

Addis Ababa City Roads and Transport Bureau



RESETTLEMENT POLICY FRAMEWORK

**Ethiopia Transportation System Improvement Project
(TRANSIP)**

February 2016

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Acronyms

AACRA	Addis Ababa City Road Authority
AACTB	Addis Ababa Culture and tourism Bureau
AALDMB	Addis Ababa Land Development & management Bureau
AALDURA	Addis Ababa Land Development and Urban Renewal Agency
AARTB	Addis Ababa Road and Transportation bureau
AAWCY B	Addis Ababa Women, Child and Youth Bureau
BoFED	Bureau of Finance and Economic Development
BoLSA	Bureau of Labor and Social Affairs
CRC	Compensation and Resettlement Committee
DPs	Displaced Persons
EPLAUA	Environmental Protection, Land Administration, and Use Agency
ESMF	Environmental and Social Framework
ETB	Ethiopian Birr
FDRE	Federal Democratic Republic of Ethiopia
FM	Financial Management
GoE	Government of Ethiopia
IDA	International Development Association
LDURO	Land Development and Urban Renewal Office
M&E	Monitoring and Evaluation
MEP	Monitoring and Evaluation Plan
MSE	Micro and Small scale Enterprise
NGO	Non-Governmental Organization
O&M	Operations and Maintenance
OM	Operational Manual
PAP(s)	Project Affected Persons

PIU	Project Implementation Unit
PM	Procurement Management
RAP	Resettlement Action Plan
RPF	Resettlement Policy Framework
SME	Small and Medium Sized Enterprise
TMA	Traffic Management Agency
TMPO	Transportation Programs Management Office
TRANSIP	Transportation Systems Improvement Project
ULG	Urban Local Government

Executive Summary

Introduction

This document provides a Resettlement Policy Framework (RPF) for Ethiopian Transport Systems Improvement Project (TRANSIP) supported by the World Bank. It addresses issues of land acquisition, loss of property or disturbance affecting livelihoods resulting from implementation of *improved traffic signal system, road and pedestrian safety, parking management and Traffic enforcement and Improved Conditions of Road infrastructure and Pedestrian Facilities* subcomponents, of TRANSIP. The RPF serves as a guide to implementers to ensure that involuntary resettlement is avoided as much as possible, and where avoidance is not possible, that project-affected people (PAPs) are consulted and that a Resettlement Action Plan is prepared to put in place appropriate measures prior to implementation of the above mentioned TRANSIP subcomponents resulting in such social impacts to compensate PAPs and restore their livelihoods. Environmental and Social Management Framework (ESMF), addressing physical and environment impacts, and Social Impact Assessment (SIA) are another TRANSIP documents to be read together with this RPF.

Objectives of the RPF

The objective of the RPF is to provide a process to be used to identify individuals impacted by TRANSIP subproject activities as well as the type and magnitude of impact and outline the process for preparing a Resettlement Action Plan. The RPF includes methods for identifying processes for monitoring and evaluating resettlement impacts in planning and implementation of TRANSIP. Specifically, the RPF will:

- Establish the TRANSIP resettlement and compensation principles and implementation arrangements;
- Describe the legal and institutional framework underlying how Addis Ababa City administration approaches resettlement, compensation and rehabilitation;
- Define PAPs eligibility criteria and entitlements;
- Define a participatory process by which reduced access to resources is identified and mitigation measures established;

- Describe the consultation procedures and participatory approaches involving PAPs and other key stakeholders;
- Describe implementation and monitoring arrangements; and
- Provide procedures for grievance redress.

Project Description

The proposed Project Development Objectives (PDO) is to improve accessibility and safety performance in Addis Ababa (through system modernization, traffic control and management, improving road & pedestrian facilities and public transport) effectiveness and efficiency of vehicle and drivers' license system throughout Ethiopia.

TRANSIP, as proposed will comprise three components and four sub components. Sub projects which may result in land acquisition and property losses in TRANSIP are under component (A) sub components (1) and (2). Hence, this RPF will apply to the activities in component (A) subcomponent (1) and (2) i.e. support Transport Management Agency (TMA) to improve traffic signal system, road and pedestrian safety, parking management; and support Addis Ababa City Roads Authority (AACRA) to improve conditions of road infrastructure and pedestrians facilities.

Institutional Arrangements

The responsibility to implement the project on improving conditions of Road Infrastructure and Pedestrian Facilities, TRANSIP sub-component (1) and (2), falls on Addis Ababa Road and Transport Bureau (AARTB). Taking in to account the special features and uniqueness of the activities to be supported, a mix of bureaus and offices, newly established and experienced will be involved in the implementation process.

A steering committee drawn from the different bureaus will spearhead the project supporting the bureau with decision making and synchronizing implementation activities. AACRA's experience will play a significant role in handling financial management and procurement issues. The bulk of the project integration and coordination of implementation activity will lay on

Project Implementation Unit which currently is strengthening its capacity.

Land Development and Urban Renewal Agency supported by Land Development and Management Bureau will be responsible, for land acquisition, to effect compensation payment, and resettlement process in accordance with this RPF and any pursuant RAPs.

Project Beneficiaries

The City government of Addis Ababa envisions implementing a complete street concept on selected road corridors and identified intersections to improve traffic flow and pedestrian safety. Enhanced accessibility and lower accident rates will benefit the whole city but the project will primarily benefit residents and business owners/renters along the corridors. The bureau, learning from the projects, intends to create attitudinal change on service delivery and use in urban transportation sector in the city and the country at large.

The project is expected to run from 5 to 7 years. The proposed World Bank support is not expected to cover the envisaged development on the corridors but help to start the crucial step to create attitudinal change (in practice and thinking in the sector). Compiling skills and knowledge to enhance transport policy and direct investment program, and in the long run, mainstream transport planning and management in to curriculum of higher institutions is set as broader project objective benefiting the whole country.

Justification for Resettlement Policy Framework

The need for the RPF emanates from the potential risk that the implementation of some of the project activities (to improve **road and pedestrian safety & Improve Conditions of Road Infrastructure and Pedestrians Facilities**), may require land acquisition or access changes within a community.

The city administration has proposed five corridors for improvement. The envisaged works will involve installation of drainage facilities, roadside furniture, street lighting, strengthening and replacement of pavements in some sections, redesign and construction of intersections and

pedestrian bridges, new sideway walks and/ or widening the existing walkways. The proposed project activities are unlikely to entail major displacement or resettlement issues since most of the activities will be carried out within the **Right of Way (ROW)**. However, small amounts of land acquisition and property losses may occur when implementing these sub projects triggering OP 4.12.. Since specific investment location has not been identified and captured in the project detail design drawing at this stage, this Resettlement Policy Framework (RPF) has been prepared for the purpose of establishing the principles and procedures to be applied in the event that involuntary resettlement, loss of land or other fixed asset, disturbance affecting livelihood or resources, limitation leading to nonphysical displacement would arise as a result of the Project implementation.

Guiding Principles on Resettlement Issues

During the execution of TRANSIP, the overall policy objective is to avoid resettlement and related cases at the earliest opportunity. In this regard, the implementation of subprojects to be funded from the TRANSIP will be orchestrated on a set of principles to minimise or avoid resettlement risks altogether.

Considering the proposed activities on the TRANSIP subprojects, the need for land acquisition is presumed to be minimal since most of the activities will be carried out within the right of way. However, there are likely to be disruptions on traffic flows (motorized and non- motorized) and potential adverse impacts to accesses residence and business properties necessitating to trigger a set of principles to minimize or avoid risks.

Community Consultations and support for RPF

The improvement envisioned with the implementation of TRANSIP, is make motorized and non-motorized movement in the city reliable, accessible, affordable, and comfortable and safe. The project will be implemented in five road corridors crossing 5 sub cities and 17 woredas in the city. Consultations with stakeholders and community members in the city, sub city and woreda, were conducted in December 18th and 24th 2015 in Kirkos (Yordanos Hotel) and Bole (Kaleb Hotel) respectively. Additional discussions were conducted with elderly and people living with disability Micro and Small scale Enterprise operators, women and youth groups, on January 1st, 4th and 12th 2016 respectively. Interviews with officers active in land acquisition and

resettlement processes and street vendors was also carried out to reach all party likely to be affected by the Project as much as possible. All in all a total of 106 (out of which 28 are female) persons were involved in the discussions.

The consultations aimed at exploring and soliciting feedback on key elements of the RPF. The key issues presented for discussion include, legal framework (WB & GoE), methods of asset valuation, institutional arrangement, eligibility criteria and entitlement, and grievance redress mechanisms, in addition to other general features of the TRANSIP. The consultation is summarized as follow

- The community appreciated the invitation to discuss/participate the project at early stage of the project formulation process;
- The proposed project is accepted in general, the community want to see the transportation system in the city to be accessible, efficient and safe;
- Priority should be given to address the gap on GoE /Addis Ababa in line with OP 4.12 (recognition of rights/entitlement of informal properties) for compensation purpose and ensure that implementation of the project does not create social inequality (specially incases of displacement); Support PAP to achieve a livelihood that is either equal or better (specially renters of Keble properties for purposes related to livelihood and income);
- The community/stakeholders emphasized the importance to establish responsible body at woreda to process land acquisition and integrate activities with different actors;
- The need for awareness creation /training with respect to the implementation of OP 4.12 at community as well as implementers (especially entitlement & grievance redress with community) was stressed.

Legal and Institutional Framework

This RPF will apply the laws, legislation, regulations, and local rules governing the use of land and other assets in Ethiopia, and the standards set in World Bank OP 4.12 on involuntary resettlement. However, in case of discrepancy between the two sets of standards, OP 4.12 will prevail.

Grievance Redress

The constitution provides a broad framework for systematizing Grievance Redress Mechanism concept with its emphasis on respect for human rights and fundamental freedom, especially the right of access to justice, rule of law and democratic governance. Proclamation 455/2005 and regional/city directives have put in place grievance redressing mechanisms.

The GoE law allows a complaint only on the amount of compensation estimated/made. In this regard, appeals are made to administrative units when not resolved to a regular appellate court or municipal tribunal court (proclamation 455/2005 11 (4), by a dissatisfied party. In the case of Addis Ababa, there are two administrative grievance hearing stages (sub city and city level) before appealing to a court. An appeal to regular appellate court must be made within 30 days of the administrative decision. The court's decision is final. However, an appellant could take the case to High Court in relation to procedural issues like the amount of compensation, delays in payment and related cases.

However this system is not participatory thus, to expedite grievance hearing, project level, *community based, - compensation, resettlement and grievance hearing -community should be introduced/established. This committee will remain functional throughout the project implementation phase. Composition, Roles and responsibilities, will be defined by the RAP.*

Other RPF Provisions

The full RPF report contains detailed provisions related with:

- Entitlements
- Monitoring and evaluation
- Assistance to vulnerable people,
- Implementation arrangements and responsibilities for the different tasks involved by the implementation of the RPF.

Part 1: Basic Information

Project Objective: The objective of the TRANSIP is to improve accessibility and safety performance (including improvements of road and pedestrian facilities) in selected road corridors in Addis Ababa and effectiveness and efficiency of vehicle and driver's license system throughout Ethiopia.

Social Benefits: A range of social benefits are anticipated from this project. Social benefits include enhanced safety and efficiency of pedestrians and drivers, employment (job created related to civil works and sale of service –food beverage to those engaged in construction) and increase in income (increase in pedestrian traffic volume triggering more demand for goods and services). The other benefits include less travel time and less fuel consumption as a result of efficient traffic flow (at individual and country level) and enhanced property value along the corridors as a consequence of change in aesthetics. As a project first of its kind, capacity building is given significant importance. The experience (skill and Knowledge to be) gained will be used to significantly enrich curriculum used by universities which in turn will enhance the quality of education and labor produced.

Social Risks: Works on corridor improvement is unlikely to entail major land acquisition or physical displacement (since work is confined to right of way). However, small amounts of land acquisition and property loss may occur when implementing TRANSIP sub projects (in relation to civil work) triggering loss in income/livelihood and access to land. People living along the selected corridors and vicinity could also be affected during construction (health problem as result of construction dust, noise, safety and accidents). Disruption of traffic flow and access to business and residential property are also risks associated with the project. Influx of people to the corridors due to better facilities could create competition and higher prices for services and properties. Informal traders earning their livelihoods along the corridors by selling goods on the streets are likely to be affected during construction and reentry barrier afterwards. Thus, the RPF should provide basic principles on how to compensate the impacts of the Project.

Part 2: Introduction

Ethiopia is one of the least urbanized countries with only 17.3 percent of the population living in urban areas, below the Sub Sahara average at 37 percent. According to World Bank's Urbanization Review of Ethiopia (2014), urbanizing at 5.4 percent per year, the rate of urbanization for the coming years will be one of the fastest in the region with 30 percent of the country's population living in urban areas by 2028. Ethiopia is also one of the countries exhibiting high economic growth, compared to countries with similar level of urbanization. Addis Ababa the largest city in the country (it is 10 times bigger than the next biggest urban center in Ethiopia) is experiencing the impact of the growth and at the same time struggling to provide infrastructure and services to its residents.

One of the challenges Addis Ababa faces is provision of reliable, efficient and safe transportation system. Even though Addis Ababa currently manifests low motorization rates by global standards, with a total vehicle fleet estimated at about 300,000 (60 percent of the total fleet of the country) in 2015, the rapid economic growth currently being experienced is likely to lead to a growth in private vehicle ownership aggravating the challenges. The transport system in the city is characterized by frequent congestion and delays, high rate of road traffic accident and air pollution.

These growing externalities make the transport system economically unsustainable and expensive to society. Studies indicate that the main challenges are, among others: (a) very limited traffic management, exemplified by the severely inadequate number of traffic control signals, and the lack of a central traffic control system; (b) pedestrian safety concerns and high accident rates; (c) ineffective planning, management and oversight of the city's public transport network (notwithstanding some important recent initiatives to develop a mass transport network); and (d) inadequate institutional capacity underlying the above concerns and lack of coordination among different agencies shaping the city's transport system and the land use patterns.

Available information indicates that about 64 people die per 10,000 vehicles annually on Ethiopian roads, which is comparatively high by international standards. Furthermore, about 85 percent of fatal accidents are attributed to driver error, six (6) percent due to vehicle defects, five (5) percent due to pedestrian error, two (2) percent as a result of poor road conditions and the remainder is attributed to various other reasons. A large number of fake driving licenses due to inadequate and inappropriate control mechanisms, and the lack of an effective information sharing platform for transparent law enforcement, is raising integrity concerns. In addition, the absence of an effective coordination mechanism between the regulatory institution, the road users, vehicle owners, driving schools and police is conducive to fraudulent practices¹.

One of the main real world consequences of the inadequate means of transparent law enforcement and an effective data exchange platform is the large number of accidents and resulting loss of life and property. Experience elsewhere has shown that the presence of an organized and well managed information platform offers the necessary mechanism to monitor and address such issues. Currently there are significant deficiencies in the driver licensing and vehicle registration systems, limiting the effectiveness of enhanced transport systems management. The high accident rates witnessed in the country also raises concerns on the quality of training and testing systems.

¹ Aide Memoire Ethiopia-Proposed Ethiopia Transport Systems Improvement Project (TRANSIP) November 9-18, 2015.

Part 3: Objectives of the RPF

This document provides a Resettlement Policy Framework (RPF) for Ethiopian Transport Systems Improvement Project (TRANSIP). It addresses issues of land acquisition, loss of property or access to one, or disturbance affecting livelihoods resulting from implementation of *improved traffic signal system, road and pedestrian safety, parking management and traffic enforcement* to support the new Traffic Management Agency and *improved conditions of road infrastructure and pedestrian facilities* to support Addis Ababa City Road Authority subcomponents, of TRANSIP. The RPF serves as a guide to implementers to ensure that involuntary resettlement is avoided as much as possible, and where avoidance is not possible, the project will consult project-affected people (PAP), and Resettlement Action Plan will be prepared as needed prior to implementation and PAPs will be paid adequate compensation that will replace their loss and restore their livelihoods. Environmental and Social Management Framework (ESMF), addressing physical and environment impacts, and Social Impact Assessment (SIA) are another TRANSIP documents to be read together with this RPF.

The objective of the RPF is to provide a process to be used to identify individuals impacted by TRANSIP subproject activities as well as the type and magnitude of impact and outline the process for preparing a Resettlement Action Plan. The RPF includes methods for identifying processes for monitoring and evaluating resettlement impacts in planning and implementation of TRANSIP. Specifically, the RPF will:

- Establish the TRANSIP resettlement and compensation principles and implementation arrangements;
- Describe the legal and institutional framework underlying how GoE/Addis Ababa City approaches resettlement, compensation as well as rehabilitation and comparing to World Bank policy requirements propose measures to bridge gaps ;
- Define extent of impact, PAP, eligibility criteria and entitlements;
- Define a participatory process by which reduced access to resources is identified, and mitigation measures established;

- Describe the consultation procedures and participatory approaches involving PAPs and other key stakeholders;
- Provide procedures for grievance redress; and
- Describe implementation and monitoring arrangements.

This RPF will apply to the activities in Component A, Subcomponent (1) Support to new Traffic Management Agency to improved traffic signal system, road and pedestrian safety, parking management; & sub component (2) Support Addis Ababa City Road Authority to improve Conditions of Road Infrastructure and Pedestrians Facilities. The RPF procedures will be carried out throughout preparation and implementation of the subprojects concerned, and potential impacts and implementation of the required mitigating or compensation measures will be tracked by the TRANSIP subprojects monitoring and evaluation (M&E) system.

Whenever a RAP is required, it will be prepared in accordance with the instructions provided in this RPF, including detailed measurement surveys, identification of PAPs and public consultation and disclosure procedures. This RPF follows the guidance provided in the World Bank Operational Policy 4.12, as described in (Annex-1). This RPF aims to ensure that any possible adverse impacts of proposed project activities are addressed through appropriate mitigation measures, particularly against potential impoverishment risks. These risks can be minimized by the following mitigation measures:

- As far as possible ensure that involuntary resettlement and land acquisition is avoided or where it is necessary, is minimized, by exploring all viable alternatives;
- Where involuntary resettlement and land acquisition is unavoidable, resettlement and compensation activities are prepared and implemented by providing sufficient investment resources according to GoE Proclamation and Regulations and Addis Ababa City Government directives;
- Avoiding displacement of people without a well-designed compensation and relocation process;
- Compensating for losses incurred and displaced incomes and livelihoods;

- Ensuring resettlement assistance or rehabilitation, as needed, to address impacts on PAPs livelihoods and their well-being;
- Ensure that TRANSIP subprojects do not result in reduced access to resources; and
- Not operating or causing restriction of access to legally designed parks and protected areas.

In addition, PAPs should be meaningfully consulted and should have opportunities to participate in planning and implementing resettlement programs.

This RPF therefore is prepared to guide and govern the project as sub projects are selected for financing and sets out the elements that will be common to all subprojects that will entail involuntary resettlement, which will not be known by the time of project appraisal. The RPF provides the basis for preparing Resettlement Action Plan (RAP)/Abbreviated Resettlement Action Plan (ARAP) for individual sub projects (if required) once their location and scope are known. Whenever a project activity or subproject results land acquisition, a RAP, which is a detailed action plan for each subproject, will have to be formulated and approved by the various project implementing agencies and the World Bank before the activity or sub-project can be implemented. Table 1 below, explains the screening process to be used to determine when to prepare a RAP.

Table 1: Social Safeguards Screening Information:

	Social Safeguards Screening information	Yes	No
1	Will the project reduce people’s access to their economic resources, like land, pasture, water, public services or other resources that they depend on?		
2	Will the project result in resettlement of individuals or families or require the acquisition of land (public or private, temporarily or permanently) for its development?		
3	Will the project result in the temporary or permanent loss of crops, fruit trees and Household infra-structure (such as granaries, outside toilets and kitchens, etc)?		
4	Will the project require excavation near any historical, archaeological or cultural heritage site?		
5	Might the project adversely affect vulnerable people (e.g., elderly poor pensioners, physically challenged, women, particularly head of Households		

or widows etc.) living in the area?		
For all issues indicated by “Yes”, the project implementer is expected to explain how he/she intends to mitigate them. Implementation of the mitigation measures will require using the Resettlement Action Plan		

When a Resettlement Action Plan (RAP) is required, it will be prepared in accordance with guidance provided in this RPF, including Detailed Measurement Surveys, Identification (Census) of PAPs/displaced persons, and Public Consultation and Disclosure Procedures. The RPF follows the guidance provided in the World Bank Operational Policy on Involuntary Resettlement (OP 4.12). The impacts of any potential resettlement activities will be monitored and evaluated as set of this RPF.

Part 4: Project Description and Target Area

4.1 Project Description

Ethiopia Transportation System Improvement Project (TRANSIP) project as proposed will consist of two parts: one will be implemented at federal level and the second at Addis Ababa city level. At the federal level the activities include to enhance systems to improve the performance of Federal Road Transport Authority (FRTA) to establish database system to modernize drivers licensing, vehicles registration and inspection and penalty management system; improve on the quality of training and testing drivers throughout the country; building capacity in the sector through short and long term programs; developing urban transport policy and investment plans and support in the implementation of institutional and policy reform in the provision of public transport.

At city level, the project proposes to improve urban transport systems and service delivery by enhancing the institutional capacity of recently established Traffic Management Agency (TMA); provision of pedestrian facilities (walkways, street light) to improve on safety and lower accident rates; redesign and install traffic controls (systematic and manual) at major intersections; develop systematic on and off street parking facilities; support provision of integrated public transport services; manage and control (mini-bus and taxi stands, loading /unloading passengers of public transport) public transportation by enhancing capacity of the newly established Public Transport and Freight Authority (PTFA) ; and streamline and coordinate mass transportation in land development process.

The preliminary cost estimates for these two parts is about US\$300 million of which US\$... million will be toward supporting the city of Addis Ababa and the balance, US\$.... million for the FRTA and Ministry of Transport. Federal Road Transport Authority and Addis Ababa City Road Authority will be responsible for implementing (fiduciary functions) their respective activities of the project on behalf of the Ministry of Transport and Addis Ababa Road and

Transport Bureau respectively. Ensuring compliance with World Bank environmental and social safeguards policies falls also on these institutions.

Project Activities and Components

The proposed project will comprise three components as follows:

Component A: Improve the Traffic Signal System, Road and Pedestrian Safety, Parking Management, Traffic Enforcement, Public Transport Systems, and Transportation Institutions in the city of Addis Ababa. This component will involve:

Sub-component 1: Support to the New Traffic Management Agency to Improve the Traffic Signal System, Road and Pedestrian Safety, Parking Management and Traffic Enforcement will involve:

- (a) Expansion of the existing traffic signal system, central control of this system, and associated civil works improvements at intersections to improve traffic flow and enhance pedestrian safety; and designing comprehensive traffic management improvements to selected complete streets to improve traffic flow and pedestrian safety;
- (b) Development of a city-wide parking strategy and implementation of a targeted paid on-street and off-street parking program to better manage current poor parking conditions;
- (c) Undertaking traffic management studies to improve traffic conditions as conditions evolve; and carrying out traffic studies and provision of technical assistance and advisory services;
- (d) Building the capacity of the proposed Traffic Management Agency to carry out its assigned responsibilities, especially in designing and implementing appropriate traffic management measures and training;
- (e) Carrying out traffic studies and provision of technical assistance and advisory services; and
- (f) Enhancing traffic enforcement and traffic safety through provision of appropriate equipment and traffic enforcement training.

Sub-component 2: Support to Addis Ababa City Roads Authority (AACRA) to Improve

Conditions of Road Infrastructure and Pedestrians Facilities. This sub-component will involve:

- (a) Implementing comprehensive improvements to selected complete streets using context-sensitive design approaches to enhance traffic conditions and pedestrian amenities and safety. This will be done through a range of measures including, inter-alia, pavement improvements, drainage improvements, traffic management measures, sidewalk provision or upgrading, street lighting, provision of bus stops and bus bays, and parking management measures within the Right of Way (RoW);
- (b) Implementing pedestrian overpasses at numerous locations to enhance pedestrian safety and community connectivity. These overpasses will be provided along high speed roadways where at-grade pedestrian crossings are not appropriate;
- (c) Developing a citywide drainage master plan; and
- (d) Institutional strengthening through a range of measures including advisory assistance on the following: (i) implementing improved asset management and pavement management systems, (ii) developing an improved maintenance strategy and improved maintenance funding, (iii) restructuring of AACRA and providing capacity building activities, (iv) developing an improved road design manual and creating a road maintenance manual, (v) improving contract management and design; and (vi) training.

