

**INTEGRATED SAFEGUARDS DATASHEET
APPRAISAL STAGE**

I. Basic Information

Date prepared/updated: 07/17/2014

Report No.: AC7133

1. Basic Project Data

Original Project ID: P129408	Original Project Name: Regional Pastoral Livelihoods Resilience Project	
Country: Africa	Project ID: P150006	
Project Name: Regional Pastoral Livelihoods Resilience		
Task Team Leader: Stephane Forman		
Estimated Appraisal Date: June 30, 2014	Estimated Board Date: October 21, 2014	
Managing Unit: GFADR	Lending Instrument: Investment Project Financing	
Sector: Animal production (60%);Agricultural extension and research (15%);Public administration- Agriculture, fishing and forestry (15%);Agro-industry, marketing, and trade (10%)		
Theme: Other rural development (45%);Rural services and infrastructure (8%);Rural markets (25%);Regional integration (9%);Natural disaster management (13%)		
IBRD Amount (US\$m.):	0	
IDA Amount (US\$m.):	75	
GEF Amount (US\$m.):	0	
PCF Amount (US\$m.):	0	
Other financing amounts by source:		
<u>BORROWER/RECIPIENT</u>		0.00
		0.00
Environmental Category: B - Partial Assessment		
Simplified Processing	Simple <input type="checkbox"/>	Repeater <input type="checkbox"/>
Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>

2. Project Objectives

To enhance livelihood resilience of pastoral and agro-pastoral communities in cross-border drought prone areas of Selected Countries and improve the capacity of the Selected Countries' governments to respond promptly and effectively to an Eligible Crisis or Emergency.

3. Project Description

The five components of the first phase of the RPLRP (Natural Resources Management, Market Access and Trade, Livelihood Support, Pastoral Risk Management, and Project Management and Institutional Support) remain unchanged. The additional financing will carry out in Ethiopia the same set of activities already under implementation in Kenya and Uganda with some additions; and, activities implemented by IGAD under the IDA Grant received in phase 1 will be expanded to cover Ethiopia.

The activities will increase the outputs delivered by RPLRP.

- Under the subcomponent 1.1 (Water Resources Development), the new financing will support the design, construction, and/or rehabilitation of additional water resources access facilities within Ethiopia (ponds with capacity above 10,000m³, community water catchments, small sand dams, boreholes, etc.) strategically placed along trans-boundary livestock movement routes.
- Under the subcomponent 1.2 (Sustainable Land Management in pastoral and agro-pastoral areas), the AF will add 1,060 ha. in Ethiopia to the 3,420 ha. in Kenya and Uganda with rangelands rehabilitation and management improvement, including area closure, control of invasive plants, reseeded of degraded areas with forage grasses, dry land forest development, and physical and biological soil conservation (eye-row, bunds, micro-basin, check-dam, etc.).
- Under the subcomponent 2.1 (Market Support Infrastructure and Information Systems), the RPLRP in Ethiopia will add 20 primary market infrastructure (such as holding/auction grounds, border check-points, and one satellite laboratory) and strengthen 12 existing market centers along trade routes and build capacity on market management including livestock certification.
- Under the subcomponent 2.2 (Livestock Value-Chain Support and Improving Livestock Mobility and Trade), the RPLRP will seek to improve trade regulation systems affecting livestock trade from the Ethiopian ASALs, strengthen selected livestock-related cross-border value chains related to the Ethiopian ASALs, and introduce two additional pilots in livestock identification and traceability.
- Under the subcomponent 3.1 (Livestock Production and Health to enhance animal health services), RPLRP will strengthen national veterinary systems and laboratory networks, promote the production of vaccines for selected trans-boundary livestock diseases, identify and help address gaps in private veterinary service provision and, where applicable, support Community Animal Health Worker (CAHW) networks through training, supply of equipment, and assistance to link them with the public and private veterinary service providers and drug suppliers as well as through a revolving fund.
- Under the subcomponent 3.2 (Food and Feed Production), the RPLRP will promote increased food and feed production among agro-pastoralists in the Ethiopian ASALs through the introduction of drought tolerant food crop and fodder species in agro-pastoral areas and expansion of small scale irrigation.
- Under the subcomponent 3.3 (Livelihoods Diversification), the RPLRP, will promote viable livelihoods for pastoralist drop outs i Ethiopia and encourage the emergence of cooperatives around alternative livelihoods, providing financial support through a revolving fund.
- Under the sub-component 4.1, 4.2 and 4.3 RPLRP will enhance the capacity of Ethiopian actors, in addition to stakeholders in Kenya and Uganda, to respond to drought related risks faced by pastoralists in a timely and appropriate manner.
- Under the sub-component 5.1 and 5.2, RPLRP will enhance the capacity of relevant institutions to deliver the project in Ethiopia

