievances and disputes at the lowest level;(c) resolve disputes relatively quickly before they escalate to an unmanageable level;(d) facilitate effective communication between the project and affected persons; (e) win the trust and confidence of project beneficiaries and stakeholders and create productive relationships between the parties. The mechanism is envisaged to be at multiple levels and will address such complaints, including logging, tracking, and resolving grievances promptly during and after the implementation of the subcomponent implemented by DBE/MoWIE.

The company will have a dedicated person to be responsible for setting up and maintaining the GRM that allows the general public in the project area and affected communities or individuals to file complaints and to receive responses promptly. The system will also record and consolidate complaints and their follow-up. This system will be designed for handling complaints perceived to be generated by the project or its personnel.

The GRM will be communicated to all stakeholders in the course of its community engagement activities and will make publicly available a record documenting the responses to all grievances received. The GRM will remain available throughout the project cycle. It is expected to address concerns promptly and effectively, in a transparent manner that is culturally appropriate and readily accessible to all project-affected parties, at no cost and without retribution. It also allows for anonymous complaints to be raised and addressed. The mechanism shall also allow a formal court system as last resort to aggrieved person/s.

Proposed Grievance Redress Mechanism for the ADELE Project

The Grievance Redress committee will be established at Woreda and *Kebele* levels. The committee will constitute of three to five members varying at *Kebele* and woreda levels. The Woreda Committee will be drawn from the different Offices including from office of Women, Children, and Youth Affairs and the *Kebele* GRM committee members will be drawn from *Kebele* Cabinet members and representatives of PAPs. Special considerations will be given for women and persons with disabilities in the composition of the committee. Refer ADELE RF and SEP for detailed functions of Woreda and *Kebele* GRM committees.

Both Woreda and *Kebele* GRM committees will follow the following procedures:

1. Registration of grievance: an aggrieved party registers a grievance at the *Kebele* office or with a project liaison officer using "Grievance Registration Form" and within seven days the committee meeting is convened by the chair. The secretary of the committee will log in the Grievance into the Grievance Register and the aggrieved person is informed of the scheduled hearing. A maximum of 7 days shall be given between the date the case is recorded and the date when the hearing is held;

2. The committee will be meeting every week to deal with emerging cases. At these meetings, hearings with the affected persons and related witnesses will be held;
3. The committee will communicate its judgment to the affected persons within 7 days;
4. If the PAPs dissatisfy with the *Kebele* GRM committee judgment, the committee chairperson deliver the decision to Woreda within 7 days;
5. If the PAP is still not satisfied with the judgment of Woreda GRM committee, he or she will have the right to move his or her case to the next formal court.

Grievance Resolution Process

The grievance procedure will be simple and administered as far as possible at the local levels to facilitate access, flexibility and ensure transparency. All the grievances will be managed through the Grievance Redress Committees. Complaints will be received in writing or orally and will be filled in a Grievance Registration Form by the committee.

The Steps for grievance redress are as follows:

First step: Registration of the grievances with the Grievance Redress Committee at *Kebele* level. The committee will seek to eliminate nuisance claims and engage with legitimate claimants endeavoring to reconcile the aggrieved PAP(s) concern or depending upon the issue to negotiate for a resolution. Where the complaint and grievance cannot be resolved by the committee, the complaint is referred to the Woreda GRM Committee.

Second step: The Woreda GRM committee receives a grievance forwarded by the *Kebele* GRM committee concerning the aggrieved PAP(s) to negotiate and forward possible resolution. The Woreda GRM Committee having heard the concern, the meeting will respond to the aggrieved PAP(s) within one week of the date of the meeting.

Third step: In instances where ADELE project GRM is unable to resolve the matter, the same will be referred to the formal court system for settlement. The aggrieved PAP(s) have the right to pursue the matter up to the Supreme Court if necessary.

The Woreda GRM committee will give all the necessary documents and information to the aggrieved PAPs, who are dissatisfied with the committee's decision.

All the above-stated measures will be undertaken to ensure that the grievances are solved amicably between the concerned parties and the courts will be the last resort. Efficiency in solving the grievances will be of paramount importance.

The steps described above are summarized in the Figure below.