Sub-component 3: Support to the New Public Transport and Freight Authority (PTFA) to Improve Traffic Oversight, and Public Transport Services and Systems . This sub-component will consist of:

- (a) Support for public transport planning and management as well as advisory assistance in establishing the proposed PTFA;
- (b) Building the capacity of PTFA in public transport planning, management, regulation, and service contract management through advisory assistance and training;
- (c) Assistance in planning and establishing an integrated public transport system including implementing regulatory reforms to rationalize the provision of public transport services, strengthen the management of public transport operations and support in streamlining the operations of minibus-taxi sector;

- (d) Assistance in modernizing Anbessa Bus operations through support in improving management, business and operational information systems for improving the operation efficiency and management including designing and implementing an ITS and fare collection and bus network systems; and
- (e) Support in rehabilitating and improving operational conditions of Anbessa's vehicle maintenance workshops and depots.
- (f) Capacity building for Anbessa and

Sub-component 4: Support to AARTB and Transport Programs Management Office to Improve Planning (*TPMO, preliminary cost estimate is US\$9.2 million*)

- (a) Building the capacity of AARTB and TPMO to plan and oversee the implementation of urban transport reforms through training and provision of goods, services and technical assistance;
- (b) Strengthening the capacity of TPMO staff to carry out its responsibilities, including monitoring and evaluation of the Project, and steering the preparation of future development initiatives; and
- (c) Providing technical assistance in building project management capability.

Component B: Improve Integrated Urban Planning and Transport and Institutional strengthening (*cost estimate is US\$1.8 million*). This component will involve supporting the Addis Ababa Land Development and Management Bureau (AALDMB) to develop Land Use and Transport Plans, and will include:

- (a) Carrying out studies on Transit-Oriented Developments (TOD) and preparing detailed plans for selected strategic TOD(s) as well as formulating the operation and management strategies and implementation plan for these TOD(s);
- (b) Provision of advisory and technical assistance in enhancing the capacity in Metro area master planning including preparing selected Local Development Plans for strategic TOD areas consistent with the new Structural Plan; and
- (c) Building the capacity of AALMDB in carrying out its functions including enhancing actual implementation and enforcement through provision advisory services, goods and training.

Component C: Develop an Integrated Transport and Management Information System for Driver Licensing, Vehicle Registration and Inspection, and Penalty Payment and

Institutional Strengthening (*preliminary cost estimate is US\$80 million.* This component will include support to the Federal Transport Authority and the Ministry of Transport (MoT) for following activities:

- (a) Setting up a system for and re-registration of current drivers with ten fingerprints and replacement of existing driver's licenses with modern security enhanced driver's license documents;
- (b) Setting up a system for and re-registration of vehicles with vehicle chassis numbers and replacement of the existing vehicle registry documents by secure unified vehicle registration documents;
- (c) Improving the quality driver training and testing;
- (d) Design and installation of a driving school management solution;
- (e) Development and installation of vehicle inspection management solution;
- (f) Development and installation of driver's penalty management system;
- (g) Installation of police mobile solutions for driver and vehicle verification as well as penalty management;
- (h) Establishment of central help desk support solution;
- (i) Power interruption solution;
- (j) Institutional strengthening of FTA and training; and
- (k) Support the Federal Ministry of Transport in (i) development of a long-term program to improve skills for urban transport management through engaging with local universities in developing the corresponding curriculum, and supporting students in these programs on a pilot basis; (ii) developing an urban transport policy and investment program; and (iii) support in the implementation of institutional and policy reform in the provision of public transport.

This RPF will apply to the activities in Component A, sub-component 1: Support Traffic Management Agency to improve traffic signal system, road and pedestrian safety, parking management; and sub-component 2: Support to Addis Ababa City Administration improve Conditions of Road Infrastructure and Pedestrians Facilities.

Project Development Objectives and Key Indicators

Project Development Objectives

The proposed Project Development Objectives (PDO) is to improve accessibility and safety performance in Addis Ababa and effectiveness and efficiency of vehicle and drivers' license system throughout Ethiopia. To achieve (a) improved traffic flow and pedestrian safety intervention at city level include expanding traffic signal system, upgrading pedestrian facilities and street furniture, drainage improvements and implementing improved parking strategy. (b) building the capacity of Public Transport and Freight Authority (PTFA) in public transport planning, management, regulation, and service contract management and the Traffic Management Agency for future development and management of the traffic signal and central control center; and the Land Management and Development Bureau to plan and assist in the integration of transport and land-use; and (c) establish a national integrated system for driver licensing, vehicle registration and inspection, and penalty payments systems and build the capacity of FTA to manage these systems.

Key Indicators

The proposed PDO results indicators are as follows:

- (a) Reduction in travel time and increase in traffic flow along selected project corridors;
- (b) Number of road crashes reduced along selected project corridors;
- (c) Increase in average daily Anbessa ridership along selected project corridors;
- (d) Reduced average processing time for citizen to register a vehicle;
- (e) Reduced average processing time for citizen to obtain a driving license

4.2 Project Target area

Addis Ababa, the capital city of Ethiopia, is one of the largest urban centers in sub-Saharan Africa located $8^{\circ}49'55.929''$ and $9^{\circ}5'53.853''$ North Latitude and between $38^{\circ}38'16.555''$ and $38^{\circ}19.547''$ ² East Latitude with an altitudinal zone ranging from 2054 to 3023 meters above sea level. The mean annual maximum and minimum temperature of the city is 22.8 and 10.6 degree centigrade respectively. The mean annual rainfall of the city is 1180.4. The city covers an area of about 51948.85 hectares of land.

Established in 1887, Addis Ababa has served as the seat of government for different regimes.

² Addis Ababa City Administration Integrated Land Information, Atlas 2014.

Following the establishment of the FDRE in 1995, the city of Addis Ababa has been given a chartered city status³, administered by an elected council. Politically, the city administration is accountable to the office of Prime Minister contributing to the dual character of the city (as both a Region and a city) .The City hosts various embassies, international and regional organizations contributing to the diverse socio – economic characteristic of the city. Administratively, Addis Ababa is divided into ten sub-cities and 116⁴ woredas and 842 sub-woredas, 3,003 sub woreda and 9,009 blocks.

The most recent population estimate for Addis Ababa was 3,201,000⁵ million in July 2015 out of which 1,503,214 are male and the remaining 1,698,448 are female. Day time population is likely to be higher than stated due to significant number of commuters, from neighboring towns in Oromia Region.

The city accounts for about 3.71% of the urban population of the country. According to official figures from CSA, the rate of population growth for Addis Ababa is estimated to be 2.1% (for the year 2007-2037) i.e. the population size of the city will double in size in almost 30 years.⁶

Ethiopia is one of the sub Saharan countries growing rapidly. Addis Ababa, as a primate city, has long been Ethiopia’s socio-political and economic center and will continue to be for some time in the future. This growth is especially visible in the capital Addis Ababa with the visible change (construction) the city is undergoing.

Employment structure in the city show that, the majority (about 66%) are engaged in low skill and low paying jobs (including sales persons (in retail shops) micro traders, waiters in restaurants). Handcraft and trade created 22.04 percent and 18.66% of the jobs in the city respectively. Approximately 45 percent of the work force of the country is engaged in medium scale manufacturing 40 percent of which is located in Addis Ababa.⁷GDP of the city, calculated

³ Proclamation No. 87/1997 to provide for the Charter of the Addis Ababa City Government, a Revised Charter Proclamation No. 361/2003 and Proclamation No. 408/2004, a Proclamation to Amend the Addis Ababa City Government.

⁴ The number of woredas has increased to 117. A woreda in Nifas Silk Lafto has been divided in to two.

⁵ CSA 2014

⁶ BoFED, Socioeconomic Profile of Addis Ababa, 2014. Addis Ababa City Administration,

⁷ CSA, Report on Large and Medium Scale Manufacturing and Electricity Industries Survey, Statistical Bulletin No. 531/532, Addis Ababa, August, 2012.

at constant price, show that it was 677.70 USD in 2009 to 649.43 USD in 2014E.C⁸

It is estimated that 28.1 percent of the city’s population is living below the poverty line (where by 26.1 percent of the residents were under food poverty), female are most affected. As is the case for poverty, female unemployment rate was 30 percent compared to 15.8 percent of male. Unemployment is sever in Addis Ababa with 23.5 percent of households reporting as having an unemployed adult versus 11 percent of households in other urban areas⁹. According CSA (2013), out of the total population of the city (3,120,000) the number of economically dependent population was estimated to be 39.1percent.

In Addis Ababa there are about 387,000¹⁰ properties out of which 61.5 percent were used for residential purposes. 150,000 of the residential properties are government owned (most of the houses are public houses¹¹ (National Agency for Administration of Rental and Kebele Housing) rented at nominal price to households.

The city administration has proposed five road corridors for improvement. The selected road corridors cross five sub cities and 17 woredas and 53 sub woredas.

Table 2: Population of beneficiaries by Sub city & Woreda

Sub city/ Woreda	Population				Area (ha)	Road Corridors	
	Female	Male	Total	Sex ratio			
Arada	78002	68895	146,867	88.32	7,697	Corridor 1, 2,3 & 4	
1	11174	10289	21436	92.07	604		
4	13779	11524	25303	83.63	1326		
5	13157	11571	24725	87.94	735		
6	10623	9238	19861	86.96	309		
8	13026	11601	24627	89.06	596		
9	9059	8335	17394	92.00	2848		
10	7184	6337	13521	88.21	1279		
Kirkos	41586	36392	77978	87.51	621.42		Corridor 1

⁸ Note should be made that GDP per capita grew in local currency (ETB) but showed a decline in USD.

⁹ Ethiopian Urbanization Report

¹⁰ BoFED, Socioeconomic Profile of Addis Ababa, 2014. Addis Ababa City Administration,

¹¹ Kebele houses are houses expropriated under the proclamation 47/74, Proclamation to Expropriate Land and Extra Urban Houses.

Sub city/ Woreda	Population				Area (ha)	Road Corridors
	Female	Male	Total	Sex ratio		
6	5828	5214	11,042	89.46	118.13	
7	8629	8373	17,002	97.03	187.66	
8	11732	9752	21,484	83.12	153.86	
4	15397	13053	28450	84.78	161.77	
Yeka	24720	20404	45124	82.54	320.31	Corridor 5
7	11707	9579	21,286	81.82	172.22	
8	13013	10825	23,838	83.19	148.09	
Bole	32985	28533	61518	86.50	602.01	Corridor 1 & 5
3	16883	14796	31,679	87.64	408.05	
4	16102	13737	29,839	85.31	193.96	
Gulele	36527	32,418	68,945	88.75	783.16	Corridor 4
7	19459	17553	37,012	90.20	470.81	
8	17068	14865	31,933	87.09	312.35	
17	213820	186642	400432	87.29		Corridors 5

Source: Addis Ababa City Administration, integrated land information center 2014

The envisaged works will involve modifying intersections, installation of drainage facilities, roadside furniture, street lighting, strengthening and replacement of pavements in some sections, and construction of new sideway walks and/ or widening the existing walkways within the right of way.

The proposed works may not entail major land acquisition or resettlement issues since most of the activities are presumed to be carried out within the Right of Way. However, small amounts of land acquisition and property losses outside the existing right of way may occur and formal and informal traders active along few of the selected road corridors (Piazza, Arat Killo and Merkato Casa Inccis Area,) are likely to be affected. Similarly, there are likely to be disruptions to traffic flows (vehicular and non-motorized) as well as potential impacts to access business /commercial /resident properties along these road corridors.

Creating complete streets in the selected corridors helps promote safe and efficient roads for both motorized and non-motorized movements. Tailored engineering designs, depending on the type of intervention and character of the neighborhood, should be made to realize the intended

outcome of the project and minimize adverse impact (land acquisition displacement as well as preservation of cultural and heritage resources). The activities and their impact on land is summarized in the table 3 below

Table 3: Civil Work in TRANSIP Subprojects

Typical Civil Works	Description (Land acquisition)
Pedestrian Bridges	Whenever grade level crossing is not possible, above ground bridge to facilitate safe and efficient foot traffic will be build. Construction of user friendly (elderly, people living with disability), aesthetically pleasing pedestrian bridge, and compatible with the character of the street it is located at (buildings and structures). The construction of pedestrian bridges may entail land acquisition beyond the existing Right of way.
Intersection	The work to make intersections efficient and safe involves modifying the geometry of junction to enhance visibility and mobility to all (including access to the disabled/elderly) motorized and non-motorized movements. Putting up signs and traffic lights are included in this activity. Land acquisition may be needed.
Drainage installation	Standard storm water drainage lines, safe for all users, to be built along the sides of the road. Most of the installations will not require land acquisition except when the topographic feature dictates.
Pavement Improvement and construction of new side walks	Pavement improvement, which involves improving the quality of upper layer of road/sidewalk, presumably will be carried out on existing structure and will require little to no land acquisition. Whereas construction of new ones may require to push back properties adjacent to the right of way.
Pocket Parks (green areas)	On street parks, as part of the street furniture serving as a resting place and a niche for economic and social activity.
Street Furniture (benches, bus bays lights water fountain traffic signs)	The installation of street furniture, in line with the city standard, includes traffic l& street lights, water fountains (drinking) benches and planting trees, to enhance the livability of a street corridor. The need to acquire land beyond the right of way is low.

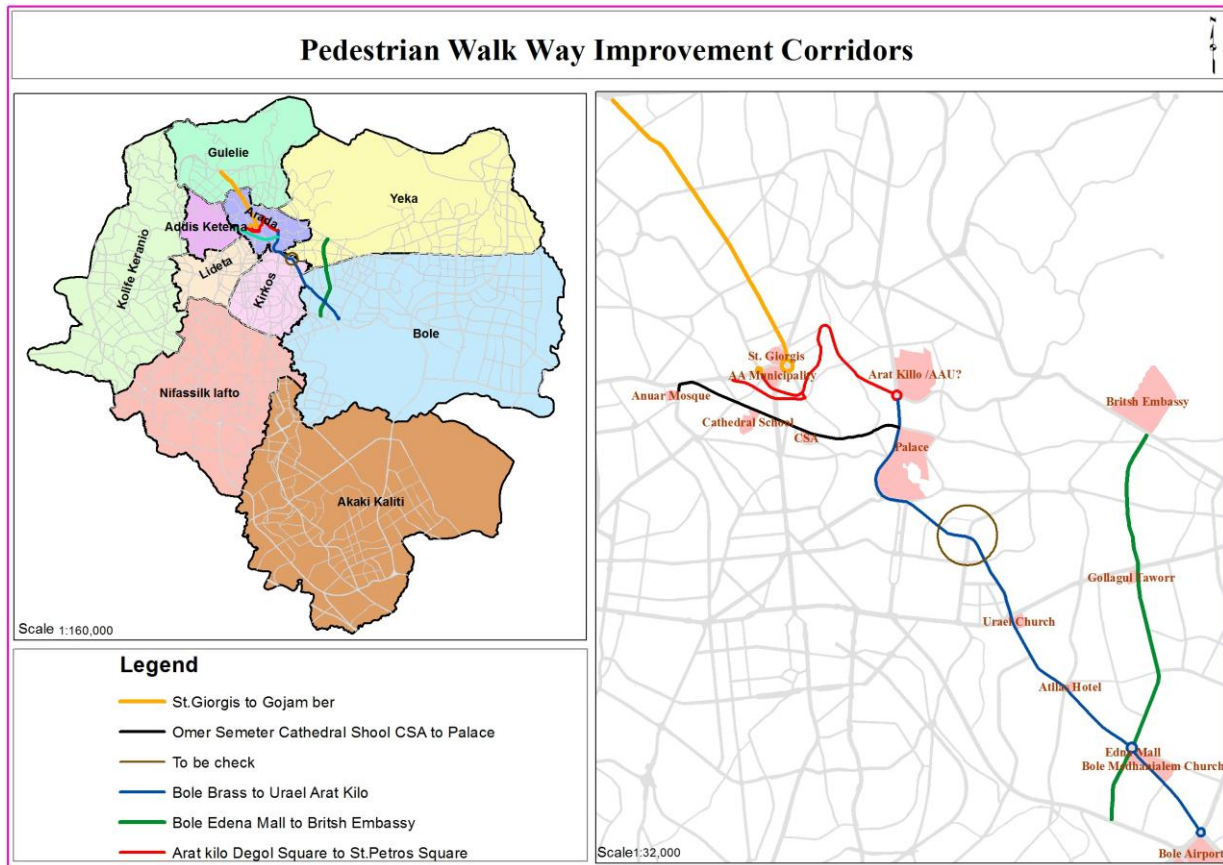
Description of the Selected Road Corridors

The selected road corridors are located in Arada, Gullele, Yeka, Kirkos and Bole sub cities of Addis Ababa city. Four of the corridors cross Arada where early development of the city is recorded and is currently delineated for renewal. The selected street corridors include (See Annex-14 for maps)

- **Corridor 1-** Arat killo-Urael –Brass: the corridor starts at Victory Square and proceeds to Development through Cooperation Avenue, Zewditu Street, Ghana Street, Namibia Street and ends at the end of Namibia Street.
- **Corridor 2-** Umma Semetar – Parliament/Palace: this corridor starts at the junction of Fitawrari Gebeyehu Street and Umma Semeter Street, continues along Umma Semeter Street –Wavel Street and ends at the end at General Wingate Street.
- **Corridor 3-** Arat killo- De Gaulle Square – St Peter’s Square which starts at Victory square continues to Adwa Street – Hailesilasie Street and ends at St Peter’s square; the other branches at De Gaulle square takes Cunningham Street and ends at Atikelt Tera (vegetable market).
- **Corridor 4-** St. George – Gojam Ber : Starts at St George Square (2nd Square) continues all the way North to Gojam Ber (ends at the roundabout adjacent to condominium buildings)
- **Corridor 5-** Bole –British Embassy : Starts at the junction of Africa Avenue leading to Harmony hotel- Edna mall Square – continues to Djibouti Street- Togo Street and ends at the junction of Fikere Mariam Aba Street (in front of main get to British Embassy).

Structures with heritage and cultural values are located adjacent to the selected road corridors. The provide will avoid damage or loss of cultural heritage due to Public Works; and Consistent with the Convention Concerning the Protection of the World Cultural and Natural Heritage, this project aims to ensure that cultural heritage is protected in the course of project activities and will operationalize provisions for managing chance finds through a chance find procedure as stated in the ESMF. (See Annex-12 Heritage and Cultural Resources).

Map 1: The Selected Road Corridors



Source: Prepared for this project

Institutional Arrangements

The designed implementation arrangements for the whole TRANSIP involve two institutions, the Federal Transport Authority (FTA) and Addis Ababa Roads and Transport Bureau (AARTB). Addis Ababa Road and Transport Bureau, higher authority of the city transport system, is responsible for the implementation of the Project at city level. Taking in to account the special features and uniqueness of the activities to be supported, a mix of bureaus and offices (reflected in the composition of the steering committee) are involved in the implementation process as a steering committee.

The steering committee composed of representatives from Addis Ababa Road and Transport Bureau (chairperson), Addis Ababa City Road Authority (AACRA), Addis Ababa Transport

Program Management Office (TPOM), deputy chairperson, Anbesa City Bus Service Enterprise (ACBSE), Addis Ababa Land Development and Management Bureau (LDMB) and Addis Ababa Traffic Police, has the responsibility to support the bureau in making decisions and at the same time take decision made to their respective organizations and ensure that activities are implemented in harmonized manner.

Addis Ababa City Roads Authority is delegated by AARTB for fiduciary functions including procurement, managing resources, accounting and reporting on those resources. AACRA provides technical support to PIU, whenever necessary.

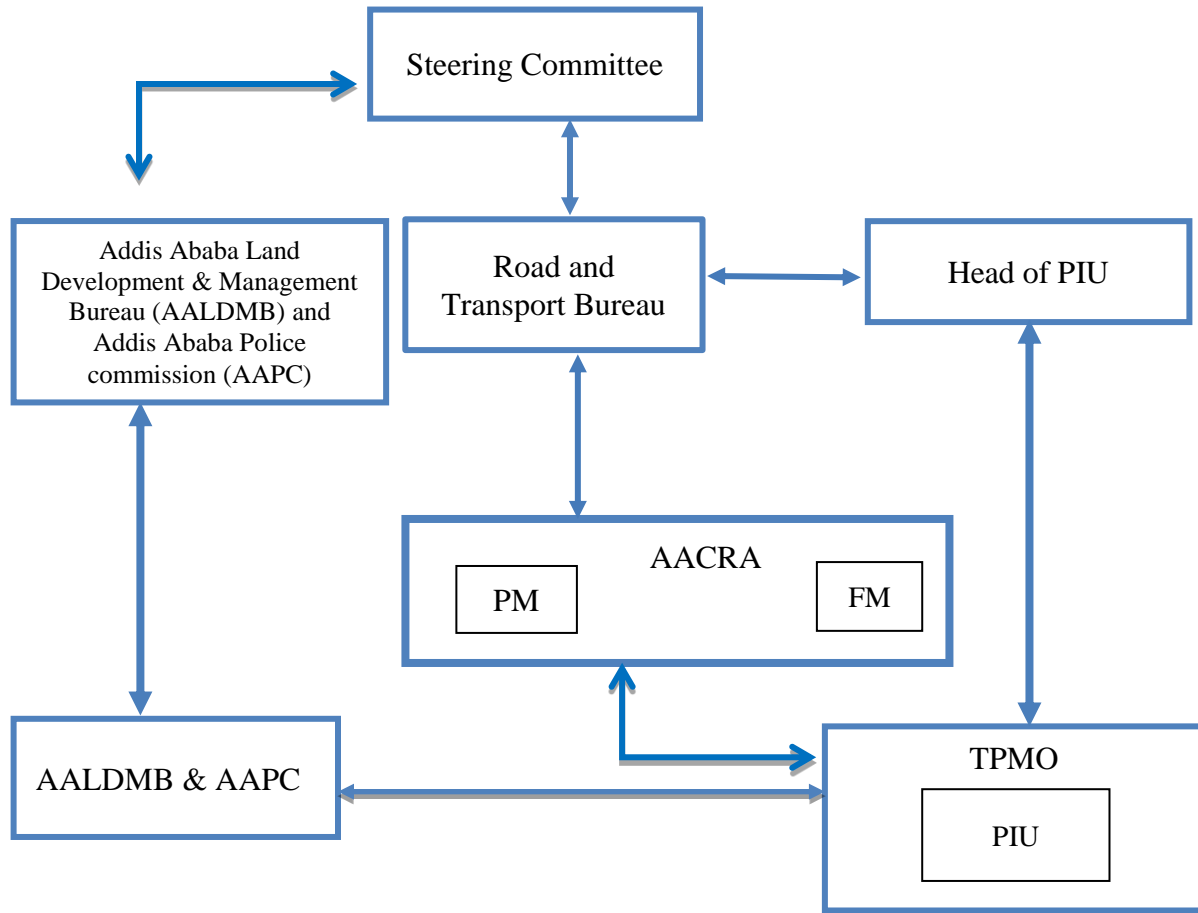
The Transport Management Program Office technically guides the implementation of the project, however, the day to day implementation of the project falls on the Project Implementation Unit (PIU) established for this purpose. Coordination of activities, stakeholders and beneficiaries mostly falls on the bureau in cooperation with the TMPO/PIU including ensuring compliance of the Project implementation with World Bank environmental and social safeguards policies.

Land Development and Urban Renewal Agency¹², accountable to, Addis Ababa Land Management and Development Bureau (AALMDB), is responsible for timely availing substitute plot of land/house, value and effect compensation payment, and other resettlement assistance for PAPs.

Urban Planning Institute, accountable to AALMDB, ensures the Structure Plan of the city is respected and works in close collaboration with PIU. The bureau (AARTB) has to ensure the preparation of RAP/ARAP through the organs of the city administration (or outside consultants) according to the principles set in this RPF.

¹² Proclamation No. 35/2012, The Addis Ababa City Government Executive &Municipal Service Organs Reestablishment Proclamation gives the power of property valuation and payment of compensation to Land Development and Urban Renewal Agency.