4. Project Location and salient physical characteristics relevant to the safeguard analysis

The AF will target 21 woredas (districts) of the Oromiya, the Southern Nations Nationalities and Peoples (SNNPR) National Regional States bordering Kenya, as well as of Somali and Afar National Regional States in Eastern Ethiopia.

The project will finance small infrastructure activities including: designing, building and rehabilitating water resources access facilities (ponds, boreholes, community water catchments, establishing small-scale irrigation schemes), as well as identifying and promoting appropriate water harvesting technologies; development and rehabilitation of pasture land; construction/rehabilitation of livestock markets, border checkpoints, holding/auction grounds, slaughter facilities, rehabilitation of veterinary laboratories; building and rehabilitation of storage and post-harvest facilities adapted to pastoral conditions and agricultural production and region-wide harmonized vaccination campaigns for priority diseases. The environmental and social mitigation measures will be undertaken to preclude any safeguards risk to humans and environment. More importantly, the participating woredas were selected with the objective of targeting particular areas and people to have the greatest geographical and social impact. Criteria used for woredas selection included :(i) vulnerability to recurrent droughts, (ii) cross-border/trans-boundary resource-based conflicts prone areas, (iii) trans-boundary livestock trade routes; and (iv) clustering around common geographic, geo-political or socio-cultural issues.

5. Environmental and Social Safeguards Specialists

Ms Nyambura Githagui (GSURR)

Mr Edward Felix Dwumfour (GENDR)

Mr Chukwudi H. Okafor (GSURR)

6. Safeguard Policies Triggered	Yes	No
Environmental Assessment (OP/BP 4.01)	X	
Natural Habitats (OP/BP 4.04)	X	
Forests (OP/BP 4.36)		X
Pest Management (OP 4.09)	X	
Physical Cultural Resources (OP/BP 4.11)	X	
Indigenous Peoples (OP/BP 4.10)	X	
Involuntary Resettlement (OP/BP 4.12)	X	
Safety of Dams (OP/BP 4.37)		X
Projects on International Waterways (OP/BP 7.50)	X	
Projects in Disputed Areas (OP/BP 7.60)		X

II. Key Safeguard Policy Issues and Their Management

A. Summary of Key Safeguard Issues

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts: As for the parent project, overall, the AF will have significant socio-economic benefits to Ethiopian communities in the project area and will promote sustainable use of resources in the target project areas. The AF is classified as Environment Assessment (EA) Category B because the anticipated environmental impacts are not major, mostly site specific and can easily be avoided and/or managed. RPLRP AF triggers OP 4.01 – Environmental Assessment, as the program will support local and community investments, including some with trans-border dimensions, which might have environmental and social impacts.

The project triggers the following Policies: Environmental Assessment (OP 4.01), Natural Habitats (OP 4.04), Pest Management (OP 4.09), Physical Cultural Resources (OP 4.11), Involuntary Resettlement (OP 4.12), and Project on International Waterways (OP 7.50). The project takes a framework approach to safeguards, since the specific activities have not been identified during the project preparation. However, as activities (including their scope and nature) become clearly defined and their specific spatial dimensions are known, the project will undertake supplemental safeguard studies (e.g., ESIA, RAP, IPMP, etc.) that may be deemed relevant and appropriate, in accordance with the World Bank safeguard policies and guidelines.