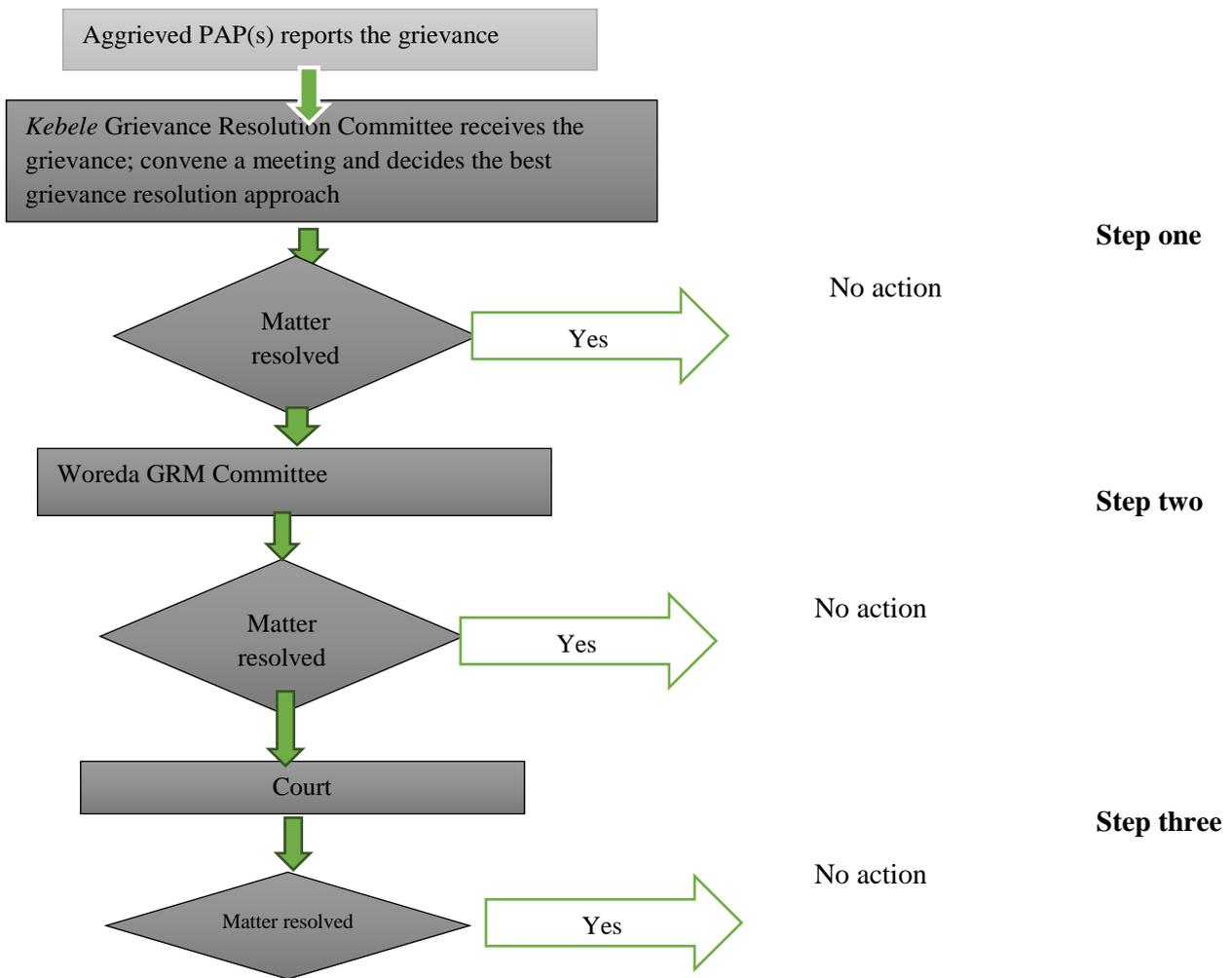


Figure: Proposed Procedures for ADELE Grievance Redress Mechanism

N.B. For detailed information on the GRM, refer to the SEP and RF prepared for ADELE project.

Annex 1. Environmental, Social Action Plan								
No	Action Items	Activities	Progress indicator	Level of application	Responsibility	Schedule/ Time Frame	Output	Budget
Environmental, Social and Safety Management System (ESMS) - MoWIE and DBE								
1	Establish and implement an Environmental, Social and Safety Management System (ESMS)	Prepare ToR for ESMS Capacity Assessment at different levels of the proposed project implementation (DBE and MoWIE). Prepare and implement an ESMS both for MoWIE AND DBE	1. ToR Prepared, reviewed, and cleared by the Bank 2. Consultant/s recruited for the ESMS Capacity Assessment 3. ESMS Capacity Assessment Report produced 4. Establish an ESMS at MoWIE and DBE based on the ESMS Capacity Assessment Report 5. Prepare ToRs, other ESRM tools, and guidelines to identify environmental and social safeguards documentation requirements	At all levels (National, Regional, and woreda)	MoWIE and DBE	MoWIE and DBE ESMSs established and functioning before disbursement to components 3.1 and 3.2 respectively. The MoWIE and DBE ESMSs will be strengthened throughout the project implementation.	ESMS established and implemented	The cost will be determined based on the capacity assessment finding and recommendations
2	Capacity Building: Maintain positions on Environment, social risk management, and safety at national and regional, and other levels as required.	Both MoWIE and DBE will hire Environmental and social safeguards specialists and Occupational Health and Safety (OHS) at the national level. Each of the regional DBE, MoWIE offices will recruit/be appointed and maintained as required.	1. Minimum one Environment and Social Safeguards Specialist and one OHS Specialist is maintained at the national level 2. Region: based on the capacity gap assessment recommendation 3. Other levels: based on the capacity gap assessment recommendation	National Regional Other Levels	MoWIE & DBE	During project implementation (starting effectiveness & before disbursement for subproject activities)	Staff in place	
3	Performance review report and Environment, social, and safety audit	<ul style="list-style-type: none"> Bi-annual implementation performance report Prepare ToR, get review and Clearance from the Bank Recruit independent ENS auditor firm/consultant 	1) Bi-annual implementation performance report 2) Shared ENS audit/performance review ToR 3) Recruit independent consultant/ firm to conduct ENS performance review/audit 4) Submit annual ENS	At all levels (National and Regional levels)	MoWIE & DBE	1- Bi-annual 2- Annually, before the end of the first quarter	1-bi-annual performance report 2-Annual E&S risk management and safety Audit Report	