Fig 1: Implementation Arrangements at Addis Ababa city level



The implementation of the project strongly depends on synchronized action of all actors in the steering committee to facilitate land acquisition and related activities (effecting compensation, provision of infrastructure, conformation to the structure plan etc.). Absence of representation utility providers in the committee, means the interaction will be through regular city communication channels, which in most cases has not been unreliable, could create delays on project implementation.

Part 5: Community Consultations and Support for the Project and RPF

The selected five road corridors span across 17 woredas and 5 sub cities in Addis Ababa. Two separate consultations for stakeholders and community were conducted on 18th and 24th of December 2015 at Yordanos Hotel Kirkos sub city and Kaleb Hotel, Bole sub city respectively. In addition to consultation with community and stakeholders, discussions were also made with various groups of the affected community on January 1st, 4th and 12th of January with elderly, people living with disability, Micro and Small Scale Enterprise operators, and women groups respectively. Venue for meetings was organized in Arada subcity, woreda 01, woreda 05, woreda 09 and Bureau for Women, Youth and Child in Arada¹³ sub city.

In addition to community/stakeholders and group consultations, discussions were made with city and sub city offices, (including Addis Ababa Land Development and Urban Renewal Agency (AALDURA), Arada Sub City Land Management and Urban Renewal Office, Bureau of Labor and Social Affairs (BLoSA), Arada Sub City Micro and Small Scale Enterprise (MSE), Addis Ababa bureau of Culture and Tourism (AABCT), Addis Ababa Women Child & Youth Bureau (AAWCYB)) will be involved in implementing compensation and resettlement activities directly or indirectly.

The improvement envisioned with implementation of TRANSIP, to make motorized and non-motorized movement in the city reliable, accessible, affordable, and comfortable and safe, is appreciated by all participants but caution is recommended, particularly during land acquisition. Consultation participants appreciated the invitation to discuss the project during the early stages of the project formulation process, where comments forwarded have a possibility to be included and influence the design of the project and its implementation.

Consultation Methodology

Invitation to participate in the consultations was forwarded to the affected communities and stakeholders by the Project Implementation Unit (PIU). Participants included woreda officials,

¹³ Location for meeting where selected in Arada Sub city for two main reasons. One is central location (the mentioned woredas are located at Piazza and Arat killo); the second reason is 7out of the 17 woredas are located in Arada sub city.

resident’s forum, civic organization (Idir), traders/merchants forum, representatives of the people with disability, representatives of the elderly, women and youth groups, taxi drivers association, representative from labor and social affairs Addis Ababa city Administration environment protection authority, sub city administrations and universities. The community meetings were facilitated by two independent consultants in coordination with PIU and TPMO (Transport Programs Management Office). In total, 106 community members participated in the consultations.

Male	Female	Total
78	28	106

Issues Raised and Discussed During the Consultation

The consultations aimed at exploring and soliciting feedback on key elements of the RPF, in addition to other general features of the TRANSIP. The consultation particularly focused on land acquisition and compensation, displacement, grievance redress, community participation, and broader context of implementation arrangements and M&E. Community members reflected their concerns and provided constructive comments and suggestions based on their experiences.

Table 4: Summary of Issues and Responses Presented at Consultation Meetings

Issues and Concerns	Responses to Address Concerns & Issue
<p>Large number of undocumented households who have been living in the affected areas for long period of time;</p> <p>Large number of unregistered households cohabiting in Keble housing;</p> <p>Significant number of business rented from Keble</p>	<p>The World Bank safeguards policy will be applied</p> <ul style="list-style-type: none"> • Compensation for all affected communities regardless of their land holding is effected; • Compensation is provided for loss of assets other than land. • Displaced persons should be assisted in their efforts to improve or restore their livelihoods (capacity building opportunities);
<p>Little understanding of laws of GoE and WB and principles,</p> <ul style="list-style-type: none"> • Rights for compensation, • Grievance redress; 	<p>The project will further explain land acquisition laws and OP4.12 to the PAPs during the implementation and strengthen awareness creation schemes during the implementation of the Resettlement Action Plans.</p>
<p>Institutionalized grievance structure deals</p>	<p>Introduction of community based compensation and</p>

Issues and Concerns	Responses to Address Concerns & Issue
only with amount of compensation. No clear procedure for PAPs to lodge their grievance at earlier stages before compensation is issued.	grievance committee
Road Improvement projects are never finalized on time as a consequence of weak integration of utility providers (inefficient and wasteful practice)	Strict follow-up and monitoring will be in place to complete the project on time.

Institutional Capacity Building

In order to effectively implement this RPF and latter the RAP, the capacity of city, sub city and woreda level project implementers will be strengthened; and awareness raising mechanism effected in participating communities. The project will also strengthen institutional capacity and training with respect to documentation, reporting and monitoring of safeguards instruments. There will be awareness creation programs extended to communities/PAPs, focusing on their rights and responsibilities at various stages of the project implementation. There will also be capacity building program for environment and social safeguard officers to enable them monitor the Grievance Redress Mechanism (GRM) of this project. The project will ensure that the vulnerable and disadvantaged groups and women are included and participate in these activities. The following table summarizes the main actors and training/awareness raising requirements:

Actors /stakeholders	Training/awareness Requirements	Methodology /tool
Technicians in Implementing organs (AARTA/ PIU and AALDMB/AALDURA and city and sub city levels)	<ul style="list-style-type: none"> • Training on WB Safeguard polices; • Training on the RPF and other GoE Laws and legislations, principles; • Provide hands on training on monitoring, reporting and documentation of safeguards implementation and related documents 	Workshops
Decision makers at Implementing organs (AARTA/ PIU and AALDMB/AALDURA) Sub city, woreda, and steering committee	<ul style="list-style-type: none"> • The RPF's and other related GoE's laws and WB safeguard polices ; • Mainstreaming advantages of safeguard and gender issues (Policy change considerations) 	Workshops

PAPs, other community members, women, elders, and vulnerable groups,	<ul style="list-style-type: none"> • Rights, role and responsibilities of PAPs; (specially grievance redressing mechanism) 	Workshops; Media (digital & print)
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Conclusions

The following is drawn from the consultations:

- The community appreciated the invitation to discuss/participate the project at early stage of the project formulation process;
- The proposed project is accepted in general, the community want to see the transportation system in the city to be accessible, efficient and safe;
- Priority should be given to address the gap on GoE /Addis Ababa in line with OP 4.12 (recognition of rights/entitlement of informal properties) for compensation purpose and ensure that implementation of the project does not create social inequality (specially incases of displacement); Support PAP to achieve a livelihood that is either equal or better (specially renters of Keble properties for purposes related to livelihood and income);
- The community/stakeholders emphasized the importance to establish responsible body at woreda to process land acquisition and integrate activities with different actors;
- As discussed above, the project will provide awareness creation /training for community as well as implementers with respect to the implementation of OP 4.12 (especially entitlement and grievance redress with community).

Part 6: Legal and Institutional Framework

This RPF will apply the laws, legislation, regulations, and local rules governing the use of land and other assets in Ethiopia and the standards set in OP 4.12; in case of discrepancy between these two sets of standard, OP 4.12 will prevail. This legal and institutional framework is presented in the following sections:

- Land and property Rights in Ethiopia
- Land acquisition and valuation
- Institutional Arrangements;
- Dispute Resolution and Grievance Procedures, specifically the legal and institutional arrangements for filing grievances or complaints;
- Eligibility and Entitlement
- Comparison with World Bank OP 4.12, using equivalence and acceptability standards.

6.1 Land and Property Rights in Ethiopia

The Rural Land Proclamation No. 31/1975 and the Government Ownership of Urban Lands and Extra Houses Proclamation No. 47/1975 abolished private ownership of land, and declared land is publicly owned. The 1995 constitution of GoE reiterated public ownership of land by clearly stating that ‘land is a common property of the Nations, Nationalities and peoples of Ethiopia, Article 40 (3) and cannot be subject to sale or other means of transfer or exchange.

Citizens have the right to use land as well as own improvements made on land (in other words they can have ownership to landed or immovable property) ‘...in a manner compatible with rights of other citizens’ article 40(1). The right to improvement (improvements include crops, tree, buildings for business or residence, etc.) includes the right to alienate, to bequeath (and where the right expires) to remove and transfer his property or claim compensation for it, article 40 (7).

Ethiopian peasants and pastoralists have right not to be evicted from their landholdings. However, the same constitution, article 40 (8) states that, when land is needed for public

purpose, government may expropriate private property (land acquisition, especially of individual holdings, is usually the last option) and pays compensation in advance, commensurate to the value of the property (i.e. landed property). The constitution stresses that displaced persons have the right to financial or alternative means of compensation and including relocation with state assistance, article 44 (2).

It should be noted that, the 1995 Constitution Article 40(8) provides that “without prejudice to the right to private property, the State may expropriate private property for public use with the prior payment of adequate compensation.” The words “prior” and “adequate” are in line with the Universal Declaration of Human Rights. This manifests rights to citizens for basic services and programs, including facilities to guarantee education, health, and housing.

An important issue that needs to be discussed at this juncture is the rights of women. The 1995 constitution promotes gender equality and the rights of women. Article 35 of the constitution states that women shall have equal rights with men in enjoyment of rights and protections provide for by this constitution. Among the rights of women recognized by the constitution the ‘right to full consultation in the formulation of national development policies designing and execution of projects, particularly in the case of projects affecting the interests of women’ and right to acquire, administer, control, use and transfer property, in particular they have equal rights in respect to use, transfer, administer and control of land, including inheritance of property.

Based on the framework provided by the Constitution, *Proclamation No. 455/2005, Expropriation of landholding¹⁴ for public purpose and payment of compensation* was issued. The *proclamation* for expropriation is issued with the view to define the basic principles that has to be considered in compensation determination to a person whose landholding is expropriated. The Proclamation is applicable on both rural and urban lands. The basis and amount of compensation payment is prescribed under *Article 7* of the proclamation. Accordingly a person whose property has been expropriated is entitled to

¹⁴ “Landholder” means an “individual, government, or private organization or any...other...organ which has legal personality and has lawful possession over the land to be expropriated and owns property situated thereon” (*Proclamation No. 455/2005 Article 2(3)*).

- payment of compensation for his property situated on the land and for permanent improvements s/he made;
- replacement cost of property situated on the expropriated land ; but if the cost should not be less than the cost to construct the minimum standard approved by a city;
- Compensation for permanent improvement to land equal to the value of capital and labor expended on the land.
- Removal, transport and installation of structures that can be reused.

When the use right to a property is lease holding, the value of land for the remaining of the lease period is considered in the compensation to be paid, proclamation No. 455/2005 article 8(6) and proclamation 721/2011 article 25 (4).

Proclamation No. 455/2005 made provisions for the ministry of council to issue regulations necessary for the implementation of this proclamation. Accordingly Regulation No 135/2007 was issued by the councils of ministers that defines, the power and duties of executive organs, compensation payments due to entitled persons and how the displaced could be assisted to reestablish their livelihood. The regulation sets assessment compensation and the formula to calculate payments for permanent improvements made on the landholding. However, the same regulation article 14 made provision for regional states to issue directives in accordance with Article 14(2) of the proclamation to decide on replacement of urban land to an urban dweller whose land has been expropriated for public.

Addis Ababa city administration, though not a regional state, enjoys similar powers and responsibilities. Accordingly, Addis Ababa issued directive No. 19/2014 Expropriation of Landholding for Public Purpose and payment of compensation and replacement land (unofficial translation). A binding document, the directive gives direction on how to participate affected persons, information and document gathering, entitlement (and exclusion to entitlement) to land and landed property, calculation of payable compensation on landed property and relocation, effecting compensation payment and replacement land (or exclusion of one).

Notification of affected people to hand over land, grievance redressing and rehabilitation activities of the displaced is included in the directive.

6.2 Institutional Arrangements

At Federal level, developing overarching policies and laws in relation to land acquisition and resettlement is the responsibility of Ministry of Urban Development and Housing.

Hierarchically regional states have institutional arrangements reaching woreda (districts) level, lower tier of government, responsible for implementing national projects. Addis Ababa city administration has a status equivalent to regions with institutional arrangements mirroring regional state structures with the exception of few (Addis Ababa being a city state).

Land Development and Management Bureau Restructured in 2012 (proclamation no 35/2012) is responsible to deal with land development and related activities in Addis Ababa. Land Development and Urban Renewal Agency, under the auspicious of the bureau, is responsible for preparation of land for development and renewal (in expansion and deteriorating inner city neighborhoods). The management of land acquisition and resettlement activities falls under the roles and responsibilities of the bureau/agency. At sub city level¹⁵, Office for Land Development and Urban Renewal is responsible for land acquisition, valuation and effective compensation. Though the agency does not have an office at the woreda level, woreda¹⁶ administration is involved throughout the process land acquisition, with limited decision making power.

Proclamation No. 455/2005, Article 3 (1), states that urban administration, up on payment of commensurate compensation in accordance with this proclamation, have the power to expropriate urban land for public purpose. The same proclamation, article 14 (2), states that urban administrations may issue directives to facilitate the implementation of the proclamation and related regulation. Accordingly, Directive No. 19/2014 is issued to implement the proclamation at the city of Addis Ababa level.

¹⁵Addis Ababa is divided in to 10 sub cities and 116 urban woredas/districts.

¹⁶ Woreda offices are involved throughout the land acquisition process the absence of bureaucratic relationship is frustrating to personnel's at woreda level. KII found out that the involvement of woredas is limited to executing decisions made at city and sub city level. As an organ closer to the community inability to respond to demands of community is a challenge felt acutely and frequently whenever redevelopments underway.

According to the proclamation, (as well as the directive), land expropriation process starts when the designated project implementing agency(in this case AARTB) informs the city's organ responsible for land expropriation (the Agency) with a letter and pertinent information about the identified land/area one year prior to the commencement of the project, article 5(1). Similar process is initiated to remove utility lines found over or under the identified land. The project implementing agency pays compensation to the utility owner based on the estimation made by same.

Land and property valuation, according to proclamation 455/2004, should be carried out by a certified private/individual or public consultants on the bases of the national formula set under the 137/2007 regulation. In the absence of certified valuers, a committee of experts (5-7 in number) having relevant qualification will be designated by the city administration, proclamation 455/2004 article 10 (2). If the property to be expropriated requires a special knowledge, separate committee with special knowledge will be set by the city administration. The other important institution reviewed at this juncture is the grievance redress. Administrative and legal procedures are set for individuals/institutions to voice their complaints.

The tires of governments have different roles in land acquisition process. Urban administrations are responsible for compensation and rehabilitation to the extent possible, and maintain data regarding properties removed from expropriated landholdings (*Proclamation No. 455/2005 Article 13*). The Regional authorities have a duty to ensure there is compliance with *Proclamation No. 455/2005* at the regional level, to provide technical and capacity building support in implementation at the regional level, and prepare the valuation formulae (*Proclamation No. 455/2005 Article 12*). Addis Ababa, as a Federal city, the responsibilities fall between the bureau and agency. Both the bureau and agency also play a significant role in addressing grievances at different levels (see Annex 4 for summary of proclamation 455/2005).

The proposed project implementation will use the prevailing city structure when the need to acquire land, pay compensation and resettle PAPs arises.

6.3 Land Acquisition and Valuation

The Ethiopian legislation (Proclamation No. 455/2005, and Regulation No. 135/2007) clearly indicates the method for inventorying and valuing of those assets that deems eligible for compensation through proclamations and regulations. According to these legislations, valuation of property is to be carried out by a certified private or public institution or private consultants as per the valuation formulae (Proclamation No. 455/2005 Article 9). The property situated on a land to be expropriated shall be valued by a committee of not more than five experts having the relevant qualification and to be designated by the woreda and urban administration if the land is located in a rural and urban area respectively (Proclamation No. 455/2005 Article 10). A specialized committee of experts may also be set up separately by the same organization (Woreda and urban administration) if required. This process ensures that replacement value or market value is used to compensate the PAPs as required by the World Bank's OP4.12 and that the affected person is not worse off.

Owner of an immovable property (a person with legal document) , expropriated for public purpose, is entitled to compensation of the replacement cost of the immovable property and other improvements made to such land in advance of appropriation (Proclamation 445/2004). The proclamation also states that the estimated compensation should not be less than the cost to construct the minimum housing standard (low cost single room) approved by the city as per the region in which it is located” proclamation 445/2004 article 7(3). The cost of removal, transportation and reinstallation of structures that can be reused is considered in compensation when the situation dictates.

Further, included in the compensation is plot of land as a substitute for the expropriated, whose size will be decided by the city where the property is located. In addition to substitute land, an urban landholder, whose landholding has been expropriated under this proclamation is entitled to a payment of an estimate of a year's rent, (to rent property equivalent to the demolished ,until the person can rebuild the house) or she/ he is allowed to live for free on public house for a year. This article is reiterated, on Directive 19/2014 article 5 sub article 13. When the property under consideration is a leasehold, the lease is provided with alternative land for the remaining lease period (provided that the amount of payment is equivalent if not it will be adjusted to reflect the balance by increasing or decreasing the period) proclamation 455/2005 article 7(5).

The process for land acquisition starts when the relevant government body (the Agency) sends an expropriation order (letter of notification) to the affected landholder citing the date to vacate and the amount of compensation. The directive to be issued by urban local governments may decide on the date to vacate, but proclamation 455/2005 advises that the date should not be less than 90 days. If the land is vacant 30 days is the minimum date given to hand over land. If the land holder refuses to vacate land following with 30 or 90 days (as the case may be), police force may be used, proclamation 455/2005 article (1-3). Expropriation order is issued after payment is made to the affected person or is deposited (in cases where the affected person is unwilling) in a blocked bank account.

All compensation options and types must be clearly and plainly explained to the affected individual or household or the community. The city administration resettlement committee (CRC) lists all property and surrender land and the types of compensation (cash and/or in-kind) sought. The compensation contract will be read aloud in the presence of the affected party and all others prior to signing it. The inventory and valuation will be signed and a copy will be given on the spot to the PAPs. This copy is not official until it is reviewed and approved by the City EPLAUA, and returned to the PAPs

The formula to estimate value is made based on the *Council of Ministers Regulations No. 135/2007, on the Payment of Compensation for Property Situated on Landholdings Expropriated for Public Purposes* is provided in full in Annex-5. The regulations provide the methodology for assessing compensation or replacement of expropriated assets under the following headings:

- Assessment of Compensation for buildings, fences, crops, perennial crops, trees, protected grass, permanent improvement on rural land, relocated property, mining licenses and compensation for burial-grounds.
- Formulas for calculating compensation are provided for: buildings, crops, unripe perennial crops, ripe perennial crops, relocated property and for protected grass.
- Provision of replacement for urban and rural land is made by directive issued at regional/ city level.

- Displacement compensation for crops and perennial crops, protected grass or grazing land and for provisional expropriation of rural land.
- Miscellaneous provisions state:
 - There shall be no payment of compensation with respect to any construction or improvement of a building, any crops sown, perennial crops planted or any permanent improvement on land, where such activity is done after the possessor of the land is served with the expropriation order.
 - A local urban government shall, for the purpose of the implementation of the Proclamation and these Regulations, record properties situated on a landholding subjected to an expropriation order.
 - Any person who claims for payment of compensation shall produce proof of legitimate possession of the expropriated landholding and ownership of the property entitling compensation.

Cost for building, crop, trees, utilities and infrastructure are all calculated based on current price, the unit price of which is revised periodically by professionals drawn from relevant organs in the city administration. Guideline/Forms for asset inventory and calculation of cost of assets, rent estimation, substitute land (by function & location) are detailed out on directive No. 19/2014 (*Addis Ababa City Administration, Expropriation of Landholding for Public Purpose and payment of compensation and replacement land*) which the city of Addis Ababa is currently using. For losses that cannot easily be valued or compensated in monetary terms (e.g. access to services) *Proclamation No. 455/2005 Article 7(2)* states that an attempt will be made to establish access to equivalent and culturally acceptable resources and earning opportunities during relocation.

6.4 Eligibility and Entitlements for Compensation

Eligibility Criteria

Eligibility for compensation is discussed in *Article 44(2)* of the 1995 Constitution and *Proclamation No 455/2005*. **Both give entitlement only to those who have formal legal rights over their land holdings.** *Proclamation No 455/2005, Article 2 (3)* stipulates that

“Landholder means an individual, government or private organization or any other organ which has legal personality and has lawful possession over the land to be expropriated and owns property situated thereon.” Article 2 (3) notes that compensation is paid to those who have legally occupied the land and those who have property on such land developed through their labor and capital. They will only qualify for the compensation if they occupied the project area prior to a cut-off date established by the Compensation and Resettlement Committees. To ensure the interest of project affected persons and mitigating the negative impacts of the project, this RPF will be based on the existing national laws on expropriation and compensation payments and World Bank’s policy on Land acquisition.

Eligibility for Land

According to Proclamation No. 455/2005, article 8 sub-articles 4, land for land compensation in urban setting (urban land holder) will be applied to PAPs who might lose their land. This is done *only for those who have formal legal rights over the land, the size of which is determined by the urban administration.* Persons who encroach on the area after the cut-off date are not entitled to compensation or any other form of resettlement assistance.

PAPs who are entitled for compensation under the Ethiopian legislation will be compensated for the land they lose, and other assistance ensuring that they are (i) informed about their options and rights pertaining to resettlement, (ii) consulted and provided with technically and economically feasible resettlement and (iii) provided prompt and effective compensation at full replacement cost for losses of assets attributable directly to the project.

Eligibility for Community Compensation

It is important to note that the eligibility may also be claimed collectively, e.g. as a community or religious group, when the assets lost are of communal property or use. Individuals or families can claim individual eligibility for loss of assets of a private nature to that individual or household. Communities on communal land that permanently lose land and/or access to assets and or resources under statutory or customary rights will be eligible for compensation. Example of community compensation could be for public toilets, market places, schools buildings and health centres, religious centres, or access to alternative source of natural resources to restore

their livelihoods. The rationale for this is to ensure that the pre-project socio-economic status of communities where adversely impacted, is also restored.

Most sub-projects do not normally take land and other assets belonging to a community, such as a community center, school, or sacred site, if this occurs in a sub-project, the community (as a whole) will be compensated. The compensation will be in the form of reconstruction of the facility (in case of damages) or replacement of at least the same standard or equivalent or better standard required by local planning regulation.

Eligibility for Loss of Property/Assets

This includes loss of houses, crops and trees, structures, fixed improvements, businesses which should be compensated at market value, negotiated settlements, productivity valuation, material and labour valuation. PAPs that lose their property or assets will be compensated as per:-

1. Proclamation No 455/2005 Expropriation of Landholdings for Public Purposes and Payment of Compensation which establishes the legal principles and framework for expropriation and compensation. According to Proclamation No. 455/2005 persons are entitled to compensation of
 - (i) Permanent improvements made on land equal to the value of capital and labor expended on the land;
 - (ii) The cost of removal transportation and reinstallation of a property that could be relocated and reused;
 - (iii) A replacement land (when an urban resident's land holding is expropriated) to be used for construction of urban dweller the size of which will be determined by urban administration under consideration ;
 - (iv) Displacement compensation equivalent to annual rent of similar property¹⁷ (the demolished dwelling house); or reside free of rent on property owned by the city administration;

¹⁷ The Amharic version is slightly different than the English version. The Amharic version states that displacement compensation equivalent to a year's rent of similar property will be made to the affected person.

- (v) Lease holders, in addition to the above mentioned compensation, is entitled to be provided with similar plot of land to use for the remaining lease period; or longer period if the replacement land size is smaller than the initial agreement;
2. Council of Ministers Regulations No. 135/2007¹⁸, on the Payment of Compensation for Property Situated on Landholdings Expropriated for Public Purposes which provide the procedures for application of Proclamation No 455/2005.

According to *Proclamation No 455/2005*, for PAPs who lose their property, will be compensated for the property they lost including permanent improvements made to such land. The amount of compensation for property situated on the expropriated land shall be determined on the basis of replacement cost of the property. The cost of removal, transportation and erection shall be paid as compensation for a property that could be relocated and continue its service as before. Displacement cost will also be compensated for the property situated on the expropriated land.

Tenants:

Assistance will be provided to legal tenant's property affected by the project to maintain their livelihoods and find alternative accommodation.