The important environmental issues are associated with among others the following proposed project activities: designing, building and rehabilitating water resources access facilities (ponds, small sand dams, boreholes, community water catchments, establishing small-scale irrigation schemes), as well as identifying and promoting appropriate water harvesting technologies; development and rehabilitation of pasture land; construction/rehabilitation of livestock markets, border checkpoints, holding/auction grounds, slaughter facilities, rehabilitation of veterinary laboratories; building and rehabilitation of storage and post-harvest facilities adapted to pastoral conditions and agricultural production and region-wide harmonized vaccination campaigns for priority diseases such as PPR, FMD, CBPP, CCPP, RVF and Newcastle Disease (ND). RPLRP AF is expected to have a positive impact on environment by enhancing the capacities of relevant stakeholders to sustainably manage natural resources, especially rangelands and water, and by rehabilitating or developing water and pasture related infrastructure and ecosystems.

The project is expected to benefit many communities that live on the margins through extending social benefits that go directly to improving their livelihoods. Their participation is however very critical particularly among those that are considered as vulnerable and underserved. The RPLRP AF demand driven approach (so-called Community Level Participatory Planning- CLPP in Ethiopia) will therefore enable priority setting by communities and responses to communities' needs.

Activities planned under the RPLR Project AF will vary in scale. Consequently, the significance of the direct negative environmental and social impacts is likely to be moderate. The RPLRP country level implementation team will oversee the design of subprojects on a national scale and the appropriate environmental assessment process, including mitigation measures and coordination among the relevant stakeholders during subproject preparation and implementation.

In addition to the policies triggered by the parent project, the AF triggers OP 7.50 because it will finance small-scale irrigation investments in Ethiopia along international waterways. Riparian notifications were sent by the World Bank to the governments of Kenya, Djibouti, Sudan, South Sudan, Egypt and Somalia on behalf of the GoE in December 2013. Bank staff have assessed that the Project will not cause appreciable harm to these riparian countries. The Government of Egypt responded by a letter dated January 27, 2014, giving its "no objection" for the project preparation and implementation. No other comments have been received from any of the other notified countries.

The project intervention is not envisaged to lead to acquisition of private land or denial and/or restriction of access to communal natural resources. However, for precautionary measures, a Resettlement Policy Framework (RPF) has been prepared, consulted upon and disclosed to ensure that appropriate measures are in place to address any issues which might arise from restriction of access to communal natural resources under the Project and the client will prepare a Resettlement Action Plan (RAP) if needed. Further, based on the screening conducted by the World Bank, the majority of the target population meet the criteria for OP4.10 and, therefore, the project has triggered OP/BP 4.10 and an enhanced social assessment (SA) was conducted to complement the RPF and to identify social issues. Key stakeholders were consulted upon in the Woredas, Kebeles and communities, including identified vulnerable and undeserved groups to seek their broad support for the project. The findings of the enhanced social assessment and extensive consultations, including measures to ensure that the project involves and benefits appropriately the various groups has been fully reflected in the project design.

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:

No long-term impacts are anticipated. Generally, the AF is expected to have positive impacts on the environment by enhancing the capacities of relevant Ethiopian stakeholders to sustainably manage natural resources, especially rangelands and water, and by rehabilitating or developing water and pasture related infrastructure and ecosystems.

Furthermore, RPLRP AF activities will contribute to building the resilience of pastoral and agro-pastoral communities in the ASALs regions of Ethiopia by addressing some of the factors that undermine households' resilience through positively impacting on livestock assets, incomes and diversifying income sources.

Indirect negative impacts may include increased use of pesticides (Veterinary drugs) in the project areas of intervention. Such impacts will be mitigated by implementation of integrated pest management solutions presented in the project ESMF and IPMF, and other supplemental safeguard instruments.

3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.

Each subproject, which would require development of an ESIA, RAP, IPMP, etc., will analyze the project alternatives as part of subproject preparation.

4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described. The project Ethiopian team developed a set of safeguards instruments to guide the preparation of mitigation measures for sub-projects once they are identified. These are ESMF and IPMF, RPF and a comprehensive Social Assessment.