Annex 1. Environmental, Social Action Plan								
No	Action Items	Activities	Progress indicator	Level of application	Responsibility	Schedule/ Time Frame	Output	Budget
		<ul style="list-style-type: none"> Produce an ENS audit report 	performance audit/review report					
4	<p>Environmental, Health, and Safety Articles included in all contracts related to subcomponent 3.1 (MoWIE) and 3.2 (DBE)</p> <p>Use of safety protection material and tools; Personal Protective Equipment (PPE)</p>	<ul style="list-style-type: none"> Detail Environmental, Health, and Safety considerations/articles will be considered in all program implementation and the contract agreements, for all contracts procured. Safety materials and tools and Personal Protective Equipment (PPE) will be available during the program implementation period 	<ul style="list-style-type: none"> Percentage (100%) of contract agreement with full consideration of health and safety regulation or articles Percentage (0%) of incidents due to lack of PPE and safety materials and tools 	At all levels (National, Regional, and woreda levels)	MoWIE and DBE	During Project implementation	<p>(a)All contract agreement with EHS articles</p> <p>(b) Annual ESMS performance audit include verification on sample contracts</p> <p>(c) Safety notification report</p>	
5	Establish/Strengthen a grievance redress system (GRM)	GRM committee will be established to receive, review and address complaints in line with loss project-related concerns, feedback, and dissatisfaction with the services.	<ol style="list-style-type: none"> Established GRM committee GRM guideline prepared Disaggregated report on GRM cases 	At all levels (Regional, and woreda level)	MoWIE and DBE	<ol style="list-style-type: none"> First year of the project First year of the project Throughout the project 	<p>Developed and updated GRM guidelines</p> <p>Report on GRM process</p>	
6	Ensure a functioning stakeholder engagement and consultation	<p>Develop/adopt a SEP commensurate with the subcomponent 3.1 (MoWIE) and 3.2 (DBE) to engage relevant stakeholders, document the consultation outcomes, use the feedback to improve project implementation.</p> <p>Conduct pieces of training and briefings for</p>	<p>(a) MoWIE and DBE adopted a SEP, (b) minutes of stakeholder consultation used to improve project implementation; # of awareness-raising sessions on social, environmental, and safety impact of the sub-projects, with sex-disaggregated by participants.</p> <p>Minutes of meetings documenting views, concerns,</p>	At all levels of the project implementation	DBE, MoWIE	(a) MoWIE and DBE adopt a SEP before project effectiveness, (b) minutes of stakeholders documented after each stakeholder consultation.	<ol style="list-style-type: none"> SEP adopted by MoWIE and DBE. Reports documenting stakeholder meetings Briefing note 	

Annex 1. Environmental, Social Action Plan								
No	Action Items	Activities	Progress indicator	Level of application	Responsibility	Schedule/ Time Frame	Output	Budget
		communities on the sub-projects social, environmental, and safety.	and feedback on the projects.				3. Training materials	
7	Ensure the MoWIE and DBE Annual Work Plan and Budget has an environmental and social chapter or a standalone plan	Environmental and social activities embedded or as a standalone in the MoWIE and DBE annual work plan and budget	A standalone environmental and social annual work plan and budget prepared MoWIE and DBE Environmental and social annual work plan and budget reviewed by WB environmental and Social Specialists and no objection issued by the World Bank Task Team Leaders	National	MoWIE and DBE	Before Every year	Annual environmental and social work plan and budget operationalized	