Directive 19/2014 (Addis Ababa City Administration, Expropriation of Landholding for Public Purpose and Payment of Compensation and Substitute land) makes allowance to households living in public housing (tenants of Keble houses¹⁹) in Addis Ababa . When lands occupied by Keble houses are expropriated, tenants (legal renters) are either placed in new public housing (condominium houses) when they can afford to, or are reassigned to another Keble house (as per the choice of PAPs). But when those Keble houses are used for livelihood (non -residential) or income purposes (small shops, restaurants etc.), no compensation or assistance is made (renters

¹⁸ Directive 19/2014¹⁸, on the other hand states properties that are not entitled to compensation and include (i) Properties constructed or modified, crops and trees planted, or any permanent improvement made after the issuance of expropriation notice; (ii) Properties with no legal building permit issued from appropriate body or shown on legal document showing use right; (iii) Properties demolished based on the interest of landholder on area/site delineated for expropriation, prior to the start of the land acquisition project; (iv) Land leased on temporary bases, up on the expire of lease period or when the agreement states they are not entitled to compensation; (v) No compensation is made to properties of the city administration;

¹⁹ Most of the houses nationalized with the proclamation no. 47/74 Proclamation to Nationalize Land and Extra Urban Houses.

hand over their land and look for alternative place to start over). This practice is against the constitution (*Articles 43(1) and 43(2)*), which states that the people of Ethiopia have the constitutional right to improved living standards and sustainable development and the right to be consulted with respect to policies and projects affecting their communities.

Tenants of private landlords will seek redress from their private lessor by reference to the terms and conditions of their tenancy and civil law.

Displaced persons without legal title

In order to ensure that *displaced persons who do not have legal title* are not adversely affected by TRANSIP subprojects, they will be enabled to maintain their livelihood and assisted to secure accommodation as described below:

- (i) Capacity building training on different technologies, and technical support participate/engage on different livelihood activities;
- (ii) Participate on different income generating/livelihood activities that the project will create;
- (iii) Create access to finance/credit to participate/engage on different livelihood activities.

It is anticipated that the project implementing unit (PIU) will, as part of the ESMF/RPF screening and project preparation processes, investigate closely potential project impacts on resident's livelihoods and fixed improvements to ensure that negative impacts are avoided or minimized and the assistance must be sufficient to improve, or at least restore, lost livelihoods as listed above.

Livelihood Restoration

The World Bank's Operational Policy 4.12 requires that displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher. 'Livelihood' refers to the capacity to gain a sustainable living – a flow of income and wealth accumulation – from a wide range of natural and social resources. Livelihood improvement, therefore, is not accomplished by *compensation for lost*

assets. The policies clearly state that the displaced should become net beneficiaries of the project that is displacing them, over and above any general benefits accruing to the nation or overall community from the project. The project will implement the following strategies to assist PAPs, in addition to compensation for their asset losses, to improve/restore their livelihood because of implementation of subprojects.

- Capacity building training on businesses which they want to engage;
- Technical support in Business Plan Preparation, and implementation of the businesses; and
- Follow up, supervision and monitoring of the implementation of business.

Special Restoration Measures for Vulnerable Group/PAPs

The income restoration measures will also target the vulnerable persons to ensure that they are reasonably assisted to overcome potential economic shock from the project, and maintain the quality of life not less than their pre-project state because; they are at higher risk than others based on their vulnerability status.

The type of livelihood restoration suitable to each PAP will be identified by the resettlement committee in consultation with PAPs. As minimum indicator to be considered, PAPs level of education, age and present means of livelihood should be assessed.

Method to Determine Cut-Off Dates

The cut-off date is the time when the affected persons and their properties are assessed. Once the sub-project has been legally approved and a permit provided, a RAP will be prepared (if required) for the sub-project that may result in Involuntary Resettlement. As part of the RAP, a census will be undertaken to identify cutoff date for eligibility for resettlement and compensation. It is a key; therefore, that this date is fully communicated to all potential PAPs in the project affected area with sufficient time for these people to ensure their availability for the Census.

The potential PAPs will be informed through both formal notification in writing and by verbal

notification delivered in the presence of the community leaders or their representatives. Once the census had been undertaken, the lists will be verified physically and will then be reviewed and approved. Once these lists have been approved, thereafter, no new cases of affected people will be considered.

6.5 Dispute Resolution and Grievance Redress Procedures

The constitution provides a broad framework for systematizing Grievance Redress Mechanism concept with its emphasis on respect for human rights and fundamental freedom, especially the right of access to justice, rule of law and democratic governance. Consistently, though the practice has a long way to go to please all actors, proclamation 455/2005 and regional/city directives has put in place grievance redressing mechanisms.

In local governments where complaint hearing organ is not established, a complaint regards to amount of compensation shall be submitted to a regular court (proclamation 455/2005 article 11 (1)). However, in local governments where an administrative organ is established, a landholder dissatisfied with his/her compensation can lodge their complaint to an administrative unit established for such purpose. A decision is made based on the time stated on directives to be issued by respective local governments (i 20 days for Addis Ababa). An appeal is made to a regular appellate court or municipal tribunal court (Proclamation 455/2005 11 (4), by a dissatisfied party.

In the case of Addis Ababa, there are two administrative grievance hearing stages (sub city and city level before appealing to a court. However, before a grievance is officially made, the department responsible for valuation at sub city level revises the valuation process based on logged complaint²⁰. Unsatisfied appellant proceeds to the grievance hearing section, which hierarchically reaches up to the city level. If an appeal is not addressed as per the interest of the appellant, the case can be taken to a regular court. An appeal to regular appellate court must be made within 30 days of the administrative decision. The court's decision is final. However, an

²⁰ According to directive 19/2014, clearly states that to minimize complaints from PAPs and transparency, observers are elected by PAPs (at least ¾ of PAP should be present during the election) to observe the inventory of assets. Data collected at this level are entered in to an automated formula to estimate the value of an asset.

appellant could take the case to High Court in relation to procedural issues like the amount of compensation, delays in payment and related cases.

According to the regulation 455/2005, execution of an expropriation order will not be delayed due to complaint regarding compensation payments, thus a person can only appeal after showing proof that he /she has handed over the property to appropriate organ.

Even if the city's grievance redress system looks straight forward and the city claims appeals are few in number, scaling up of the redevelopment/renewal scheme is likely to create congestion and backlog on the existing grievance redress system. To avoid such cases, to make the existing practice more transparent and participatory and expedite grievance hearing, project level, *community based, - compensation, resettlement and grievance hearing -community should be introduced/established. This committee will remain functional throughout the project implementation phase.* Composition, Roles and responsibilities, will be defined by the RAP.

6.6 Comparison of National Legislation with World Bank OP 4.12

There are some gaps between Ethiopian laws and regulations and the requirements for resettlement as laid out in OP 4.12. In some cases, the Ethiopian laws and regulations are not compatible with the Bank's OP 4.12 provisions. Below is a short discussion of the most important differences.

The Bank's policy recognizes that involuntary resettlement may cause severe temporary and long-term hardship, impoverishment, and environmental damage unless appropriate measures are carefully planned and carried out. The overall objectives of the Bank's policy on involuntary resettlement are:

- (a) Involuntary resettlement should be avoided where feasible, or minimized, exploring all viable alternative project designs.
- (b) Where it is not feasible to avoid resettlement, resettlement activities should be conceived and executed as sustainable development programs, providing sufficient investment resources to enable the persons displaced by the project to share in project benefits.

Displaced persons should be meaningfully consulted and should have opportunities to participate in planning and implementing resettlement programs.

- (c) Displaced persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

Proclamation 455/2005, a legal framework within which resettlement activities must be conducted, brought Ethiopian legislation more in line with international best practice requirements. However, there are still some differences between the GoE legislation and the World Bank Policy OP 4.12 in the general principles for resettlement, eligibility criteria, the notification period for expropriation and resettlement, and the procedures required throughout the resettlement process. Below is a short discussion of the most important differences:

- While OP 4.12 requires that compensation be completed prior to the start of the project's civil works, construction, or activities. Even though the Ethiopian law says the same, if a PAP dissatisfied with the amount of compensation lodges a complaint, his/her case is addressed after the site is handed over
- Ethiopian law does not make any specific accommodation for squatters or illegal settlers, other than recognition of some use-rights, such as when settlers can claim rights to the land. OP 4.12 requires that affected communities be consulted regarding project implementation and resettlement. Affected communities should also receive the opportunity to participate, implement, and monitor resettlement. However, Ethiopian law states that, when it is determined that a right of way must be established, the expropriation rights of the State take precedence. Participation, in the case of Addis Ababa is to ensure the procedure in the law is respected.
- Ethiopian law makes no specific accommodations for potentially vulnerable groups such as women, children, the elderly, ethnic minorities, indigenous people, the landless, and those living under the poverty line (though reference is made in the constitution). These groups are at highest risk to experience negative effects due to resettlement, and should receive special consideration during the preparation of a resettlement policy framework to assure that they can maintain at least the same standard of living after displacement takes place.

- Finally, there is also no provision in the law that the state should attempt to minimize involuntary resettlement. However, this appears to be implicit in the country's *Constitution*.

To ensure the interest of project affected persons and mitigating the negative impacts of the subprojects, this RPF is based on the existing national laws on expropriation and compensation payments and the OP4.12 requirements. To bridge the gaps mentioned above and address the negative impacts of the resettlement activities on these groups, the standards set by OP4.12 and the following strategies will be followed:

- Capacity building training on different technologies, and technical support to participate/engage on different livelihood activities should be provided to DPs (e.g. persons whose livelihood/income depends on properties rented from Keble properties and temporary lease holders);
- Participate on different income generating/livelihood activities that TRANSIP will create;
- Create access and opportunity for PAPs to participate/engage on different livelihood activities envisaged by the city;
- Follow up and monitoring of the resettlement and livelihood restoration activities.

Table 5: Summary of Comparison of GoE Legislation and World Bank’s OP4.12 and Recommendations to Address Gaps

<i>Theme</i>	<i>WB OP/BP 4.12</i>	<i>Ethiopian Law</i>	<i>Comparison</i>	<i>Recommendations</i>
Policy Objectives	<p>OP4.12 requires that involuntary resettlement should be avoided wherever possible or minimized by exploring alternatives.</p> <p>Resettlement program should be sustainable, include meaningful consultation with affected parties and provide benefits to affected parties</p> <p>Displaced persons should be assisted in improving livelihoods etc. or at least restoring them to previous levels</p>	<p>The Constitution of Ethiopia and Proclamation No 455/2005 give power to Wereda or urban administrations to expropriate rural or urban landholdings for public purpose where it believes that it should be used for a better development</p> <p>Article 7(5) states that the cost of removal, transportation and erection shall be paid as compensation for a property targeted for the project.</p>	<p>Avoidance or minimization of involuntary resettlement is not specified in the Ethiopian legislation.</p> <p>Proclamation No 455/2005 allows for a complaints and grievance process.</p> <p>Proclamation No 455/2005 allows for some form of support to the displaced persons, but does not explicitly specify consultation with affected persons through the process.</p>	<p>World Bank OP 4.12 overall objectives shall be applied to avoid or minimize involuntary resettlement and to ensure consultation throughout the process.</p>
Notification period /timing of displacement	<p>Article 10 of OP4.12 requires that the resettlement activities associated with implementation of the development project to ensure displacement or restriction of access does not occur before necessary measures for</p>	<p>Article 4 of Proclamation No 455/2005 requires notification in writing, with details of timing and compensation, which cannot be less than 90 days from notification. It requires that land should be handed over within 90 days of</p>	<p>There is a gap in Proclamation No 455/2005 to allow land to be expropriated before necessary measures for resettlement take place, particularly before the displaced person has been paid. This can have serious</p>	<p>OP4.12 shall be applied to ensure displaced person compensated and supported prior to handover of land to the development.</p>

<i>Theme</i>	<i>WB OP/BP 4.12</i>	<i>Ethiopian Law</i>	<i>Comparison</i>	<i>Recommendations</i>
	resettlement are in place. In particular, taking of land and related assets may take place only after compensation has been paid and where applicable, resettlement sites and moving allowances have been provided to displaced persons.	payment of compensation payments. If there is no crop or other property on the land, it must be handed over within 30 days of notice of expropriation. It further gives power to seize the land through police force should the landholder be unwilling to hand over the land	consequences for those affected, as they may be displaced without shelter or any means of livelihood.	
Eligibility for Compensation	OP4.12 gives eligibility to all PAPs whether they have formal legal rights or do not have formal legal rights to land, but have a claim to such land and those who do not have recognizable legal right or claim to the land.	Proclamation No 455/2005, Article 7(1) allows 'landholders' to be eligible for compensation if they have lawful possession over the land to be expropriated and owns property situated thereon"	While Ethiopian law only grants compensation to those with lawful possession of the land, OP4.12 entitles compensation to all affected individuals regardless of landholding rights to land titles (including squatter settlements)	TRANSIP RPF document acknowledges in an event where there is a discrepancy between the national law and WB OP/BP4.12 guidelines, the WB policy prevails.
Compensation	World Bank OP4.12 Article 6(a) requires that displaced persons be provided with prompt and effective compensation at full replacement cost for losses of assets attributable directly to the project. If physical	Article 7 of Proclamation No. 455/2005 entitles the landholder to compensation for the property on the land on the basis of replacement cost; and permanent improvements to the land, equal to the value	The World Bank requirement for compensation and valuation of assets is that compensation and relocation must result in the affected person securing property and a livelihood to at least equivalent standards as before.	The World Bank requirements for compensation must be followed, as per OP4.12 footnote 1, which states, "Where domestic law does not meet the standard of compensation

<i>Theme</i>	<i>WB OP/BP 4.12</i>	<i>Ethiopian Law</i>	<i>Comparison</i>	<i>Recommendations</i>
	relocation is an impact, displaced persons must be provided with assistance during relocation and residential housing, housing sites and /or agricultural sites to at least equivalent standards as the previous site. Replacement cost does not take depreciation into account. In term of valuing assets. If the residual of the asset being taken is not economically viable,	of capital and labor expended. Where property is on urban land, compensation may not be less than constructing a single room low cost house as per the region in which it is located. It also requires that the cost of removal, transportation and erection will be paid as compensation for a relocated property continuing its service as before. Valuation formula are provided in Regulation No. 135/2007	This is not clearly stated in local Proclamations. It is expected that the regulations and directives will provide more clarity and clearer guidance in this regard.	at full replacement cost, compensation under domestic law is supplemented by additional measures necessary to meet the replacement cost standard”
Responsibilities of the project proponent	According to OP4.12, Article 14 and 18, the borrower is responsible for conducting a census and preparing, implementing, and monitoring the appropriate resettlement instrument. Article 24 states that the borrower is also responsible for adequate monitoring and evaluation of the activities set forth in the resettlement	Article 5 of Proclamation No 455/2005 sets out the responsibilities of the implementing agency, requiring them to gather data on the land needed and works, and to send this to the appropriate officials for permission. It also requires them to pay compensation to affected landholders	The process required for the project proponent / implementing agency lacks descriptive processes in local legislation.	As per the World Bank requirements, project processes included screening, a census, and the development of a plan, management of compensation payments and monitoring and evaluation of success. It must also include proper consultation with the affected parties

<i>Theme</i>	<i>WB OP/BP 4.12</i>	<i>Ethiopian Law</i>	<i>Comparison</i>	<i>Recommendations</i>
	<p>instrument. In addition, upon completion of the project, the borrower must undertake an assessment to determine whether the objectives of the resettlement instrument have been achieved. This must all be done according to the requirements of OP4.12. Article 19 requires that the borrower inform potentially displaced persons at an early stage about the resettlement aspects of the project and takes their views into account in project design.</p>			throughout the process.

Part 7: Estimated Populations, Nature of Displacement and Categories of Project Affected People (PAPs)

7.1 Nature of Displacement

This Resettlement Policy Framework considers project affected people as those who stand to lose as a consequence of the project, all or part of their physical and non-physical assets, including homes, productive lands, and resources such as perennial and non-perennial crops, forests, commercial properties, and income-earning opportunities. Such impacts may be permanent or temporary. This might occur through land expropriation and restricted or reduced access to important livelihood resources.

The policy framework applies to all economically and/or physically displaced persons regardless of the total number of affected persons, the severity of impact and whether or not they have legal title to the land. Particular attention will be paid to the needs of vulnerable groups among those economically and/or physically displaced especially those below the poverty line, the landless, the elderly, women and children or other economically and/or physically displaced persons who may not be protected through Ethiopian's legislation related to land exploration.

The activities in TRANSIP that are expected to have some land acquisition or restriction of access include the following:

- (i) Installation of drainage facilities, roadside furniture, street lighting;
- (ii) Redesign intersections and construction of pedestrian bridges,
- (iii) Modifying intersections, strengthening and replacement of pavements in some sections, and construction of new sideway walks and/ or widening the existing walkways within the right of way;

7.2 Categories of Project Affected Peoples (PAPs)

Land acquisition for sub-projects may result in negative impacts to different categories of PAPs. Until the exact sub-project locations are determined, it is not possible to estimate the likely number of people who may be affected. However, the likely displaced (economically or physically) persons can be categorized into three groups namely:

Project Affected Persons (PAPs): are individuals whose assets may be lost, including land, property other assets, and/or whose access to natural and/or economic resources may be reduced as a result of activities related to sub-project(s).

Project Affected Households: are groups of PAPs in one household and where one or more of its members are directly affected by the project. These include members like the head of household, male and female members, dependent relatives, tenants, etc.

Underserved and Vulnerable groups of people: These include groups which are economically or socially tied to their land but the land might not be under legal ownership pursuant to GoE law (including properties rented from Keble and used as source of income). Therefore, land acquisition might impact their lives seriously, From these households the project will separately identify the vulnerable members, such as those who are too old or too ill; children including orphans; families affected and/or infected by HIV/AIDS; vulnerable women; unemployed youth; people with disability; etc. Households headed by women that depend on sons, brothers, and others for supports are especially vulnerable.

7.3 Number of PAPs

It is not possible to determine the number of Project Affected People at this stage in the project as the exact foot print of the sub-projects is not known. The purpose of this RPF is therefore to establish the mechanisms by which the appropriate tools, screening checklists and RAPs/ARAPs will be implemented to mitigate potential resettlement impacts once exact impacts of sub-projects have been identified. For each sub-project, which might require physical and/or economic resettlement, the number of PAPs will be established through a RAP/ARAP which will be elaborated before project implementation.

PAPs will be informed of their rights under national laws (GoE laws recognizing rights or use) and this RPF (and eventually RAPs), and the project will offer them adequate compensation as stated in the entitlement matrix together with culturally appropriate development opportunities. In the RAP,

- All potential PAPs should be identified (through a scoping exercise) and informed about their options and rights pertaining to compensation for land and assets to be acquired by the sub-project(s);
- PAPs must be consulted about land acquisition and compensation and offered technical and financial options, including the most economically feasible alternatives; and
- PAPs should receive adequate compensation at full replacement cost based on current market price for losses of assets and access attributable to the sub-project.

Part 8: Organization, Procedures & Responsibility

8.1 Screening²¹

Screening is used to identify the types and nature of potential impacts related to the subproject proposed under TRANSIP, and provide adequate measures to address the impacts. The screening process ensures that TRANSIP subprojects comply with the requirements of Ethiopian Law according to *Proclamation No 455/2005 Council of Ministers Regulations No. 135/2007* and *Addis Ababa city directive No 19/2011*.

Screening will be undertaken by the office for Addis Ababa Land Development and Management bureau/ Addis Ababa Land Development and Urban Renewal Agency in consultation with the AABRT / PIU with the use of the Screening Tool (see Annex 7) as part of the environmental and social screening process for each of the civil works of the subproject as detailed in the ESMF. It will take place as early as possible and will identify land that is to be taken for the project and PAPs who will need to be resettled and/or compensated. This will be in consultation with the affected parties to ensure that all considerations are taken into account and all potential impacts are identified.

8.2 Census and Asset Inventory Surveys

Data must be collected to identify the persons who will be displaced, people and asset eligible for compensation and assistance, and to discourage inflow of people who are ineligible for these benefits. The Census will:

- Provide initial information on the scale of resettlement to be undertaken;
- Identify gaps in information and give an indication of further socio-economic research needed to quantify losses to be compensated and, if required, to design appropriate development interventions (including redesigning the civil works); and
- Establish indicators that can be measured at a later date during monitoring and evaluation.

²¹This is the same form as in the ESMF to enable a simple screening process for initial identification of social and economic impacts.

The Census is a socio-economic survey that should be undertaken by a consultant or (own force) contracted by the Land Development and Urban Renewal Office or own staff (force) at the sub city and woreda levels, assisted by the agency at the city level. The survey should involve the affected person and observers selected from the community. The Census survey will be accompanied by a Land Asset Inventory to determine what assets will need to be compensated for during the resettlement process. A sample inventory form can also be found in Annex 7.

. If the Screening Report shows that no resettlement is required, the development of a Resettlement Action Plan is *not* necessary. However, if the Screening Report shows that resettlement will be required a *Resettlement Action Plan (RAP)* will be developed; The Screening Report will be submitted by the agency/consultant to the city Executive organ (including the bureau AALDMB) and Mayor's Committee²²) for review.

8.3 Development of RAP/ARAP

RAP is required, if land will be acquired, and affected people are displaced from land or productive resources and the displacement results in relocation, the loss of shelter, the loss of assets or access to assets to economic activities; the loss of income sources or means of livelihood; or the loss of access to locations that provide higher income or lower expenditure to business or persons. When a subproject is expected to cause physical and economic resettlement, RAP must be prepared. As part of the preparation of RAP, socio-economic census and asset inventory will be conducted to determine the nature of resettlement or land take. An important aspect of preparing a RAP is to establish appropriate data to identify the persons/household/community and their assets who will be affected by the individual subproject, people eligible for compensation and assistance, and to discourage inflow of people who are ineligible for these benefits. In essence, the census will achieve the following:

- Provide initial information on the scale of resettlement to be undertaken;

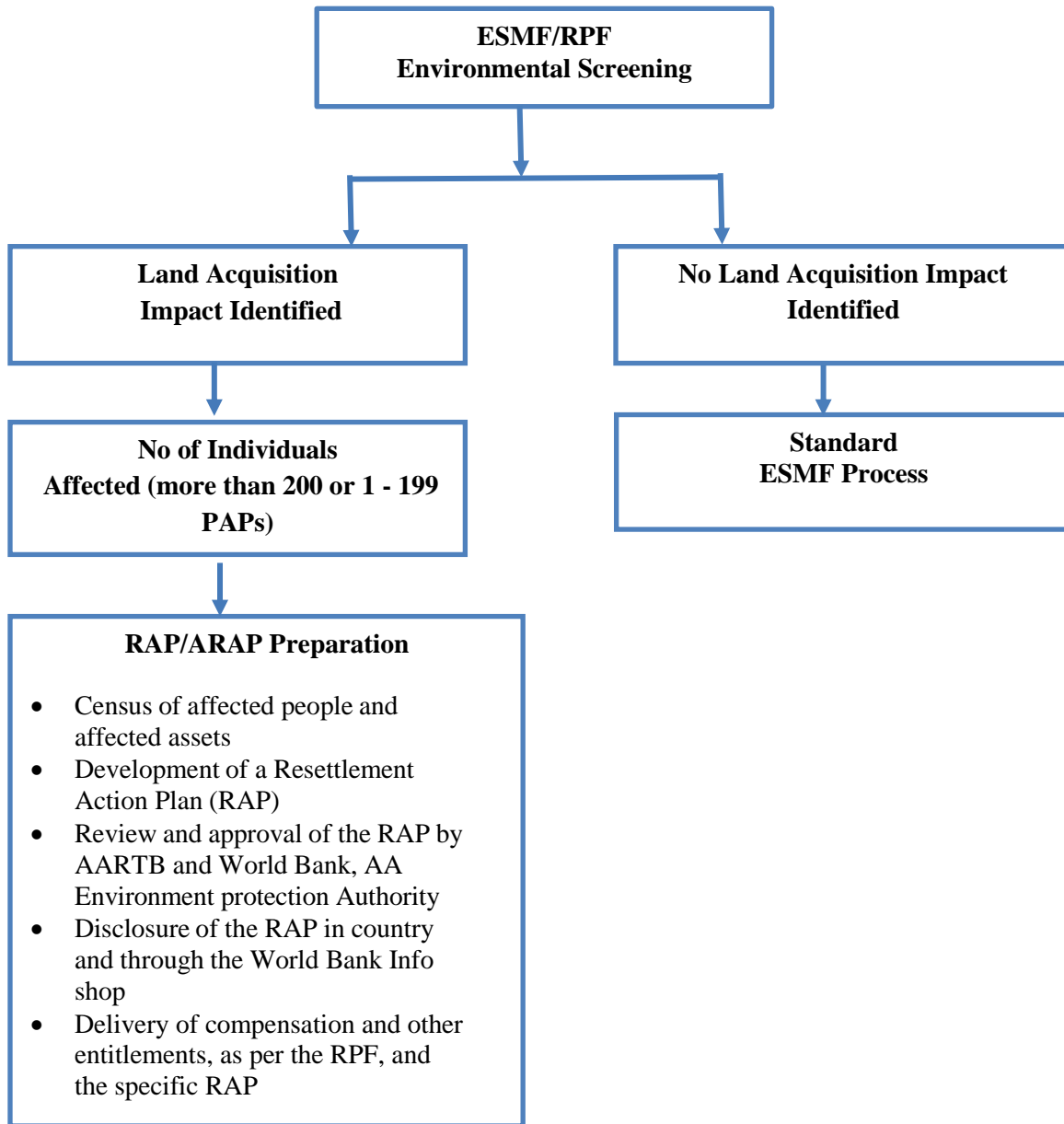
²² Recent development show that constituents directly report to the Mayor for intervention on land Expropriation process. Having this information at hand helps provide informed decision..