Environmental safeguards: To satisfy the requirements of OP 4.01, Ethiopia has prepared an Environmental and Social Management Framework (ESMF). It describes the process of environmental and social assessment, which will help the implementing agencies identify, assess and avoid or mitigate the potential negative impacts of the proposed interventions. The ESMF defines screening mechanisms and monitoring procedures for identification and management of potential adverse environmental and social impacts. The Project will collaborate with the local authorities to assist the project in monitoring project activities in the vicinity of any natural habitats in the sub-project areas. Aside the RPF, the ESMF report provides Grievance Redress Mechanism with guidance on the reception, recording, handling, and reporting of complaints that may be encountered during project implementation. A stand-alone Integrated Pest Management Framework (IPMF) has also been prepared which will guide activities, involving handling veterinary drugs, laboratory waste, etc. The IPMF helps screen the pesticide use, guide their safe handling, storage and disposal, and include training and capacity building activities for farmers and other stakeholders. As for Physical Cultural Resources, the ESMF includes a chance find procedure, which will be used by the project team during subprojects that involve civil works and will be included into contracts as a requirement.

During project implementation and based on the environmental and social screening process provided in the ESMF, ESIA/ESMPs shall be developed and relevant environmental assessments undertaken where necessary. Monitoring and reporting formats have been provided in the ESMF report and shall be customized to the respective sub-projects in each identified subproject. The ESMF report has gone through public consultations during its preparation and was disclosed locally and in the Bank Info Shop prior to project appraisal in November 2013.

Social safeguards: The project has prepared a Resettlement Policy Framework (RPF), which will provide guidance during implementation (and prior to any civil works) for determining the necessity of RAPs for sub-projects and the procedures for their

preparation, including consultations with potentially affected individuals and households in the target of project areas.

For application of OP 4.10, the project AF is following the recommendations of the screening conducted by the World Bank and reinforced by the constitution of Ethiopia, which indicates that vast majority of the target population identify themselves as having the characteristics defined under OP 4.10. A comprehensive Social Assessment has therefore been prepared and disclosed, which involved extensive consultation with potential project beneficiaries and project affected peoples in the targeted woredas, including those identified as vulnerable and historically underserved groups to seek broad support from these groups. The recommendations of the Social Assessment form the basis of the action plan for addressing the requirements of OP 4.10, including mitigating any adverse impacts, culturally appropriate benefit-sharing, an ongoing process of free, prior, and informed consultations leading to broad community support for the project, and grievance redress mechanism.

These safeguards instruments were prepared to clarify principles, mitigation measures, and the appropriate organizational arrangements for each implementation agency that would ensure that those affected by implementation of the project positively or negatively, have a voice and a mechanism of influencing project outcomes in line with World Bank safeguard policies.

The AF will have substantial positive social impact livelihoods of communities in the project areas of Ethiopia, as the parent project has in Kenya and Uganda. The project design includes mechanisms for ensuring that participation of communities in management of resources, particularly natural resources, is enhanced. Previous Bank-funded projects in similar areas and communities have helped the anticipation of the project social impacts, especially in regard to underserved groups, women and young people. The RPLRP and AF's demand driven approach will therefore enable priority setting by communities and respond to communities' needs.

Capacity Building: As part of the parent project, a regional coordination unit is placed under IGAD Steering Committee and the Committee of Directors. The core functions of this Platform include: coordination of resources mobilization, regional programming and M&E services, regional knowledge management, and regional capacity development. The RPLRP Unit will coordinate the implementation of the cross-boundary interventions; provide a platform for technical assistance, and support policy dialogue with countries.

In Ethiopia, the project will be implemented by the Ministry of Agriculture (MoA). Currently, the capacity for implementation of safeguards related issues remains limited among the implementing agencies of RPLRP. However, the Ethiopia project team has committed to hiring dedicated staff to manage the environmental and social aspects of project implementation. These staff, together with other project stakeholders will benefit from the comprehensive capacity building and training programs presented in the ESMF and RPF.

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people. As well as in Kenya and Uganda for the parent project, communities in Ethiopia and their local level institutions are the key project stakeholders for this AF. They have been involved in the project preparation and consulted on environmental and social documentation for the key safeguard policies applicable to this project. Consultations with underserved groups were conducted in the free, prior and informed manner. The project stakeholders will be an integral part of development of Action Plans during implementation.