Annex 2. Sample Sub Project Screening form

Sample Sub Project Screening form				
No.	Type of Impact	Answer		Remarks
		Yes	No	
	Name of Client:			
	Name of Project (or sub-project): Incentivizing Market Expansion into deep-rural areas and Innovation			
	City/Town- Rural areas of Ethiopia			
	A brief technical description of the sub-project-):			
I	Environmental & Social Policy, Legislation, and Standards			
1.1	Legal context and compliance <ul style="list-style-type: none"> ▪ Is the project inconsistent with national environmental and social policy and legislative frameworks? 			
1.2	World Bank Environmental and Social Standards <ul style="list-style-type: none"> ▪ Is the project/activity likely to be inconsistent with World Bank Environmental and Social Standards? 			
1.4	Exclusion List <ul style="list-style-type: none"> ▪ Is the project in the lists described in the exclusion list? 			
II	Assessment and Management of Environmental and Social Risks and Impacts;			
2.1	- Does the subcomponent develop an environmental and social instrument?			
2.2	- Does the project design incorporate environmental and social issues?			
III	Occupational Health and Safety			
3.1	- Would the project have an impact (direct /indirect) on occupational and public health and safety (availability of fire protection equipment, personal protective equipment, sufficient lighting, and sufficient workspace, availability of sanitation and hygiene facilities)?			
3.2	- Does the Project employ persons less than 15 years of			

Sample Sub Project Screening form				
No.	Type of Impact	Answer		Remarks
		Yes	No	
	age?			
3.3	- Does the project employ young workers which on account of its nature or due to the condition in which it is carried out, endangers the life or health of the young workers performing it?			
3.4	- Are there risks of forced labor in the operation of the project?			
3.5	- Has DBE developed GBV – SEA/SH prevention and response action plan?			
IV	Resource Efficiency and Pollution Prevention			
	- Would the sub-projects have an impact on air, soil, water through emissions or similar?			
	- Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or trans-boundary impacts?			
	- Would the proposed subproject result in the generation of waste that cannot be recovered, reused, or disposed of in an environmentally and socially sound manner?			
	- Does the subproject bring contamination of soil and water due to improper storage and handling of substances?			
	- Does the subproject include activities that require significant consumption of raw materials, energy, and/or water?			
V	Community Health and Safety			
	- Does the subproject pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?			

VI	Land Acquisition, Restrictions on Land Use and Involuntary Resettlement;			
	<ul style="list-style-type: none"> ▪ Will the sub-project activities reduce other people's access to their economic resources, like land, pasture, water, public services, or other resources that they depend on? 			
	<ul style="list-style-type: none"> ▪ Will the subproject result in resettlement of individuals or families or require the acquisition of land (public or private, temporarily or permanently) for its development? 			
	<ul style="list-style-type: none"> ▪ Will the subproject result in the temporary or permanent loss of crops, fruit trees, and household infra-structure (such as granaries, outside toilets, and kitchens, etc.)? 			
VII	Biodiversity Conservation and Sustainable Management of Living Natural Resources;			
	<ul style="list-style-type: none"> - Damage to or clearing of vegetation communities (e.g. coastal vegetation, established forest, shrubland, bushes upland forest, or Wetland)? 			
	<ul style="list-style-type: none"> - Does the project site involve environmentally sensitive areas or sites disturbed 			
	<ul style="list-style-type: none"> - Is the sub-project site damage to or destruction of habitat for animal communities on land? 			
VIII	Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities;			
	<ul style="list-style-type: none"> - Does the project site is located in areas wherein designated Underserved Communities?³ area? 			
X	Cultural Heritage			
	<ul style="list-style-type: none"> - Is the subproject affect/ disturb cultural or religious sites? 			
XI	Financial Intermediaries			
	<ul style="list-style-type: none"> - Does the subcomponent develop ESMS which explains its procedures for identifying, assessing, and managing environmental and social risks of financial transactions? 			
	<ul style="list-style-type: none"> - If YES, Does the ESMS outlines and institutes a set of policies, procedures, tools, and internal capacity to identify and manage its exposure to the environmental 			

³ Communities in Gambella, Afar, Somali, Benishangul, and parts of Oromia and SNNPR Regional States will fulfill the criteria by which ESS7 defines Historically Underserved Communities.

	and social risks of its clients/investors.			
XII	Stakeholder Engagement			
	Does the Subproject involve stakeholders?			
	Does the sub-projects have a stakeholder's engagement plan?			
The decision on eligibility and next steps The Project meets the eligibility criteria Yes <input type="checkbox"/> No <input type="checkbox"/>		If no, state reasons:		
If the project meets the eligibility criteria, suggested next steps:				
Screened By: Name _____ Organization _____ Title: _____ Date: _____ Signature: _____		Checked By: Name _____ Title: _____ Date: _____ Signature: _____		Approved By: Name: _____ Title: _____ Date: _____ Signature: _____