- Identifies gaps in information and gives an indication of further socio economic research needed to quantify losses to be compensated and, if required, to design appropriate development interventions; and
- Establishes indicators that can be measured at a later date during monitoring and evaluation.

Where, relocation or loss of shelter occurs, following the socio-economic survey and identification of affected parties, a RAP or ARAP will be developed as per the below framework in figure 2.

The preparation of a RAP will be done by the bureau/office at the city and sub-city level with the support of a consultant contracted by the PIU or the AARTB. It will be prepared in consultation with the affected parties, particularly in relation to methods of valuation, the cut-off date for eligibility, disturbances to livelihoods and income-earning activities, compensation payments, potential assistance and timeframes. PAs will also serve in different committees that will be formed during the preparation and implementation of the RAP.

Figure 2: Resettlement Policy Framework



Preparation of RAP

The RAP preparation process must ensure that a specific, auditable process has been followed, that is appropriate to the impact and allows for consultation throughout the process. It must also ensure that those affected by resettlement, whether economic or physical, are no worse off, (preferably better off), than before. The RAP should include the following:

- Identification of project impacts and PAPs (by category and entitlement);
- Legal framework for land acquisition and compensation;
- Asset inventory survey (including utility lines, access road, access to service)to determine the type of compensation and substitution²³;
- Compensation framework
- Description of resettlement assistance and restoration of livelihood activities (including source of income/livelihood, detailed budget and implementation schedule)
- Description of organizational responsibilities
- Framework for public consultation, participation, and development planning
- Description of provisions for complaints and appeals
- Framework for monitoring, evaluation, and reporting

Preparation of an Abbreviated Resettlement Action Plan

An ARAP must be developed if the loss is a small percentage of the affected party's livelihood, such as the loss of part of a fence surrounding a property or– when between 1 and 199 individuals are affected. This needs to include at a minimum those aspects as set out :

- A census survey of displaced persons and valuation of assets;
- Description of compensation and other resettlement assistance to be provided;
- Consultations with displaced people about acceptable alternatives;
- Institutional responsibility for implementation and procedures for complaints and appeals;
- Arrangements for monitoring and implementation; and
- A timetable and budget

8.4 Review and Submission to City Authorities

Following completion of the RAP, the consultant/ Agency/ Office must submit the RAP to

²³ Standard form as issued by Addis Ababa Land Management and Urban Renewal Agency, Directive 19/2012

AARTB/PIU for approval, ensuring compliance with the RPF. The RAP is also to be submitted to the World Bank - to ensure compliance with the RPF and Ethiopian Law.

Capacity for RAP review and approval will be developed at the agency and involved sub city offices through support of both bureaus (AARTB & AALDMB) and PIU. This will be through training and technical assistance to ensure that all implementing agencies and other stakeholders involved discharge their different responsibilities effectively. Community sensitization to rights and responsibilities should be part of capacity building.

Table 6: Summary of RAP/ARAP Implementing Agencies and Responsibilities

Task	Tool	Responsibilities	Supporting Institutions/Agencies
Screening	Screening Checklist	PIU (Consultant)	AALDMB
Review and approval of screening report	GoE & the World Bank legal requirements, and this RPF	AARTB /WB/AAEPA	AALDMB/LDURA
Census and identification of PAPs	Census Survey form (Annex 2)	AALDURA (or Consultant)/PIU	PIU, Sub City.Woreda Community
Land and asset inventory	Land and asset inventory form (Annex 7)	AALDURA (or Consultant)	PIU, Sub City.Woreda PAPs
Development of RAP/ARAP	RPF	AALDURA (or Consultant)/PIU	PIU, Sub City.Woreda
Review and RAP/ARAP Approval	RPF	PIU/WB PAPs	AARTB/AALDMB
RAP/ARAP implementation	RAP	AARTB/PIU Agency	AALDMB
RAP/ARAP M&E, and reporting	List of indicators	PIU/AARTB	AALDMB/LDURA

8.5 RAP/ARAP Implementation Procedures and Implementation Schedule

Implementation schedule

It is essential that the timeframes and action plans associated with the RAPs are linked to the TRANSIP subproject implementation schedule. Provisions must be made for compensation and assistance prior to displacement. The assistance includes provision and preparation of resettlement sites with adequate facilities. In particular, land and related assets may be taken away only after compensation has been paid and resettlement sites and moving allowances

have been provided to affected people. For project activities requiring relocation or resulting in loss of shelter, this RPF further requires that measures to assist PAPs are implemented in accordance with the individual RAPs.

The Implementation Schedule is agreed between Addis Ababa Land Development and Management Bureau/ Land Development and Urban Renewal Agency/ Offices and PAPs and must include:

- Target dates for start and completion of civil works;
- Timetables for transfer of completed civil works to PAPs;
- Dates of possession of land that PAPs are using (this date must be after transfer date for completed civil works to PAPs and for payments of all compensation);
- The link between RAP activities to the implementation of the overall subproject.

When approving recommendations for resettlement during screening, PAPs must confirm that the RAPs contain acceptable measures that link resettlement activity to civil works, in compliance with this policy. Proper timing and coordination of the TRANSIP sub projects shall ensure that no affected persons will be displaced (economically or physically), before compensation is paid and before any project activity can begin.

Compensation payments will be made to displaced persons before commencement of civil works on TRANSIP subprojects (i.e. during the early stages of implementation of the RAP). Following the approval of the RAP, the process of implementation will follow the following process. The comprehensiveness of these steps will depend on the nature and extent of resettlement required.

Step 1: Consultation and Participatory Processes. A participatory approach, (as is also stated in directive 19/2012) is adopted to initiate the compensation process. The consultations must start during the planning stages when the technical designs are being developed, and at the screening stage. The process, therefore, seeks the involvement of PAPs throughout the Census Study for identifying eligible PAPs and throughout the RAP preparation process.

Step 2: Disclosure and Notification. All eligible PAPs are informed about the TRANSIP and its sub projects and the RAP process. A cut-off date is established as part of determining PAPs eligibility. In special cases where there are no clearly identifiable owners or users of the land or asset, the RAP team must notify the respective local authorities and leaders. A “triangulation” of information (affected persons, community leaders and representatives, and other government agency, land valuation expert) may help to identify eligible PAPs. The RAP must notify PAPs about the established cut-off date and its significance. PAPs must be notified both in writing and by verbal notification delivered in the presence of all the relevant stakeholders.

Step 3: Documentation and verification of land and other assets. The city authorities at the agency sub city and woreda offices and local community levels; community elders and leaders; will arrange meetings with PAPs to discuss the compensation and valuation process. For each individual or household affected by the subproject, the RAP preparation team will complete a Compensation Report containing necessary personal information on the PAPs and their household members; their total land holdings; inventory of assets affected; and demographic and socio-economic information for monitoring of impacts. This information will be documented in a Report, and ideally should be witnessed by an independent or locally acceptable body (e.g. Resettlement Committee). The Reports will be regularly updated and monitored.

Step 4: Compensation and Valuation. All types of compensation will be clearly explained to the individual and households involved. These refer especially to the basis for valuing the land and other assets. Once such valuation is established, the Land Management and Urban Renewal office of the sub city office, will produce a Contract or Agreement that lists all property and assets being acquired by the sub-project and the types of compensation selected. The options include in-kind (e.g. replacement land or housing) and cash compensation. All compensation should occur in the presence of the affected persons and the community local leaders/observers selected from the community. Acquired assets will be compensated at replacement costs, (depreciation of structures and assets is not taken into account, nor is the value of materials salvaged by the PAP from an asset, e.g. building materials, pipes, water tankers). For houses and

other structures, the replacement value, if provided as cash compensation, is the current market costs of materials to build a similar or better structure than the one affected (the minimum not less than the amount to build the minimum standard as defined by the city), plus costs of labor/contractors, and the cost of any registration and transfer taxes.

Displaced persons/families will receive relocation assistance to cover (i) the costs of moving to their new location (including transportation, removal and reinstallation) and (ii) an allowance equal to the local average costs of living during a two month transition period to resettle in their new location of residence or business or a year's rent until the construction of the new house.

Community Payments. Although most subprojects do not normally take land and other assets belonging to a community (such as a community center, school, or sacred place), if this occurs in a subproject, the community (as a whole) will be compensated. This compensation will be in the form of reconstruction of the facility (in case of damages) or replacement at least the same standard or equivalent or better standard required by local planning regulation. Examples of community compensation are rehabilitation of school buildings, public toilets, health facilities; creation of market places; and reconstruction of community roads.

TRANSIP Grievance Redress Mechanism

A key element of resettlement activities will be the development and implementation of cost effective and accessible grievance handling mechanism. Grievances will be actively managed and tracked to ensure that appropriate resolution and actions are taken. A clear time schedule will be defined for resolving grievances, ensuring that they are addressed in an appropriate and timely manner, with corrective actions being implemented, and the complainant will be informed of the outcome. Grievances may arise from members of communities who are dissatisfied with (i) the eligibility criteria, (ii) community planning and resettlement measures, or (iii) actual implementation. This chapter sets out the measures to be used to manage grievances.

The grievance redress procedure of the project does not replace existing legal processes. Based on consensus, the procedures will seek to resolve issues quickly in order to expedite the receipt

of entitlements, without resorting to expensive and time-consuming legal actions. If the grievance procedure fails to provide a result, complainants can still seek legal redress. As part of risk mitigation measures, the project would support citizen's complaints or grievances in a formalized, transparent, cost-effective, and time bound manner. All PAPs would be informed about how to register grievances or complaints, including specific concerns on any project activities. Resolution of different types of grievances can be addressed at different levels. The overall process of grievance is as follows:

1. The process of grievance redress will start with registration of the grievances to be addressed for reference, and to enable progress updates of the cases.
2. The project will use a local mechanism, which includes, peers, local leaders of the affected people, and 2 representatives from the PAPs. These will ensure equity across cases, eliminate nuisance claims and satisfy legitimate claimants at low cost.
3. The response time will depend on the issue to be addressed but it should be addressed with efficiency.
4. Compensation will be paid to individual PAPs only after a written consent of the PAPs, including both husband and wife.

Resolution of different types of grievances regarding land acquisition and or resettlement will be attempted at different levels:

Solutions to grievances related to land acquisition impacts should be pursued at the community level with facilitation by compensation and resettlement committee (CRC) at sub-city, worda and sub-worda level and design consultants that the project will assign in order to find technical solutions that avoid or further minimize the need for land acquisition.

- The project team will describe the process for resolving disputes relating to reduced access to natural resources use that might arise between or among communities, and grievances that may arise from members of communities who are dissatisfied with community planning measures, asset measurement and valuation and compensation or actual implementation (local development plans can provide technical solution);
- Solutions to grievances related to compensation amounts, delays in compensation payments or provision of different types of resettlement assistance should be pursued directly by the designated RAP team (PIU) through liaison with the relevant actors.
- Arbitration by administrative organs, should consider the involvement of community leaders;

- Where satisfactory solutions to grievances cannot be achieved, the aggrieved party may take the matter before the tribunal /municipal court.

In all the above cases (# i-iv), two PAPs representatives (at least one of them will be women) will be members of the Grievance Redress Committee.

The subproject RAP team will ensure that community members and in particular PAPs are informed about the avenues for grievance redress, including specific concerns about compensation and relocation, and will maintain a record of grievances received, and the result of attempts to resolve these. This information should be included in TRANSIP regular progress reporting.

Entitlements

The Entitlements Matrix below defines the eligibility for compensation and/or rehabilitation assistance for impacts/losses for different types of assets for different categories of project affected persons. Range of actors, Addis Ababa Road and Transport Bureau and PIU, Addis Ababa Land Development Bureau and its affiliates at city, sub –city, woreda level, Bureau of Finance and Economic Development (BoFED) and its sub city and woreda affiliates; Utility providers (Ethio-Telecom, EEPCO, Water and Sanitation;

Table 6: Entitlement Matrix

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
Agricultural land	Cash compensation for affected land equivalent to market value	usage title holder	Cash compensation for affected land equivalent to replacement value, taking into compensation rates as per government regulation.
	Less than 20% of land holding affected Land remains economically viable.	Tenant/ lease holder	Cash compensation for the harvest or product from the affected land or asset, equivalent to ten times the average annual income s/he secured during the five years preceding the expropriation of the land.
	Greater than 20% of land holding lost Land does not become economically viable.	Farmer/ Title holder	Land for land replacement where feasible, or compensation in cash for the entire landholding according to PAP's choice, taking into account market values for the land, where available Land for land replacement will be in terms of a new parcel of land of equivalent size and productivity with a secure tenure status at an available location which is acceptable to PAPs. Transfer of the land to PAPs shall be free of taxes, registration, and other costs. Relocation assistance (costs of shifting + assistance in re-establishing economic trees + allowance up to a maximum of 12

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
			months while short- term crops mature)
		Tenant/Lease holder	<p>Cash compensation equivalent to ten times the average annual income s/he secured during the five years preceding the expropriation of the land.</p> <p>Relocation assistance (costs of shifting + assistance in re-establishing economic trees + allowance up to a maximum of 12 months while short- term crops mature</p>
Commercial land	Land used for business partially affected Limited loss	Title holder/ business owner	<p>Cash compensation for affected land, taking into account market values for the land, where available.</p> <p>Opportunity cost compensation equivalent to 5% of net annual income based on tax records for previous year (or tax records from comparable business, or estimates where such records do not exist).</p>
		Business owner is lease holder	Opportunity cost compensation equivalent to 10% of net annual income based on tax records for previous year (or tax records from comparable business, or estimates where such records do not exist).
	Assets used for business severely affected	Title holder/business owner	Land for land replacement or compensation in cash according to PAP's choice; cash compensation to take into account market values for the land, where

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
	<p>If partially affected, the remaining assets become insufficient for business purposes.</p>		<p>available. Land for land replacement will be provided in terms of a new parcel of land of equivalent size and market potential with a secured tenure status at an available location which is acceptable to the PAP.</p> <p>Transfer of the land to the PAP shall be free of taxes, registration, and other costs.</p> <p>Relocation assistance (costs of shifting + allowance)</p> <p>Opportunity cost compensation equivalent to 2 months net income based on tax records for previous year (or tax records from comparable business, or estimates)</p>
		<p>Business person is lease holder</p>	<p>Opportunity cost compensation equivalent to 2 months net income based on tax records for previous year (or tax records from comparable business, or estimates), or the relocation allowance, whichever is higher.</p> <p>Relocation assistance (costs of shifting)</p> <p>Assistance in rental/ lease of alternative land/ property (for a maximum of 6 months) to reestablish the business.</p>
<p>Residential land</p>	<p>Land used for residence partially affected,</p>	<p>Title holder</p>	<p>Cash compensation for affected land, taking into account market values for the</p>

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
	<p>limited loss</p> <p>Remaining land viable for present use.</p>		land, where available.
		Rental/lease holder	Cash compensation equivalent to 10% of lease/ rental fee for the remaining period of rental/ lease agreement (written or verbal)
		Title holder	<p>Land for land replacement or compensation in cash according to PAP's choice; cash compensation to take into account market values for the land.</p> <p>Land for land replacement shall be of minimum plot of acceptable size under the zoning law/s or a plot of equivalent size, whichever is larger, in either the community or a nearby resettlement area with adequate physical and social infrastructure systems as well as secured tenure status.</p> <p>When the affected holding is larger than the relocation plot, cash compensation to cover the difference in value.</p> <p>Transfer of the land to the PAP shall be free of taxes, registration, and other costs.</p> <p>Relocation assistance (costs of shifting +</p>

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
			allowance)
	<p>Land and assets used for residence severely affected</p> <p>Remaining area insufficient for continued use or becomes smaller than minimally accepted under zoning laws</p>	Rental/lease holder	<p>Refund of any lease/rental fees paid for time/use after date of removal</p> <p>Cash compensation equivalent to 3 months of lease/ rental fee</p> <p>Assistance in rental/ lease of alternative land/ property</p> <p>Relocation assistance (costs of shifting + allowance)</p>
Buildings and structures	<p>Structures are partially affected</p> <p>Remaining structures viable for continued use</p>	Owner	<p>Cash compensation for affected building and other fixed assets taking into account market values for structures and materials.</p> <p>Cash assistance to cover costs of restoration of the remaining structure</p>
		Rental/lease holder	<p>Cash compensation for affected assets (verifiable improvements to the property by the tenant), taking into account market values for materials.</p> <p>Disturbance compensation equivalent to two months rental costs</p>
	Entire structures	Owner	Cash compensation taking into account

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
	<p>are affected or partially affected</p> <p>Remaining structures not suitable for continued use</p>		<p>market rates for structure and materials for entire structure and other fixed assets without depreciation, or alternative structure of equal or better size and quality in an available location which is acceptable to the PAP.</p> <p>Right to salvage materials without deduction from compensation</p> <p>Relocation assistance (costs of shifting + allowance)</p> <p>Rehabilitation assistance if required (assistance with job placement, skills training)</p>
		Rental/lease holder	<p>Cash compensation for affected assets (verifiable improvements to the property by the tenant)</p> <p>Relocation assistance (costs of shifting + allowance equivalent to four months rental costs)</p> <p>Assistance to help find alternative rental arrangements</p> <p>Rehabilitation assistance if required (assistance with job placement, skills training)</p>
		Squatter/informal dweller	Cash compensation for affected structure without depreciation

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
			<p>Right to salvage materials without deduction from compensation</p> <p>Relocation assistance (costs of shifting + assistance to find alternative secure accommodation preferably in the community of residence through involvement of the project)</p> <p>Alternatively, assistance to find accommodation in rental housing or in a squatter settlement scheme, if available)</p> <p>Rehabilitation assistance if required assistance with job placement, skills training)</p>
		<p>Street vendor (informal without title or lease to the stall or shop)</p>	<p>Opportunity cost compensation equivalent to 2 months net income based on tax records for previous year (or tax records from comparable business, or estimates), or the relocation allowance, whichever is higher.</p> <p>Relocation assistance (costs of shifting)</p> <p>Assistance to obtain alternative site to re-establish the business.</p>
<p>Standing crops</p>	<p>Crops affected by land acquisition or temporary acquisition or</p>	<p>PAP (whether owner, tenant, or squatter)</p>	<p>Cash compensation equivalent to ten times the average annual income s/he secured during the five years preceding the expropriation of the land.</p>

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
	easement		
Trees	Trees lost	Title holder	Cash compensation based on type, age and productive value of affected trees plus 10% premium
Temporary acquisition	Temporary acquisition	PAP (whether owner, tenant, or squatter)	Cash compensation for any assets affected (e.g. boundary wall demolished, trees removed)
Loss of Livelihood	Households living and/or working on the project area, including title holders/non-title holders/daily laborers working in the market	Rehabilitation Assistance	Training assistance for those interested individuals for alternative income generating activities; providing employment opportunities on the construction site for the PAPs.

8.6 RPF Implementation Budget and Funding Arrangement

In the case of TRANSIP, any required physical resettlement will be financed through counterpart funds from the government of Ethiopia (City Administration). At this stage, it is not possible to estimate the exact number of people who may be affected since the technical designs and details have not yet been developed. It is therefore not possible to provide an estimated budget for the total cost of resettlement that may be associated with implementation of TRANSIP. However, when these locations are known, and after the conclusion of the site specific socio-economic study, information on specific impacts, individual and household incomes and numbers of affected people and other demographic data will be available, a detailed and accurate budgets for each RAP will be prepared. An indicative RAP budget outline can be found in Table 8 below.

Table 8: Indicative Outline of a RAP Budget

Asset Acquisition	Amount or number	Total Estimated Cost	Agency Responsible
Land Acquisition and Preparation			
Land			
Structures			
Economic tress			
Utility lines			
Community infrastructure (school, church/mosque, sports field etc.)			
Relocations			
Transfer of possessions			
Removal and Re-Installation costs			
Economic Rehabilitation			
Training			
Capital Investments			
Technical Assistance			
Monitoring			

Contingency			
#	Item	Costs	Assumptions
1	Compensation for loss of Land	/hectare	For land acquisition purposes, based on the city's current market price, or from similar projects
2	Compensation for Buildings and Structures	When applicable	This compensation may be in-kind or cash. Costs for basic housing needs should include ventilated pit latrines, outside kitchen, and storage. Based on current market price
3	Compensation for Trees	/year/tree	Includes costs of labor invested and average of highest price of trees (and tree products) and city market prices
4	Cost of Relocation Assistance/Expenses	/household	This cost reflects the moving and transportation allowance
5	Cost of Restoration of Individual Income	/income earning adult	Equivalent or higher than the GDP/capita in Ethiopia
6	Cost of Restoration of Household Income	/Income earning members of HH	These costs reflect the livelihood restoration program of the RAP (
7	Cost of Training PAPs	/person	This is a mitigation measure involving capacity building and involves PAPs and affected communities
8	Cost to assist vulnerable groups		These costs reflect the livelihood restoration program of the RAP
9	Cost for monitoring and evaluation		Operational budget of the responsible body (PIU) and per diem

Part 9: Public Consultation and Disclosure Plan

An essential element in the RAP implementation process is consultation and public participation. This will be a continuation of the process entered into during the screening, inventory/census and RAP/ARAP development process, and will depend on the extent of the resettlement impact. The community and landholder will be informed of the approval of the RAP/ARAP and the implications for all PAPs, as well as the likely implications in terms of resettlement, expropriation and compensation. Importantly, this needs to be part of an ongoing process, to ensure that no affected individual/household is simply "notified" one day that they are affected in this way. Instead, this process seeks their involvement and wishes to inform communities in a participatory approach about the project, from the beginning. Public consultations and participation take place through individual, group, or community meetings, and are adopted as on-going strategy throughout the entire project cycle.

The role of traditional political and cultural leaders, including the community elders, in the participation strategy will be important. The Project Team should ensure that these leaders and local representatives of PAPs are fully involved in designing the public consultation procedures. During implementation, PAPs will be informed about their rights and options.

Part 10: Monitoring & Evaluation of Impacts

The purpose of monitoring is to provide project management, and directly project affected persons with timely, concise, indicative information on whether compensation, resettlement and other impact mitigation measures are on track to achieve sustainable restoration and improvement in the welfare of the affected people, or that adjustments are needed.

In short, monitoring answers the question: Are project compensation, resettlement and other impact mitigation measures on time and having the intended effects?

Monitoring verifies that:

- ✓ Actions and commitment for compensation, resettlement, land access, and development in the RAP/ARAP are implemented fully and on time;
- ✓ Eligible project affected people receive their full compensation on time, prior to the start of the main project activities on the corridors;
- ✓ RAP/ARAP actions and compensation measures have helped the people who sought cash compensation in restoring their lost incomes and in sustaining/improving pre-project living standards;
- ✓ Compensation and livelihood investments are achieving sustainable restoration and improvement in the welfare of the PAPs and communities;
- ✓ Compliant and grievances are followed up with appropriate corrective action and, where necessary, appropriate corrective actions are taken; if necessary, changes in RAP/ARAP procedure are made to improve delivery of entitlements to project affected people;
- ✓ Vulnerable persons are tracked and assisted as necessary.