B. Disclosure Requirements Date

Environmental Assessment/Audit/Management Plan/Other:

Was the document disclosed prior to appraisal?	Yes
Date of receipt by the Bank	11/19/2013
Date of "in-country" disclosure	11/26/2013
Date of submission to InfoShop	05/28/2014
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	

Resettlement Action Plan/Framework/Policy Process:

Was the document disclosed prior to appraisal?	Yes
Date of receipt by the Bank	11/13/2013
Date of "in-country" disclosure	12/05/2013
Date of submission to InfoShop	12/05/2013

Indigenous Peoples Plan/Planning Framework:

Was the document disclosed prior to appraisal?	N/A
Date of receipt by the Bank	07/11/2014
Date of "in-country" disclosure	07/11/2014
Date of submission to InfoShop	07/11/2014

Pest Management Plan:

Was the document disclosed prior to appraisal?	No	
Date of receipt by the Bank		N/A
Date of "in-country" disclosure		N/A
Date of submission to InfoShop		N/A

*** If the project triggers the Pest Management and/or Physical Cultural Resources, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.**

If in-country disclosure of any of the above documents is not expected, please explain why:

For RPF, the document has been disclosed as part of the parent project preparation (P129408).

For application of OP 4.10, the project AF is following the recommendations of the screening conducted by the World Bank and reinforced by the constitution of Ethiopia, which indicates that vast majority of the target population identify themselves as having the characteristics defined under OP 4.10. A comprehensive Social Assessment has therefore been prepared and disclosed in-country and on Infoshop but no specific IPPF or VGMF.

C. Compliance Monitoring Indicators at the Corporate Level (to be filled in when the ISDS is finalized by the project decision meeting)

OP/BP/GP 4.01 - Environment Assessment

Does the project require a stand-alone EA (including EMP) report?	Yes
If yes, then did the Regional Environment Unit or Sector Manager (SM) review and approve the EA report?	Yes
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	Yes

OP/BP 4.04 - Natural Habitats

Would the project result in any significant conversion or degradation of critical natural habitats?	No
If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank?	Yes

OP 4.09 - Pest Management

Does the EA adequately address the pest management issues?	Yes
Is a separate PMP required?	Yes
If yes, has the PMP been reviewed and approved by a safeguards specialist or SM? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist?	No

OP/BP 4.11 - Physical Cultural Resources

Does the EA include adequate measures related to cultural property?	Yes
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?	Yes

OP/BP 4.10 - Indigenous Peoples

Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	N/A
If yes, then did the Regional unit responsible for safeguards or Sector Manager review the plan?	N/A
If the whole project is designed to benefit IP, has the design been reviewed and approved by the Regional Social Development Unit or Sector Manager?	N/A

OP/BP 4.12 - Involuntary Resettlement

Has a resettlement plan/abbreviated plan/policy framework/process	Yes
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framework (as appropriate) been prepared?
 If yes, then did the Regional unit responsible for safeguards or Sector Manager review the plan? Yes

OP 7.50 - Projects on International Waterways

Have the other riparians been notified of the project? Yes
 If the project falls under one of the exceptions to the notification requirement, has this been cleared with the Legal Department, and the memo to the RVP prepared and sent? N/A
 Has the RVP approved such an exception? N/A

The World Bank Policy on Disclosure of Information

Have relevant safeguard policies documents been sent to the World Bank's Infoshop? Yes
 Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs? Yes

All Safeguard Policies

Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies? Yes
 Have costs related to safeguard policy measures been included in the project cost? Yes
 Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies? Yes
 Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents? Yes

D. Approvals

<i>Signed and submitted by:</i>	<i>Name</i>	<i>Date</i>
Task Team Leader:	Mr Stephane Forman	06/20/2014
Environmental Specialist:	Mr Edward Felix Dwumfour	06/25/2014
Social Development Specialist Additional Environmental and/or Social Development Specialist(s):	Mr Chukwudi H. Okafor	07/30/2014
<i>Approved by:</i>		
Regional Safeguards Coordinator:	Ms Alexandra C. Bezeredi	07/14/2014
Comments:		
Sector Manager:	Mr Tijan M. Sallah	07/15/2014
Comments:		