Throughout implementation, the TRANSIP is required to carry out safeguards monitoring to ensure that the Project brings intended benefits, while ensuring that potential adverse environmental and social impacts are avoided or minimized. The arrangements for monitoring the resettlement and compensation activities will fit into the overall monitoring program for the entire project. In order to assess whether the goals of the resettlement and compensation plan are being met, a *Monitoring and Evaluation Plan* (MEP) will be required. It will indicate parameters to be monitored, institute monitoring milestones and provide resources including

responsible persons or institutions to carry out the monitoring activities. The main indicators that the MEP will measure include: (i) impacts on affected individuals, households, and communities to be maintained at their pre-project standard of living, or better; (ii) improvement of communities affected by the project; and (iii) management of disputes or conflicts. In order to measure these impacts, the RAP identifies the specific indicators to be monitored; define how they will be measured on a regular basis; and identify key monitoring milestones (e.g. at mid-point of the RAP implementation process). The detail and complexity of this plan will depend on the nature and extent of the resettlement that takes place.

AARTB/TMPO will institute an administrative reporting system, that:

- Alerts authorities about the necessity and procedures for land acquisition for the project activities and the need to incorporate land acquisition, resettlement, loss of assets and impact on livelihood provisions in the design of technical specifications and budgets;
- Provides timely information about the asset valuation and negotiation process;
- Maintains records of any complaints and appeals that require resolution;
- Documents timely completion of project resettlement obligations (i.e. payment of the agreed-upon sums, construction of new structures, etc.) for all permanent and temporary losses, as well as unanticipated, additional construction damage; and
- Updates the database with respect to changes that occur on the ground as resettlement and compensation activities are being implemented

Periodic evaluations will be made by the PUI and World Bank team in order to determine whether the PAPs have been paid in full and before implementation of the subproject activities; and whether the PAPs enjoy the same or higher standard of living than before.

Indicators

A number of objectively verifiable indicators shall be used to monitor the impacts of the compensation and resettlement activities. These indicators will be targeted at quantitatively measuring the physical and socio-economic status of the PAPs, to determine and guide improvement in their social wellbeing. Therefore, monitoring indicators to be used for the RAP will have to be developed to respond to specific site conditions. As a general guide, Table 7 provides a set of indicators which can be used.

Table 9: Types of Verifiable Indicators

Monitoring <i>(of issues)</i>	Evaluation <i>(of impacts)</i>
Consultation and reach out	<ul style="list-style-type: none"> • Number of people reached or accessing information, information request, issues raised, etc • Number of local CBOs participating
Compensation and re-establishment of PAPs	<p>Physical Progress of Compensation and Assistance</p> <ul style="list-style-type: none"> • Number of PAPs affected (building, land, trees, crops, etc.) • Number of PAPs compensated by the type of loss • Amount compensated by type and owners • Number of replacement asset recovered • Compensation disbursement to the correct parties
Socioeconomic changes	<ul style="list-style-type: none"> • Level of income and standard of living of the PAPs • Number of income restored, improved or declined from the pre-displacement levels
Training	<ul style="list-style-type: none"> • Number of project implementing agencies,
Number of compensation (and valuation) contracts not completed	<ul style="list-style-type: none"> • Outstanding individual compensation or resettlement contracts. • Changes (+/-) in PAPs conditions during transition process • Training / Transformation or life skills/
Number of subprojects unable to settle compensation after 2 years	<ul style="list-style-type: none"> • Changes (+/-) in PAPs income and livelihood conditions
Grievances redress Mechanism	<ul style="list-style-type: none"> • Quality of grievances or disputes resolved (qualitative) • Number of cases referred to GRC/CRC • Number of cases settled by GRC/CRC • Number of cases pending with GRC/CRC • Average time taken for resettlement of cases • Number of GRC/CRC meetings • Number of PAPs moved court • Number of pending cases with the court • Number of cases settled by the court
Pre-project production and income (year before land acquisition) versus present production and income of resettled PAPs who earn income from affected property (e.g. shops, kiosks, market stall,	<ul style="list-style-type: none"> • Affected individuals and/or households compensated or resettled in first year who have maintained their previous standard of living at final evaluation. • Amount of improved production/household

Monitoring (of issues)	Evaluation (of impacts)
MSEs)	
Livelihood restoration programs completed	<ul style="list-style-type: none"> • Changes (+/-) in affected households income levels; • Training provided / number of trainees • Successful transformation to new sector; • PAPs graduated to higher investment
Overall Management	<ul style="list-style-type: none"> • Effectiveness of compensation delivery system • Timely disbursement of compensation • Census and asset verification/quantification procedures in place • Coordination between local community structures, and implementing agencies.

Indicators to determine status of PAPs

A number of indicators can be used to determine the status of affected people. For instance: standard of house compared to before, level of participation in project activities compared to before, how many kids in school compared to before, health standards, etc. Therefore, the resettlement and compensation plans will set two major socio-economic goals by which to evaluate its success:

- Affected individuals, households, and communities are able to maintain their pre-project standard of living, and even improve on it; and
- The local communities remain supportive of the project.

Indicators to measure RAP Performance

In order to access whether these goals are met, the resettlement action plans will indicate parameters to be monitored, institute monitoring milestones and provide resources necessary to carry out the monitoring activities. For example, the following parameters and verifiable indicators will be used to measure the resettlement and compensation plans performance:

- Questionnaire data will be entered into a database for comparative analysis at all levels of local government;
- Each individual will have a compensation dossier recording his or her initial situation, all subsequent project use of assets/improvements, and compensation agreed upon and received;
- Each individual will have a compensation. The Agency/Office will maintain a complete database on every individual impacted by the sub-project land use requirements including relocation/resettlement and compensation, land impacts or damages
- Percentage of individuals selecting cash or a combination of cash and in-kind compensation;
 - Proposed use of payments;
 - The number of contentious cases as a percentage of the total cases;
 - The number of complaints and appeals and time and quality of resolution;
- The ability of individuals and families to re-establish their pre-displacement activities, land and trees or other alternative incomes;
 - Income generating productive enterprises;
 - Number of impacted locals working on the sub projects; and
 - General relations between the project and the local communities.

Reporting Requirement

Monitoring reports of the RPF and RAP/ARAP implementation is prepared for the following tasks: internal monitoring, expert monitoring, completion audit and compensation. PIU will prepare regularly or quarterly performance monitoring report beginning with the commencement of any activities related to resettlement, including income restoration. These reports will summarize information that is collected and compiled in the quarterly narrative status and compensation disbursement reports and highlights key issues that have arisen. As a result of the monitoring of inputs, processes, outputs and outcomes of RAP/ARAP activities, PIU will be advised of necessary improvements in the implementation of the RAP/ARAPs.

Table 9.2 below shows the reporting template to be used for the reporting of the RAP/ARAP implementation.

Table 9.2: RAP/ARAP Implementation Monitoring Template

<p>Table 9.2: Reporting Format on Land Acquisition and property losses Name & Location of Sub-project: Project Sponsor: Project cost:</p>					
<p>Key Dates of implementation For example—application, approval, public consultation, court dates, work start dates etc</p>					
<p><i>Inventory of Land & Assets Acquired from Private Owners</i></p>					
Name of Owners/land user	Project Component: Area(s) / plots(s) acquired (ha)	Owner's/user's % of total land (ha) and %taken	Land use: pasture, agriculture, residence, etc. Inventory of any structures or other fixed or productive assets (wells, fences, trees, field crops, etc) affected. Indicate if land is rented or informally used by another party. Indicate if non-owner users have assets, trees, crops, etc affected Indicate if land-based activity is primary source of income for owner or land user.	Compensation paid. Other actions taken for renters or users. Dates delivered.	Impact on income of owner. Impact on lease or informal land users.
1.					
2.					
3.					
<p><i>Inventory of Public, Community, or State Land Acquired</i></p>					
Land parcels for Project Components Area acquired / parcel	Land type / land use: Forest, commons for grazing, other.	Ownership: State, community, other. Structures or other fixed assets.	Compensation, land transfer, or other measures to mitigate impacts on land users. Specify measures and dates of delivery.		
<p>Public Awareness, Consultations, and Communication (Report on consultation/meeting process)</p>					

Concerns raised at the public consultation	Concerns raised outside public consultation	How these concerns were resolved?	

Status of land Acquisition

Completed	Pending Court decision	ongoing	

Special Assistance provided beyond cash compensation payment of acquired land

Alternative land	Relocation assistance	Livelihood restoration measures	Summary of impact which it addressed

<i>Identification of vulnerable groups</i> For example elderly, disabled, widows, etc	Sources of information for vulnerable groups	Methods and channels used to contact them	Assistance provided to them

Grievance Redress process

Mechanisms available for project impacted persons to register their grievances and complaints.	PAPs awareness of the grievance protocol	Are the Grievance mechanisms and procedures affordable and accessible	Any third party settlement mechanism, involvement of community leaders, NGOs

Report on how project monitoring (land acquisition) will be done to preclude any future social issues after the project is completed.

Completion Audit

The TRANSIP PIU shall commission an external party to undertake an evaluation of RAP's/ARAP's physical inputs to ensure and assess whether the outcome of RAP/ARAP complies with the involuntary resettlement policy of the World Bank, and the national legal requirement related to expropriation of landholding and payments of compensation. The completion audit shall be undertaken after the RAP/ARAP inputs. The audit shall verify that all

physical inputs committed in the RAP/ARAP have been delivered and all services provided. It shall evaluate whether the mitigation measures prescribed in the RAP/ARAP have the desired effect. The completion audit should bring to closure TRANSIP PIU's liability for resettlement.

Annexes

Annex 1: World Bank Involuntary Resettlement Operational Policy

[Excerpt from the World Bank OP4.12 Involuntary Resettlement, Revised April 2004]

These policies were prepared for use by World Bank staff and are not necessarily a complete treatment of the subject. OP 4.12 (Revised April 2004) applies only to projects that are governed by [OP / BP 6.00, Bank Financing](#) - that is, those in countries with [approved country financing parameters](#). Other operational policy statements governing Bank financing that have been amended to reflect OP/BP 6.00 also apply to these projects.

Projects in countries without approved country financing parameters continue to be subject to other operational policy statements governing Bank financing.

Resettlement Policy Framework

For sector investment operations that may involve involuntary resettlement, the Bank requires that the project implementing agency screen subprojects to be financed by the Bank to ensure their consistency with this OP. For these operations, the borrower submits, prior to appraisal, a resettlement policy framework that conforms to this policy (see [Annex](#) <http://wbln0011.worldbank.org/Institutional/Manuals/OpManual.nsf/OPolw/C19E5F010F97E04485256B180070DD3E?OpenDocument><http://lnweb18.worldbank.org/Institutional/Manuals/OpManual.nsf/58AA50B14B6BC071852565A30061BEB6/46FC304892280AB785256B19008197F8?OpenDocument><http://wbln0018.worldbank.org/Institutional/Manuals/OpManual.nsf/whatnewvirt/CA2D01A4D1BDF58085256B19008197F6?OpenDocument>, paragraphs 23-25). The framework also estimates, to the extent feasible, the total population to be displaced, and the overall resettlement costs.

For financial intermediary operations that may involve involuntary resettlement, the Bank requires that the financial intermediary (FI) screen subprojects to be financed by the Bank to

ensure their consistency with this OP. For these operations, the Bank requires that before appraisal the borrower or the FI submit to the Bank a resettlement policy framework conforming to this policy

(see Annex

<http://wbln0011.worldbank.org/Institutional/Manuals/OpManual.nsf/OPolw/C19E5F010F97E04485256B180070DD3E?OpenDocument><http://Inweb18.worldbank.org/Institutional/Manuals/OpManual.nsf/58AA50B14B6BC071852565A30061BEB6/46FC304892280AB785256B19008197F8?OpenDocument><http://wbln0018.worldbank.org/Institutional/Manuals/OpManual.nsf/whatnewvirt/CA2D01A4D1BDF58085256B19008197F6?OpenDocument>, paragraphs 23-25).

In addition, the framework includes an assessment of the institutional capacity and procedures of each of the FIs that will be responsible for subproject financing. When, in the assessment of the Bank, no resettlement is envisaged in the subprojects to be financed by the FI, a resettlement policy framework is not required. Instead, the legal agreements specify the obligation of the FIs to obtain from the potential sub-borrowers a resettlement plan consistent with this policy if a subproject gives rise to resettlement. For all subprojects involving resettlement, the resettlement plan is provided to the Bank for approval before the subproject is accepted for Bank financing.

For other Bank-assisted project with multiple sub projects

<http://wbln0011/Institutional/Manuals/OpManual.nsf/58AA50B14B6BC071852565A30061BEB6/8BC51CC87982E5BD85256B18006D964D?OpenDocument>²⁶ that may involve involuntary resettlement, the Bank requires that a draft resettlement plan conforming to this policy be submitted to the Bank before appraisal of the project unless, because of the nature and design of the project or of a specific subproject or subprojects (a) the zone of impact of subprojects cannot be determined, or (b) the zone of impact is known but precise sitting alignments cannot be determined. In such cases, the borrower submits a resettlement policy framework consistent with this policy prior to appraisal (see Annex

<http://Inweb18.worldbank.org/Institutional/Manuals/OpManual.nsf/58AA50B14B6BC071852565A30061BEB6/46FC304892280AB785256B19008197F8?OpenDocument><http://wbln0018.worldbank.org/Institutional/Manuals/OpManual.nsf/whatnewvirt/CA2D01A4D1BDF58085256B190>

08197F6?OpenDocument, paragraphs 23-25). For other subprojects that do not fall within the above criteria, a resettlement plan conforming to this policy is required prior to appraisal.

For each subproject included in a project described in paragraphs 26, 27, or 28 that may involve resettlement, the Bank requires that a satisfactory resettlement plan or an abbreviated resettlement plan that is consistent with the provisions of the policy framework be submitted to the Bank for approval before the subproject is accepted for Bank financing.

For projects described in paragraphs 26-28 above, the Bank may agree, in writing, that subproject resettlement plans may be approved by the project implementing agency or a responsible government agency or financial intermediary without prior Bank review, if that agency has demonstrated adequate institutional capacity to review resettlement plans and ensure their consistency with this policy. Any such delegation, and appropriate remedies for the entity's approval of resettlement plans found not to comply with Bank policy, is provided for in the legal agreements for the project. In all such cases, implementation of the resettlement plans is subject to ex post review by the Bank.

Annex 2: Glossary of Terms

Census	A field survey carried out to identify and determine the number of Project Affected Persons (PAPs) or Displaced Persons (DPs) as a result of land acquisition and related impacts. The census provides the basic information necessary for determining eligibility for compensation, resettlement, and other measures emanating from consultations with affected communities and the local government institutions.
Compensation	The payment in kind, cash or other assets given in exchange for the acquisition of land including fixed assets, is called compensation. These include other impacts resulting from activities to rehabilitate or cushion the impacts from displacement.
Cutoff Date	The cut-off date is the date of commencement of the census of PAPs or DPs within the project area boundaries. This is the date on and beyond which any person whose land is occupied for program, will not be eligible for compensation.
Grievance Mechanism	The RPF contains a grievance mechanism based on policies and procedures that are designed to ensure that the complaints or disputes about any aspect of the land acquisition, compensation, resettlement, and rehabilitation process, etc. are being addressed. This mechanism includes a procedure for filing of complaints and a process for dispute resolution within an acceptable time period.
Implementation Schedule	The RPF contains an implementation schedule that outlines the time frame for planning, implementation, and monitoring and evaluation of the RAPs for sub-projects, if applicable.
Land	Land refers to all types of agricultural and/or non-agricultural land and any structures thereon whether temporary or permanent and which may be acquired by the project.
Land Acquisition	Land acquisition means the possession of or alienation of land, buildings, or other assets thereon for purposes of the project.

Project Affected Persons (PAPs) or Displaced Persons (DPs)	Project affected persons (PAPs) or Displaced Persons (DPs) are persons affected by land and other assets loss as a result of EASP activities. These person(s) are affected because they may lose, be denied, or be restricted access to economic assets; lose shelter, income sources, or means of livelihood. These persons are affected whether or not they will move to another location. Most often, the term DPs applies to those who are physically relocated. These people may have their: standard of living adversely affected, whether or not the Displaced Person will move to another location ; lose right, title, interest in any houses, land (including premises, agricultural and grazing land) or any other fixed or movable assets acquired or possessed, lose access to productive assets or any means of livelihood.
Project Impacts	Impacts on the people living and working in the affected areas of the project, including the surrounding and host communities are assessed as part of the overall evaluation of the project.
Project Implementing Unit (PIU)	Some projects make use of project implementing units (PIUs), which are generally separate units within the project recipient’s agency. The PIU is often composed of full time staff devoted to implementing the project, and have been encouraged to have separate teams with environment and social specialists who can carry out the activities, for example, as outlined in the RPF or RAP.
Rehabilitation Assistance	Rehabilitation assistance is the provision of development assistance in addition to compensation such as livelihood support, credit facilities, training, or job opportunities, needed to assist PAPs or DPs restore their livelihoods.
Replacement Cost	Replacement cost refers to the amount sufficient to cover full recovery of lost assets and related transaction costs. The cost should be based on Market rate (commercial rate) according to Ethiopian laws for sale of property. It is normally calculated based on a willing buyer-willing seller basis, but also applies in Ethiopia to acceptable market valuation assessment(Land Grade) prepared by responsible body in a city .
Resettlement	The RAP is a resettlement instrument (document) to be prepared when sub-project

Action Plan (RAP)	locations are identified. In such cases, land acquisition leads to physical displacement of persons, and/or loss of shelter, and /or loss of livelihoods and/or loss, denial or restriction of access to economic resources. RAPs are prepared by the implementing agency and contain specific and legal binding requirements to resettle and compensate the affected people before project implementation.
Resettlement Assistance	Resettlement assistance refers to activities that are usually provided during, and immediately after, relocation, such as moving allowances, residential housing, or rentals or other assistance to make the transition smoother for affected households.
Resettlement Policy Framework (RPF)	The RPF is an instrument to be used throughout the project's implementation. The RPF sets out the objectives and principles, organizational arrangements, and funding mechanisms for any resettlement, that may be necessary during implementation. The RPF guides the preparation of Resettlement Action Plans (RAPs), as needed, for sub-projects.
Rights and Entitlements	Rights and entitlements are defined for PAPs and DPs (with the cut-off date) and cover those losing businesses, jobs, and income. These include options for land-for-land or cash compensation. Options regarding community and individual resettlement, and provisions and entitlements to be provided for each affected community or household will be determined and explained, usually in an entitlement matrix.

Annex 3: Relevant Ethiopian Laws

Property Rights and Land Rights	Law/Regulation
<p>In 1975 Ethiopia nationalized urban land and extra houses (Proc. No. 47/1975). Residents have usage rights, urban centers must take inventory of land and plan sustainable land use. Urban residents get one plot of land for personal housing.</p> <p>A) All urban lands shall be property of the Government. B) Tenant shall be free from payment to the landowner. C) Any person or family owns only a single dwelling.</p>	<p>Proclamation No. 47/1975, Article 2(3), Article 6(1) and Article 11(1).Most Keble</p>
<p>According to these proclamations, land holders have open-ended usufruct rights over their possessions (ie there is no time limit on this usufruct), subject to a proof of permanent physical residence, ability to farm continuously and should meet administrative dues and obligations. In rural villages, farm households have a legal right to possess land through state mandated peasant associations.</p>	<p>Constitution of Ethiopia (No 1/1987, Article 13(2) and No 1/1995, Article 40(3))</p> <p>Check !!!!!!!</p>
<p>Urban Land Lease Holding Proclamation</p>	<p>Proclamation No. 721/2011</p>
<p>The 1995 Constitution of the Ethiopia, <i>Article 40(2), 40(4), 40(5) and 40(8)</i> includes legal frameworks that protect the Ethiopian citizen’s rights to private property and set conditions for expropriation of such property for state or public interests.</p>	<p>Constitution Article 40(2) Constitution Article 40(4) Constitution Article 40(5) Constitution Article 40(8)</p>
<p>Article 40(3) vests the right to ownership of rural and urban land, as well as of all natural; resources, in the government and in the peoples of Ethiopia;</p>	<p>Constitution Article 40(3)</p>
<p>Article 40(3) recognizes land as a common property of the Nations, Nationalities of, and peoples of Ethiopia and prohibits sale or any other exchange of land;</p>	<p>Constitution Article 40(3)</p>
<p>Article 40(7) states that "Every Ethiopian shall have the full right to the immovable property he builds and to the permanent improvements he brings about on the land by his labour or capital. This right shall include the right to alienate, to bequeath, and, where the right to use expires, to remove his property, transfers his title, or claim compensation for it.</p>	<p>Constitution Article 40(7)</p>

Property Rights and Land Rights	Law/Regulation
<p>Article 41(9) sets out the State responsibilities to protect and preserve historical and cultural legacies.</p>	<p>Constitution Article 41(9)</p>
<p>Article 35 (6) states women’s right to land property</p>	<p>Constitution Article 35</p>
<p>The Research and Conservation of Cultural Heritage Proclamation No. 209/2000 of Ethiopia defines cultural heritage broadly as "anything tangible or intangible which is the product of creativity and labour of man in the pre-history and history times, that describes and witnesses to the evolution of nature and which has a major value in its scientific, historical, cultural, artistic and handcraft content."</p>	<p>Proclamation No. 209/2000</p>
<p>Prior approval of the Authority for Research and Conservation of Cultural Heritage is required to remove from its original site of an immovable cultural heritage (Art. 21/1).</p>	<p>Proclamation No. 209/2000, Article 21/1</p>
<p>Whenever registered, movable cultural heritage is encountered during the execution of the project it is possible to remove such property by notifying the Authority in advance (Art. 21/2).</p>	<p>Proclamation No. 209/2000, Article 21/2</p>
<p>Eligibility for compensation is discussed in <i>Article 44(2)</i> of the 1995 Constitution and <i>Proclamation No 455/2005</i>. These two legal documents give entitlement only to those who have formal legal rights over their holdings (properties).</p>	<p>Constitution Article 44(2) Proclamation No 455/2005</p>
<p><i>Proclamation No 455/2005, Article 2 (3)</i> stipulates that “Landholder” means an individual, government or private organization or any ...other ...organ which has legal personality and has lawful possession over the land to be expropriated and owns property situated thereon.”</p>	<p>Proclamation No 455/2005</p>

Annex 4: Proclamation 455/2005: Expropriation of Land Holdings for Public Purposes and Payment of Compensation (main Points)

	Article Description
Part I: General	<ul style="list-style-type: none"> • <i>Article 1:</i> Provides a title for the Proclamation • <i>Article 2</i> Gives definitions of the terms used in the Proclamation, including “compensation”, “region”, “landholder”, “urban administration”, “public purpose”, “utility line” and “implementing agency.
Part II: Expropriation of Land Holdings	<ul style="list-style-type: none"> • <i>Article 3</i> gives the power to expropriate landholdings to a woreda or urban administration for a development project. • <i>Article 4</i> describes the requirements for the notification of an expropriation order. This requires notification in writing, with details of timing and compensation, which cannot be less than 90 days from notification. It requires that land should be handed over within 90 days of payment of compensation should the leaseholder accept payment. If there is no crop or other property on the land; it must be handed over within 30 days of notice of expropriation. It further gives power to seize the land through police force should the landholder be unwilling to hand over the land. • <i>Article 5</i> sets out the responsibilities of the implementing agency, requiring them to gather data on the land needed and works, and to send this to the appropriate officials for permission. It also requires them to pay compensation to affected landholders. • <i>Article 6</i> describes the procedures for the removal of utility lines. It requires the relevant government body to give a written request to the affected ‘owner’, and for this body to determine a fair compensation within 60 days of receipt of compensation.
Part III: Determination of Compensation	<ul style="list-style-type: none"> • <i>Article 7</i> describes the basis and amount for compensation. This entitles the landholder to compensation for the property on the land on the basis of replacement cost; and permanent improvements to the land, equal to the value of capital and labour expended. Where property is on urban land, compensation may not be less than constructing a single room low cost house as per the region in which it is located. It also requires that the cost of removal, transportation and erection will be paid as compensation for a relocated property continuing its service as before. Valuation formulae are to be

	<p>provided by regulations.</p> <ul style="list-style-type: none"> • <i>Article 8</i> relates to displacement compensation relating to permanent and temporary displacement for rural and urban landholders. • <i>Article 9</i> requires that the valuation of property is carried out by a certified private or public institution or private consultant as per the valuation formulae as mentioned above. Until the capacity is created to enable valuation by a certified valuer, valuation will be done by a committee. • <i>Article 10</i> describes these committees. The committee must be made up of experts with relevant qualifications. This must be designated by the urban administration in urban areas. A specialized committee of experts may also be set up separately if required. (Committee procedures will be determined by directives). • <i>Article 11</i> sets out procedures for complaints and appeals relating to compensation in rural & urban areas.
<p>Part IV: Miscellaneous Provisions</p>	<ul style="list-style-type: none"> • <i>Article 12</i> gives powers and duties to the Ministry of Works and Urban Development in relation to ensuring that there is compliance with the Proclamation at regional level, technical and capacity building support in implementation at regional level, and preparation of valuation formulae. • <i>Article 13</i> gives responsibilities to woreda and urban administrations to ensure that compensation is paid and to give rehabilitation support to the extent possible, and maintain data regarding properties removed from expropriated landholdings. • <i>Article 14</i> gives the Council of Ministers the power to issue Regulations, and power to the Regions for issuing Directives. • <i>Article 15</i> states that Proclamation 401/ 2004 is repealed and that no other law, regulation, directive or practice will be applicable if it is not consistent with the Proclamation within 30 days, to the requesting body. Compensation must be paid within 30 days of the receipt of the valuation, and the owner must vacate the land within 60 days of receipt of compensation.

**Regulations No. 135/2007 on the Payment of Compensation for Property Situated on
Landholdings Expropriated for Public Purposes**

Council of Ministers Regulations No. 135/2007

**COUNCIL OF MINISTERS REGULATIONS ON THE PAYMENT OF COMPENSATION FOR
PROPERTY SITUATED ON LANDHOLDINGS EXPROPRIATED FOR PUBLIC PURPOSES**

These Regulations are issued by the Council of Ministers pursuant to Article 5 of the Definition of Powers and Duties of the Executive Organs of the Federal Democratic Republic of Ethiopia Proclamation No. 471/2005 and Article 14(1) of the Expropriation of Landholdings for Public Purposes and Payment of Compensation Proclamation No. 455/2005 with a purpose of not only paying compensation but also to assist displaced persons to restore their livelihood.

PART ONE: GENERAL

1. Short Title

These Regulations may be cited as the “Payment of Compensation for Property Situated on Landholdings Expropriated for Public Purposes Council of Ministers Regulations No. 135/2007”

2. Definitions

In these Regulations unless the context requires otherwise:

“Proclamation” means the Expropriation of Landholdings for Public Purposes and Payment of Compensation Proclamation No. 455/2005;

1. “Committee” means a property valuation committee established pursuant to the Proclamation;
2. “Crops” means any plant sown or planted and harvested in one season;
3. “Ripe crops” means plant sown or planted on a land holding to be expropriated for public purpose and that could be harvested within the notice period given under Article 4 of the

Proclamation;

4. "Perennial crops" means species of crops harvested regularly for years;
5. "Building" means any structure constructed or under construction in an urban center or a rural area for residential, manufacturing, commercial, social or any other service;
6. "Formula" means the methodology used for valuating compensation in accordance with these Regulations for Properties Situated on Landholdings Expropriated in Accordance with the Proclamation;
7. The terms "region", "compensation", "public purpose", "utility lines" and "implementing agency" shall have the meanings given to them under the Proclamation;
8. "Person" means any natural or juridical person.

PART TWO: ASSESSMENT OF COMPENSATION

3. Compensation for Buildings

1. The amount of compensation for a building shall be determined on the basis of the current cost per square meter or unit for constructing a comparable building
2. The compensation for a building shall include:
 - a) The current cost for constructing floor tiles of the compound, septic tank and other structures attached to the building; and
 - b) The estimated cost for demolishing, lifting, reconstructing, installing and connecting utility lines of the building.
3. The owner of a building shall have the right to claim compensation for the entire building by surrounding the total land in his possession where part of the building is ordered to be removed.
4. Compensation shall be paid only for the demolished part of a building where the owner prefers to use the unwanted part of the land; provided, however, that such preference shall be acceptable only where the condition of the partly demolished building conforms to the requirements of the appropriate city plan.

4. Compensation for Fences

The amount of compensation for a fence shall be determined by calculating the current cost per square meter or the unit cost required for constructing a similar fence.

5. Compensation for Crops

1. The amount of compensation for crops shall be calculated by multiplying the amount of yield that would have been collected from the land at maturity by the current market price of the crops.
 2. The owner of ripe crops may, in lieu of compensation, harvest and collect the crops within the period fixed pursuant to Article 4 of the Proclamation.
- 6. Compensation for Perennial Crops**
1. The amount of compensation for unripe perennial crops shall be determined by calculating the estimated cost for growing the plant.
 2. The amount of compensation for ripe perennial crops shall be determined on the basis of the average annual yield, the current local market price of the crops and the cost of permanent improvement on land.
- 7. Compensation for Trees**
1. The amount of compensation for trees shall be determined on the basis of the level of growth of the trees and the current local price per square meter or per unit.
 2. The owner of trees may, in lieu of compensation, cut and collect the trees within the period fixed pursuant to Article 4 of the Proclamation.
- 8. Compensation for Protected Grass**
1. The amount of compensation for protected grass shall be determined on the basis of the productivity of the land and the current market price of the grass per square meter.
 2. The owner of protected grass may, in lieu of compensation, cut and gather the grass within the period fixed pursuant to Article 4 of the Proclamation.
- 9. Compensation for Permanent Improvement on Rural Land**
- The amount of compensation for permanent improvement made on a rural land shall be determined by computing the machinery, material and labour costs incurred for clearing, levelling and terracing the land, including the costs of water reservoir and other agricultural infrastructure works.
- 10. Compensation for Relocated Property**
- The amount of compensation for a relocated property shall be determined by computing the estimated costs of labour, material and transport to be incurred at market value for removing, transferring and installing the property.

11. Compensation Payable to a Mining Licensee

Where a mining site is expropriated pursuant to the provisions of the Proclamation, the compensation due to the licensee shall be determined by the relevant mining law.

12. Compensation for Burial-ground

1. The amount of compensation for a burial-ground shall be determined on the basis of the estimated costs to be incurred for removing the grave stones, preparing other burial-ground, transferring and relocating the corpse and for conducting religious and cultural ceremonies in relation thereto.
2. The amount of costs stipulated under Sub-Article (1) of this Article shall be determined on the basis of the current local market prices of materials, transport services and labor.

13. Formula

The formula for calculating the amount of compensation payable in accordance with the Proclamation and these Regulations shall be as follows:

1. Compensation for building = cost of construction (current value).
+ cost of permanent improvement on land
+ the amount of refundable money for the remaining term of lease contract
2. Compensation for crops = the total area of the land (in square meters)
x value of the crops per kilo gram
x the amount of crops to be obtained per square meter
+ cost of permanent improvement on land
3. Compensation for unripe Perennial Crops = number of plants (legs)
x cost incurred to grow an individual plant
+ cost of permanent improvement on land
4. Compensation for ripe Perennial crops = the annual yield of the Perennial Crops (in Kilograms)
x the current price of the produce of the perennial crops
+ cost of permanent improvement on land
5. Compensation for relocated Property = cost of removal
+ cost of transferring

+ cost of reinstallation

6. Compensation for protected grass = area covered by the grass per square meter x the current market price of the grass per square meter

PART THREE: PROVISION OF REPLACEMENT LAND AND PAYMENT OF DISPLACEMENT COMPENSATION

14. Provision of Replacement Urban Land

The provision of replacement land to an urban dweller whose landholding has been expropriated for public purpose shall be governed by directives issued by Regional States in accordance with Article 14 (2) of the Proclamation.

15. Provision of Replacement Rural Land

Where land used for growing crops or a protected grass or pastoral land is expropriated for public purpose, the possessor of such land shall, as much as possible, be provided with a plot of land capable of serving a similar purpose.

16. Displacement Compensation for Land Used for Crops and Perennial Crops

1. Where a replacement land has been provided in accordance with Article 15 of these Regulations with respect to expropriated land used for crops or perennial crops, displacement compensation equivalent to the following amounts, shall be paid:
 - a) The price of the annual average yield of crops obtained from the land; or b) The price of the annual average yield of perennial crops multiplied by the number of years required to attain the level of growth of the perennial crops.
2. The amount of displacement compensation payable with respect to land used for growing crops or perennial crops shall, where it is impossible to provide replacement land in accordance with Article 15 of these Regulations, be ten times the price of the average yield of crops or perennial crops obtained from the land.
3. The average annual yield of crops or perennial crops shall be calculated on the basis of:
 - a) The yield obtained from the land for the last five years; or
 - b) Where the land was used for less than five years, the yield obtained for the actual years the land was used; or
 - c) Where the crops or perennial crops have not yet started giving annual yield, the

yield of similar crops or perennial crops obtained from a similar area of land in the locality for the last five years.

17. Displacement Compensation for Protected Grass or Grazing Land

1. Where a replacement land is provided in accordance with Article 15 of these regulations with respect to expropriated protected grass or grazing land, displacement compensation equivalent to the annual average income obtained from the land shall be paid.
2. The amount of displacement compensation payable with respect to the protected grass or grazing land shall, where it is impossible to provide replacement land in accordance with Article 15 of these Regulations, be ten times the annual average income obtained from the land.
3. The provisions of Sub-Article (3) of Article 16 of these Regulations shall, mutatis mutandis, be applicable with respect to calculating the average annual income derived from a protected grass or grazing land.

18. Displacement Compensation for Provisional Expropriation of Rural Land

Where a rural land is expropriated only for a limited period of time, the multiplication factor for calculating the displacement compensation shall be the number of years for which the land is cleared; provided, however, that the compensation obtained by such calculation shall not exceed the amount payable under Article 16 or 17 of these regulations

PART FOUR: MISCELLANEOUS PROVISIONS

19. Properties for which Compensation is not payable

There shall be no payment of compensation with respect to any construction or improvement of a building, any crops sown, perennial crops planted or any permanent improvement on land, where such activity is done after the possessor of the land is served with the expropriation order.

20. Furnishing of Data

1. The committee shall request the relevant federal, regional or other bodies to furnish any data necessary for determining the value of a property in accordance with the Proclamation and these Regulations.

2. Anybody requested under Sub-Article (1) of this Article shall hand over the data immediately to the Committee.
3. Where the data is not available with the requested bodies, the committee shall conduct its own survey on the local market price of the property.

21. Records of Property

A woreda or a city administration shall, for the purpose of the implementation of the Proclamation and these Regulations, record properties situated on a landholding subjected to an expropriation order.

22. Evidence of Possession and Ownership

Any person who claims for payment of compensation in accordance with the Proclamation and these Regulations shall produce proof of legitimate possession of the expropriated landholding and ownership of the property entitling compensation.

23. Valuation Costs

1. Woreda and city administrations shall cover the costs of valuation of properties in accordance with these regulations, including payment of per diem to members of the Committee in accordance with the relevant laws.
2. The costs referred to Sub-Article (1) of this Article shall be covered by the concerned implementing agency where the expropriation is made upon its request.

24. Effective Date

These Regulations shall enter into force on the date of their publication in the Federal Negarit Gazeta.

Done at Addis Ababa this 4th day of July 2007

MELES ZENAWI

PRIME MINISTER OF THE FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA

Annex 6: ESMF and RPF Screening Form Template

Type of TRANSIP Subproject:

Location (include map/sketch): *(e.g. Sub city, woreda/district)*

Type of Activity: *(e.g. new construction, improvement,)*

Estimated Cost: (Birr):

Proposed Date of Works Commencement:

Technical Drawing and Specifications Yes?No

Reviewed:

This report is to be kept short and concise.

1. Site Selection

Physical data:	<i>Yes/No answers and bullet lists preferred except where descriptive detail is essential.</i>
Site area in ha	
Extension of or changes to existing alignment	
Any existing property to transfer to project	
Any plans for new construction	

Refer to project application for this information.

2. Impact identification and Classification

When considering the location of a TRANSIP subproject, rate the sensitivity of the proposed site in the following table according to the given criteria. Higher ratings do not necessarily mean that a site is unsuitable – it indicates a real risk of causing adverse impacts involving resettlement and compensation. The following table should be used as a reference.

Impact Identification and Classification

Issues	Site Sensitivity		
	Low	Medium	High
Involuntary Resettlement	Low population density; dispersed population; legal tenure is well-defined; well-defined water rights	Medium population density; mixed ownership and land tenure; well-defined water rights	High population density; major towns and villages; low-income families and/or illegal ownership of land; communal properties; unclear water rights

3. Checklist of Impacts

TRANSIP Subproject	Potential for Adverse Impacts				
	None	Lo	Me	Hig	Unknown
Economic or physical resettlement					
New settlement pressures created					
Other (specify):					

4. Detailed Questions

Public participation/information requirements: <i>Yes/No answers and bullet lists preferred except where descriptive detail is essential.</i>
Does the proposal require, under national or local laws, the public to be informed, consulted or involved?
Has consultation been completed?
Indicate the time frame of any outstanding consultation process.
<i>Refer to relevant legislative acts in Ethiopia.</i>

Land and resettlement: <i>Yes/No answers and bullet lists preferred except where descriptive detail is essential</i>
What is the likelihood of land purchase for the ULG investment project?
How will the ULG go about land purchase?
Will people's livelihoods be affected in any way, therefore requiring some form of compensation?
Will people need to be displaced, and therefore require compensation and resettlement assistance?
Are the relevant authorities aware of the need for a Resettlement Process, involving a census, valuation, consultation, compensation, evaluation and monitoring?
What level or type of compensation is planned?
Who will monitor actual payments?

Refer to the Resettlement Policy Framework.

Actions:	
List outstanding actions to be cleared before investment project appraisal.	
<i>Approval/rejection</i> <i>If the proposal is rejected for environmental reasons, should the subproject be reconsidered, and what additional data would be required for reconsideration?</i>	

Recommendations:

Requires RAP is to be submitted on date _____

Requires Census & Land Inventory to be submitted on _____
date

Does not require further environmental or social studies _____

Reviewer: Name:

Signature:

Annex 7: Census Survey and Land Asset Inventory Form

1. Socio-Economic Household Datasheet of PAPs

Name of Interviewer ID Code		Signature
Name of Supervisor ID Code		(after verification of interview)

City, Sub-City, Woreda House No.

Date: Day _____ Month _____ Year _____

Name of Head of Extended Family:
Number of Nuclear Families in Extended Residential Group (including household of head of extended family)

2. Household Interview

Name and Surname	Relationship to	Sex		Place of	Age	Marital	Residence	Ethnic	Religion	Education	Income		Economic Activities	
		M	F								Yes	No	Primary	Secondary
1.														
2.														
3.														
4.														

Relation to Head of Family : 1 HoH; 2 Spouse of HoH ; 3 Child of HoH; 4 Spouse of child of HoH ; 5 Grandchild of HoH; 6 Parent of HoH; 7: Other (specify) ; 0 No Answer. Marital Status: 1 Married; 2 Widowed; 3 Divorced; 4 Unmarried; 0 No Answer. Residential Status: 1 PRP (Permanent Resident) ; 2 RA (Resident absent) ; 3 Member of non- resident HH; 4 Visitor; 9 Other (specify) ; 0 No Answer. Occupations: Principle Occupation: 1. Farmer ; 2 Shepherd; 3 Household ; 4 Merchant; 5 Religious leader, teacher ; 6 Artisan ; 7 Transport ; 8 Unemployed; 9 Other (specify) ; 0 No Answer Secondary Occupations: idem. Educational Level : 1 Illiterate ; 2 Three years or less; 3 Primary School ; 4 Secondary School ; 5 Technical School ; 6 Religious School (literate in Arabic) ; 0 No Answer Religion : 1 Muslim ; 2 Christian (specify denomination); 3 Animist. 9 Other (specify); 0 No Answer

3. Land asset inventory for TRANSIP Project Affected People

Kebele: _____

Date: _____

City/Town: _____

Surv	Name of	No. of	Total	Land	Lan	Los							Loss				
							Stru	Stru	Area	Fruit	Agricu	Other (specif		E.g.	Reside nce	Busines	Income

Land types are as follows (please fill in the types of land for Ethiopia

4. Entitlements of TRANSIP Project Affected People

Woreda: _____ Date: _____

Kebele: _____

Surv	Name	Compensation for Land			Compensation for structures			Compensation for crops			Compensation for other assets			Total	
		Quantity (m ²)	Unit price (Birr) per m ²	Entitlement (Birr)	Quantity (m ²)	Unit price (Birr)	Entitlement (Birr)	Quantity Unit	Unit price (Birr)	Entitlement (Birr)	Quantity Unit	Unit price (Birr)	Entitlement (Birr)		

Annex 8: Annotated Outline for Preparing a Resettlement Action Plan (RAP)

This template is extracted from OP 4.12 Annex A. Its full description can be found in the World Bank external website.

The scope and level of detail of the RAP will vary depending on the magnitude and complexity of resettlement or displacement. The RAP is prepared based on the most recent and accurate information on the: (i) proposed resettlement and its impacts on displaced persons and other adversely affected groups; and (ii) legal issues affecting resettlement. The RAP covers elements that are specific to the project context.

A broad outline of the RAP, as applied to sub-projects covered under a RPF includes, but is not limited to, the following:

Description of the subproject: General description of the sub-project and identification of sub-project area or areas.

Potential Impacts: Identification of the: (i) the sub-project components or activities that require resettlement or restriction of access; (ii) zone of impact of components or activities; (iii) alternatives considered to avoid or minimize resettlement or restricted access; and (iv) mechanisms established to minimize resettlement, displacement, and restricted access, to the extent possible, during project implementation.

Objectives: The main objectives of the resettlement program as these apply to the sub-projects.

Socio-economic studies: The findings of socio-economic studies to be conducted in the early stages of project preparation, and with the involvement of potentially affected people will be needed. These generally include the results of a census of the affected populations covering:

- (i) Current occupants of the affected area as a basis for design of the RAP and to clearly set a cut-off date, the purpose of which is to exclude subsequent inflows of people from eligibility for compensation and resettlement assistance;

- (ii) Standard characteristics of displaced households, including a description of production systems, labor, and household organization; and baseline information on livelihoods (including, as relevant, production levels and income derived from both formal and informal economic activities) and standards of living (including health status) of the displaced population;
- (iii) Magnitude of the expected loss, total or partial, of assets, and the extent of displacement, physical or economic;
- (iv) Information on vulnerable groups or persons, for whom special provisions may have to be made; and
- (v) Provisions to update information on the displaced people's livelihoods and standards of living at regular intervals so that the latest information is available at the time of their displacement, and to measure impacts (or changes) in their livelihood and living conditions.

There may be other studies that the RAP can draw upon, such as those describing the following:

- (i) Land tenure, property, and transfer systems, including an inventory of common property natural resources from which people derive their livelihoods and sustenance, non-title-based usufruct systems (including fishing, grazing, or use of forest areas) governed by local recognized land allocation mechanisms, and any issues raised by different tenure systems in the sub project area;
- (ii) Patterns of social interaction in the affected communities, including social support systems, and how they will be affected by the sub-project;
- (iii) Public infrastructure and social services that will be affected; and
- (iv) Social and cultural characteristics of displaced communities, and their host communities, including a description of formal and informal institutions. These may cover, for example, community organizations; cultural, social or ritual groups; and non-governmental organizations (NGOs) that may be relevant to the consultation strategy and to designing and implementing the resettlement activities.

Legal Framework: The analysis of the legal and institutional framework should cover the following:

- (i) Scope of existing land and property laws governing resources, including state-owned lands under eminent domain and the nature of compensation associated with valuation methodologies; land market; mode and timing of payments, etc;
- (ii) Applicable legal and administrative procedures, including a description of the grievance procedures and remedies available to PAPs in the judicial process and the execution of these procedures, including any available alternative dispute resolution mechanisms that may be relevant to implementation of the RAP for the sub-project;
- (iii) Relevant laws (including customary and traditional law) governing land tenure, valuation of assets and losses, compensation, and natural resource usage rights, customary personal law; communal laws, etc. related to displacement and resettlement, and environmental laws and social welfare legislation;
- (iv) Laws and regulations relating to the agencies responsible for implementing resettlement activities in the sub-projects;
- (v) Gaps, if any, between local laws covering resettlement and the Bank’s resettlement policy, and the mechanisms for addressing such gaps; and
- (vi) Legal steps necessary to ensure the effective implementation of RAP activities in the sub-projects, including, as appropriate, a process for recognizing claims to legal rights to land, including claims that derive from customary and traditional usage, etc. and which are specific to the sub-projects.

The institutional framework governing RAP implementation generally covers:

- (i) Agencies and offices responsible for resettlement activities and civil society groups like NGOs that may have a role in RAP implementation;
- (ii) Institutional capacities of these agencies, offices, and civil society groups in carrying out RAP implementation, monitoring, and evaluation; and
- (iii) Activities for enhancing the institutional capacities of agencies, offices, and civil society groups, especially in the consultation and monitoring processes.

Eligibility: Definition of displaced persons or PAPS and criteria for determining their eligibility for compensation and other resettlement assistance, including relevant cut-off dates.

Valuation of and compensation for losses: The methodology to be used for valuing losses, or damages, for the purpose of determining their replacement costs; and a description of the proposed types and levels of compensation consistent with national and local laws and measures, as necessary, to ensure that these are based on acceptable values (e.g. market rates).

Resettlement Measures: A description of the compensation and other resettlement measures that will assist each category of eligible PAPs to achieve the objectives of OP 4.12. Aside from compensation, these measures should include programs for livelihood restoration, grievance mechanisms, consultations, and disclosure of information.

Site selection, site preparation, and relocation: Alternative relocation sites should be described and cover the following:

- (i) Institutional and technical arrangements for identifying and preparing relocation sites, whether rural or urban, for which a combination of productive potential, location advantages, and other factors is at least comparable to the advantages of the old sites, with an estimate of the time needed to acquire and transfer land and ancillary resources;
- (ii) Any measures necessary to prevent land speculation or influx of eligible persons at the selected sites;
- (iii) Procedures for physical relocation under the project, including timetables for site preparation and transfer; and
- (iv) Legal arrangements for recognizing (or regularizing) tenure and transferring titles to those being resettled.

Housing, infrastructure, and social services: Plans to provide (or to finance provision of) housing, infrastructure (e.g. water supply, feeder roads), and social services to host populations; and any other necessary site development, engineering, and architectural designs for these facilities should be described.

Environmental protection and management. A description of the boundaries of the relocation area is needed. This description includes an assessment of the environmental impacts of the proposed resettlement and measures to mitigate and manage these impacts (coordinated as

appropriate with the environmental assessment of the main investment requiring the resettlement).

Community Participation: Consistent with the World Bank's policy on consultation and disclosure, a strategy for consultation with, and participation of, PAPs and host communities, should include:

- (i) Description of the strategy for consultation with and participation of PAPs and hosts in the design and implementation of resettlement activities;
- (ii) Summary of the consultations and how PAPs' views were taken into account in preparing the resettlement plan; and
- (iii) Review of resettlement alternatives presented and the choices made by PAPs regarding options available to them, including choices related to forms of compensation and resettlement assistance, to relocating as individual families or as parts of pre-existing communities or kinship groups, to sustaining existing patterns of group organization, and to retaining access to cultural property (e.g. places of worship, pilgrimage centers, cemeteries); and
- (iv) Arrangements on how PAPs can communicate their concerns to project authorities throughout planning and implementation, and measures to ensure that vulnerable groups (including indigenous peoples, ethnic minorities, landless, children and youth, and women) are adequately represented.

The consultations should cover measures to mitigate the impact of resettlement on any host communities, including:

- (i) Consultations with host communities and local governments;
- (ii) Arrangements for prompt tendering of any payment due the hosts for land or other assets provided to PAPs;
- (iii) Conflict resolution involving PAPs and host communities; and
- (iv) Additional services (e.g. education, water, health, and production services) in host communities to make them at least comparable to services available to PAPs.

Grievance procedures: The RAP should provide mechanisms for ensuring that an affordable and accessible procedure is in place for third-party settlement of disputes arising from

resettlement. These mechanisms should take into account the availability of judicial and legal services, as well as community and traditional dispute settlement mechanisms.

RAP implementation responsibilities: The RAP should be clear about the implementation responsibilities of various agencies, offices, and local representatives. These responsibilities should cover (i) delivery of RAP compensation and rehabilitation measures and provision of services; (ii) appropriate coordination between agencies and jurisdictions involved in RAP implementation; and (iii) measures (including technical assistance) needed to strengthen the implementing agencies' capacities of responsibility for managing facilities and services provided under the project and for transferring to PAPs some responsibilities related to RAP components (e.g. community-based livelihood restoration; participatory monitoring; etc.).

Implementation Schedule: An implementation schedule covering all RAP activities from preparation, implementation, and monitoring and evaluation should be included. These should identify the target dates for delivery of benefits to the resettled population and the hosts, as well as clearly defining a closing date. The schedule should indicate how the RAP activities are linked to the implementation of the overall project.

Costs and budget: The RAP for the specific sub-projects should provide detailed (itemized) cost estimates for all RAP activities, including allowances for inflation, population growth, and other contingencies; timetable for expenditures; sources of funds; and arrangements for timely flow of funds. These should include other fiduciary arrangements consistent with the rest of the project governing financial management and procurement.

Monitoring and evaluation: Arrangements for monitoring of RAP activities by the implementing agency, and the independent monitoring of these activities, should be included in the RAP section on monitoring and evaluation. The final evaluation should be done by an independent monitor or agency to measure RAP outcomes and impacts on PAPs' livelihood and living conditions. The World Bank has examples of performance monitoring indicators to measure inputs, outputs, and outcomes for RAP activities; involvement of PAPS in the monitoring process; evaluation of the impact of RAP activities over a reasonable period after resettlement and compensation, and using the results of RAP impact monitoring to guide subsequent implementation.

Annex 9: Sample Grievance and Resolution Form

Complaint Form		
Complaint Number		Copies to forward to:
Name of the Recorder		(Original)Receiver Party
Sub city/woreda(district)		(Copy)Responsible Party
Date		
INFORMATION ABOUT THE COMPLAINANT		
Name Surname		
Telephone Number		
Address		
Kebele/Community		
Region/ULG		
Signature of Complainant		
DESCRIPTION OF THE COMPLAINT		

Annex 10: Sample Table of Contents for RAP Consultation Report

1. Introduction.

1.1 Project Description

1.2 Applicable Laws, Regulations, and Policies to Public Engagement

1.3 Project Lenders

2. Stakeholder Analysis

2.1 Areas of Influence/Stakeholders

2.2 Description of Stakeholders

3. Stakeholder Engagement

3.1 Previous Consultation Activities

3.2 Implemented Community Engagement Activities

3.3 Project Sponsor's Community Engagement Plan

3.3.1 Phase 1 – Initial Stakeholder Consultation

3.3.2 Phase 2 – Release of the RAP Terms of Reference

3.3.3 Phase 3 – Release of RAP Consultation Report

4. Summary of Key Issues

5. Future Consultation Events

5.1 Phase 4 – Release of the RAP

5.2 Phase 5 – Ongoing project Communications

6. Disclosure Plan

Tables

Table 2.1: Consultation Activity Summary

Table 3.1: Initial Government Agency Consultations

Table 3.2: Summary of NGO Meetings

Table 3.3: Sub-County Committee Composition

Table 3.4: Summary of Community Discussions

Table 3.5: Local Community Comments

Table 4.1: Summary of Key Issues and Responses

Table 5.1: Summary of Future Consultation Activities per Stakeholder Group

Template for Table on Consultation Activity Summary

Location and Communities Represented	Meeting Dates	Attendees	Discussion Summary
Example:			

Annex 11: List of participants in community and stakeholders discussion

1. Community /stakeholder discussion

December 18th 2015 (Yordanos Hotel)and December 24th 2015 (Kaleb Hotel)

S.No	Name	Organization	Telephone
1	Ato Tafe Mossia	Ethiopian Civil Service University	+251 912 6690067
2	Ato Abeye Teckle	AACRA	+251 911858693
3	W/ro Helen Hailu	AACRA	+251911513233
4	Ato Ibrahim Hussien	AACRA	+ 252 911603249
5	Ato Nuredin Ditamo	AA taxi Owners' Association	+251911603249
6	Ato Behilu Gebreyessues	TPMO (PIU)	+251 911433124
7	Ato Elias Tadesse	ACBSE	+251911843380
8	Ato Mohammed Shikur	BoLSA	+251 912467030
9	Ato Tsegaye Gebremariam	AA Environmental Protection Authority	+251911163921
10	Ato Agazi Mekonnen	TPMO (PIU)	+251 911671864
11	Ato Tsehaye Bekuretsion	Arada Sub city Environmrntal Protection Office	+251912424973
12	Ato Yared Legesse	Kirkos Sub city LDMO	+251911651906
13	Ato Solomon Kidane	TPMO	+251922853005
14	Ato Aderaw Ayalew	Addis Ketema Sub city	+251913668787
	Ato Yonas Abesha	Consultant	+251911648744
15	Ato Solomon Legsse	AACRA	+251911460346
16	Ato Wondwosen Tadesse	EiABC	+251930098021
17	Ato Solomon Sorota	TPMO (PIU)	+251911140894
18	W/ro Meaza Beyene	AARTB	+251 911712487
19	Ato Alemayehu	PIU	+251938557836
20	Ato Zereu Girmay	ESMF Consultant	+2519111347013
21	Ato Getahun Abebe	Residents Forum, Bole sub city Woreda 04	
22	Ato Eshetu Beyene	Idir Council, Woreda 08, Arada Sub City	
23	Yohannes Admasu	Woreda 09 Arada Sub City	
24	Henok G/Michael	Woreda 08 Trade Forum Arada Sub City	
25	Ato Girma Tekle		
26	Ato Hailu Genetu	Addis Ababa Roads Authority	
27	Ato Befekadu Asamere	Woreda 06, Arada Sub City	
28	Ato Habtamu Haile	Idir Council ,Woreda 06, Arada Sub city	
29	Ato Almedeg Chemer	Representative of People with Disability woreda 06 Arada Sub city	
30	Estsegent Belew	Representative of trade Association, Woreda 06, Arada Sub	

S.No	Name	Organization	Telephone
		City	
31	Ato Yosief Gebeyeh	Executive office Woreda 06 , Arada sub city	
32	Ato Mesfin Berhanu	Youth Federatio Arada Sub City	
33	Ato Endarge Mola	Women and Child office Woreda 06, Arada Sub city	
34	Ato Efreem Abebe	Woreda 09 Merchant/trade	
35	Ato Hawaz Wondemagene	Representative of the Elderly, Woreda 08, Arada sub city	
36	W/ro Meskerem Solomon	Youth organization Woreda 09,Arada Sub City	
37	Ato Fekadu Aneley	Addis Ababa Roads Authority	

2. interviews with various sections of the community and officials
December 1, 2015-January 14, 2016

S. No	Name	Organization	Position	Address
1	Ato Girma Brehanu	Addis Ababa City Land development and Urban Renewal Agency	Deputy Manager	+ 251 913 214865
2	Ato Getachew Dejene	Arada Sub –City, Culture and Tourism office	Regulatory and Certification work process	+251 911 464589
3	Ato Shemeles Tamerat Debebe	Arada Sub- City MSE Development Office	Office Head	+251 911 410139
4	Ato Endegen Fekadu	Arada Sub-City, Women's & Youth benefit organization & follow up	Process Owner	+ 251 917552388
5	W/rt Kalkidan Fente	Arada Sub-City, Women's & Youth Project study & capacity building	Process owner	+251 917 552388
6	Ato Addisu Taye	Arada Sub City , Land Development & Urban Renewal Office	Compensation Expert	+251 912075699
7	W/ro Shitaye Mohammod	Arada Sub City Office of Labor & Social Affairs	Office Head	+251 912851043
8	W/ro Tsege Tadesse	Addis Ababa Women, Child and Youth Bureau	Women and Youth Benefit and Empowerment	+251 911132513

S. No	Name	Organization	Position	Address
			Process owner	
9	Ato Alemu Kidane	Addis Ababa Bureau of Labor and Social Affairs	Labor and social affairs Deputy bureau head	+251 911 663385
10	Ato Bahiru Abebe Oda	Addis Ababa Bureau of Labor and Social Affairs	Rehabilitation of Vulnerable Groups (Process Owner)	+251 913105382
11	Ato Getachew Kiflu	Addis Ababa City Association for the Elderly	President of the Association	+251 911702143
12	Ato Mulugeta Bekel	Addis Ababa City Association for the Elderly	Deputy President of the Association	+251 911136461
13	Ato Tadesse Mulugeta	Addis Ababa City Association for the Elderly	Arada sub city Chair person	+251 912196944
14	Ato Andreas Meka	Woreda 08, MSE Development Yeka Sub City	MSE Development Officer	
15	Ato Wondwosen Shibeshi	Woreda 05, MSE Development Arada Sub City	MSE Development Officer	+251 0912080142
16	Ato Abebaw Hailu	Woreda 04, MSE Development Arada Sub City	MSE Development Officer	+251911127395
17	Ato Reta Getachew	Centre for Disability and Development (NGO)	Manager	+251916825071
18	W/ro Berhane Dibaba	Ethiopian Women with Disabilities (NGO)	Manager	+251911451717
19	Ato Nebiyu Samuel	Bole Sub City MSE	Head of Entrepreneurship Project	+251911833947

3. Discussion with community members, January 1st,4th, and 12th .

S.No	Name	Representation	Address
1	Ato Hailemariam Ayalew	Woreda 05 Elderly Chair Person	+25192228213
2	Ato Alemayehu G/Hiwot	Woreda 09 , Arada Sub City	+251923026682
3	Ato Biratu Terfesa	Idir Union Chair person	+251922598717
4	Ato Abderahman Feleke	Woreda 10 Elderly	+251911462604
5	Ato Bekele Wolde Michael	Persons With Disability	+251911087970
6	W/ro Wderyelesh Ayalew	Person with Disability	+251922347061
7	Ato Daneil Fiseha	Persons With Disability	+2511911479772
8	Ato Ibrahim Hashim	Persons with Disability	+251913904866
9	W/ro Tsehay Ararsa	Labour and social affairs	+251911930214
10	Ato Yonuse Hasen	Person with Disability	+251912095686
11	Ato Worku Bekele	Elderly	+251911118665
12	Ato Alemay Meherete	Idir council	+251911104083
13	Ato Yosuf Hussien	Elderly	+251912202778
14	Ato Tekelemariam Tadesse	Woreda 04 Idir Council Arada sub city	+251920678100
15	Ato Niguse Gheday	Arada Sub city PWD V.President	+251913043008
16	W/ro Etalemahu Damitew	Kirkos Sub city PWD	+251911572265
17	Ato Siresaw Chekol	Gulele Sub city PWD	+251911964476
18	Ato Seregela Mengistu	Bole Sub City PWD	+251910671555
19	W/ro Tsege Seyum	08 Woreda, Kirkos Sub city	+251923166281
20	W/ro Kebebush Cherinet	Woreda 07, Yeka Sub city	+251925759100
21	W/ro Asnakech Desalegne	Woreda 06 ,Arada Sub City	+251923255301
22	W/ro Nigest Debele	Woreda 05, Arada Sub city	+251922740491
23	W/ro Rahemada Admaheje	Worda 10, Arada Sub city	+251911680933
24	W/ro Alem Abesha	Woreda 06, Kirkos Sub city	+251913979452
25	W/ro Mimi G/Hana	Woreda 09, Arada Sub city	+251911122943

S.No	Name	Representation	Address
26	Ato Tesfamariam Misgana	MSE (Youth) Arada Sub city	+251911054600
27	W/ro Belaynesh Teklit	MSE (Women) Arada Sub city	+251913363764
28	W/ro Askale Mamo	MSE (Women) Arada Sub city	+251913838948
29	Ato Siefu Aragaw	MSE Operator Arada Sub city	+251913887369
30	Ato Abel Shawol	Woreda 09 MSE, Arada Sub city	+251911108892
31	Ato Kidanemariam Tsegay	Woreda 10 MSE, Arada Sub city	+251913257249
32	Ato Asechalew Matebu	Woreda 08 MSE, Arada Sub city	+251912891613
33	Ato Alemayehu	Woreda 06 MSE, Arada Sub city	+251920109516
34	Ato Tizazu Tadesse	Woreda 05, MSE Operator Arada	+251911127395
35	Ato Mengistu G/Medhin	Woreda 05, MSE Operator Arada	+251920669163
36	W/ro Meskerem Lema	Woreda 05, MSE Operator Arada	+251911032880
37	W/rt Tzita Girma	Woreda 05, MSE Operator Arada	+251935548172
38	W/ro Alganesh Kebede	Bole Sub City	Parking attendant
39	Ato Tizazu Ashuru	Arada Sub city	Shoe shine
40	Ato Solomon Geleta	Kirkos Sub city	Parking attendant
41	Ato Abate H/Mariam	Arada Sub city	Shoe shine
42	Ato Abebe Getachew	Arada sub city	Street Vendor
43	W/ro Hirut Tilahun	Atiklet Tera, (Woreda 01)Arada Sub city	Street Vendor
44	W/rt Semira Asherif	Atiklet Tera, (Woreda 01)Arada Sub city	Street Vendor
45	W/ro Aynalem	Atiklet Tera, (Woreda 01)Arada Sub city	Street Vendor
46	W/ro Genet Zemen	Atiklet Tera, (Woreda 01)Arada Sub city	Street Vendor
47	W/ro Shemsiya Awol	Atiklet Tera, (Woreda 01)Arada Sub city	Street Vendor
48	W/ro Zekiya	Atiklet Tera, (Woreda 01)Arada Sub city	Street Vendor
49	W/ro Abeba Tafere	Atiklet Tera, (Woreda 01)Arada Sub city	Street Vendor
50	W/ro Meseret Morita	Atiklet Tera, (Woreda 01)Arada Sub city	Street Vendor

Annex 12:Heritage and Cultural Resources

HERITAGE MAP OF YEKA

YEKA IS LOCATED IN THE NORTH EASTERN PART OF ADDIS ABABA, IT SHARES BORDERS WITH GULELE IN THE NORTH WEST, ARADA IN THE WEST, KIRKOS IN THE SOUTH WEST AND BOLE IN THE SOUTH. IT MOSTLY COMPRISES RESIDENTIAL HERITAGES. THIS HERITAGES ARE CONCENTRATED ON THE WESTERN PART ALONG IT BORDER WITH ARADA, GULELE AND KIRKOS.

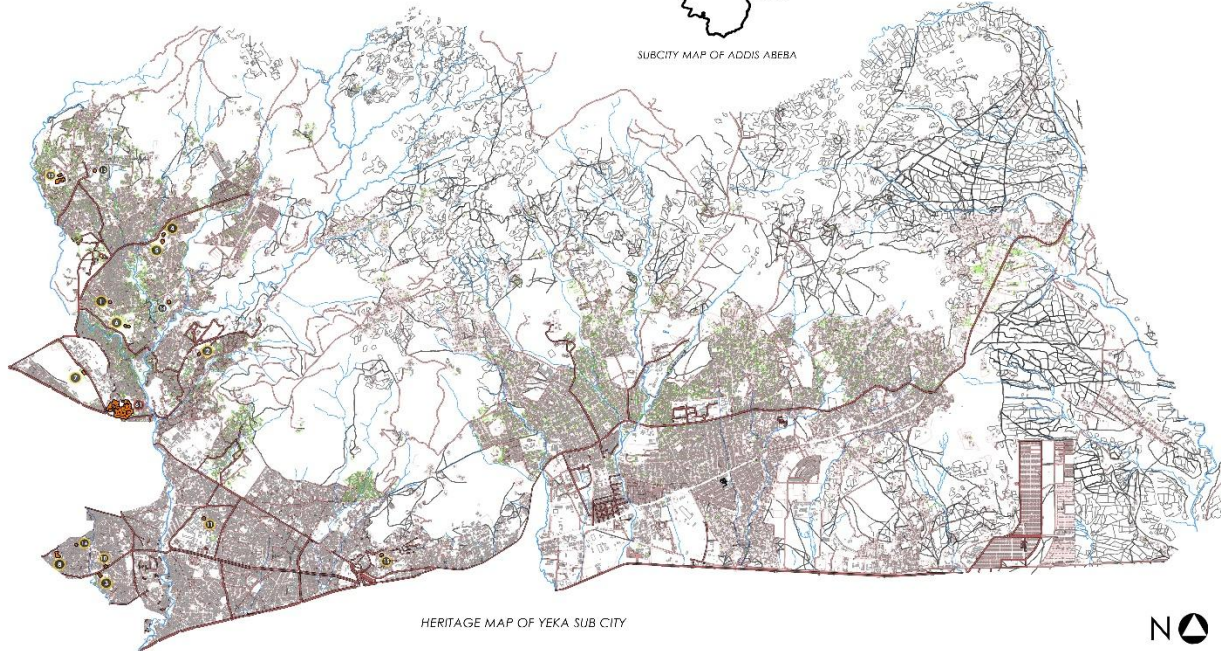
1. ATUNGUS TILAIUN HABTE RESIDENCE
2. ANTEK SETHUM 22
3. RUFINESH NYAMCHAFI RES / KFGNA7MATCH
4. CUSTOMS OFFICE ESTEFANOS MENGASIA
5. CUSTOMS OFFICE RAS SETHUM MENGASIA
6. DLU GOSILASSI BARIYAGABIE RESIDENCE
7. JANIHOY MPDA/70F... MFKURIA BANYIRGU
8. KAFAY WALE RESIDENCE
9. MENGIK II HOSPITAL
10. MUNGASHA GUNLM K SIDINCL
11. RAS ARATE SAYA RW RESIDENCE
12. RAS KASA HALEU ESTATE
13. ST. GENETE YESUS CIURCII
14. ST. MICHAEL CHURCH YAKA
15. TOP VIEW RESTAURANT WINDIRAD OFARACHF
16. WOLU MUHAMMED RESIDENCE



LEGEND

- ROADS
- BUILDINGS
- RIVERS
- HERITAGES
- VEGETATION

- RESIDENTIAL HERITAGES
- RELIGIOUS HERITAGES
- GOVERNMENTAL HERITAGES
- COMMERCIAL HERITAGES
- LANDMARK HERITAGES

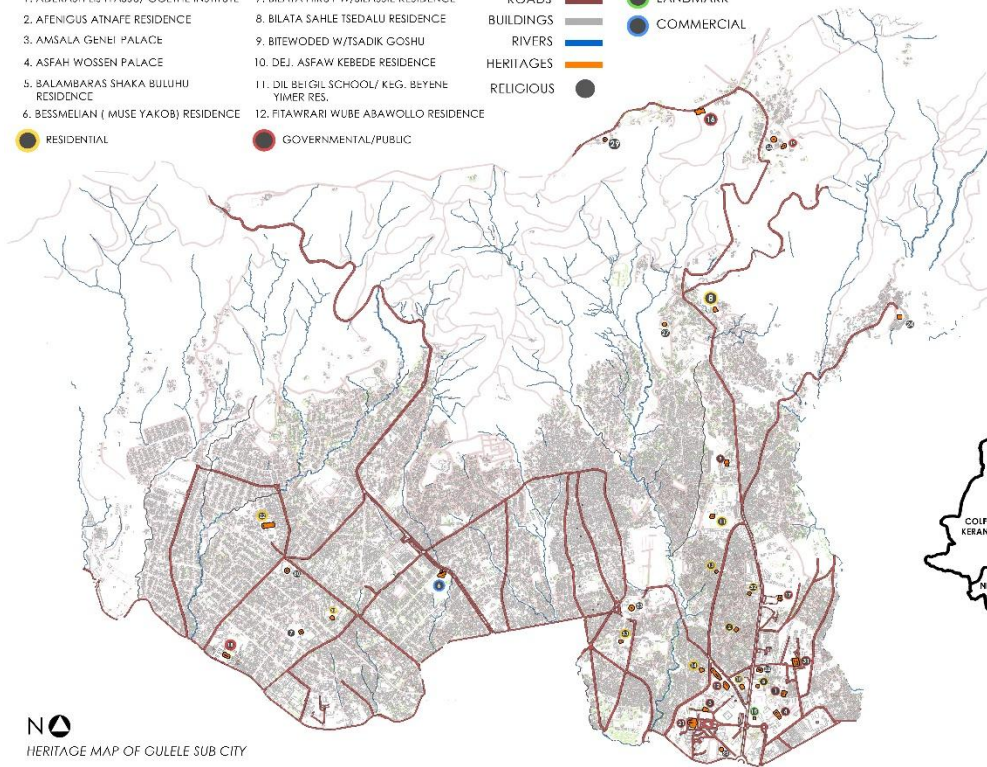


HERITAGE MAP OF GULELE

GULELE SUBCITY IS LOCATED IN THE NORTHERN PART OF ADDIS ABEBA. IT SHARES BORDERS WITH YEKA SUBCITY IN THE EAST, ADDIS KETEMA AND ARADA IN THE SOUTH AND COLFE KERANIO IN THE WEST.

LEGEND

- | | | | |
|---|---|-----------|------------|
| 1. ADFRASH LU IYASSU/ GOETHIE INSTITUTE | 7. BILATA IIRUY W/SII ASSIE RESIDENCE | ROADS | LANDMARK |
| 2. AFENIGUS ATNAFE RESIDENCE | 8. BILATA SAHLE TSEDALU RESIDENCE | BUILDINGS | COMMERCIAL |
| 3. AMSALA GENET PALACE | 9. BITEWODED W/TSADIK GOSHU | RIVERS | |
| 4. ASFAH WOSSEN PALACE | 10. DEJ. ASFAW KEBEDE RESIDENCE | HERITAGES | |
| 5. BALAMBARAS SHAKA BULUHU RESIDENCE | 11. DIL BEIGIL SCHOOL/ KEG. BEYENE YIMER RES. | RELIGIOUS | |
| 6. BESSMELIAN (MUSE YAKOB) RESIDENCE | 12. FITAWRARI WUBE ABAWOLLO RESIDENCE | | |
- RESIDENTIAL ● GOVERNMENTAL/PUBLIC



HERITAGE MAP OF GULELE SUB CITY

13. FITAWRARI WUBE ABAWOLLO RESIDENCE
14. GEBRE MARIAM GARI RESIDENCE
15. KARL MARX MONUMENT
16. KING MICHAFI BANQUET HALL
17. LUL MPKONFN PAI ACF
18. MEDEHANE ALEM SCHOOL
19. MFNFIK II ENTOTO PAI ACF
20. MUSE FASIKA RESIDENCE
21. RAS MEKONEN/ LUL GENET PALACE
22. SHEIK OJELE HOUSE
23. ST. KFCHFNF MPDHANF AI FM CHURCH
24. ST. KIDANE MERID CHURCH
25. ST. MARKOS CHURCH/ MENEBERE LEUL
26. ST. MARY CHURCH IN ENTOTO
27. ST. MENEBERE MENGIST KUSKUAM
28. ST. MEZKAYE HIZUNAN MEDHANE ALEM
29. ST. RACHEL CHURCH ENIOTIO
30. ST. RUPAEL CHURCH
31. TAFARI MEKONNEN SCHOOL
32. TSEHAFI TIEZAS G/SILASIE NEGADIRAS
33. TSEHAFI TIEZAZ HALE WOLDERUFE RESIDENCE



SUB CITY MAP OF ADDIS ABEBA

HERITAGE MAP OF KIRKOS

KIRKOS IS LOCATED IN THE center PART, IT IS SHARES BORDERS WITH LIDETA IN THE west, ARADA IN THE North, BOLE IN THE EAST AND NIFASSILK LAFTO IN THE South . IT HOLDS MORE THAN 20 HISTORICAL SITE .

9. Judah Monument/
National Th.

11. Lij Gebre Adinew
Residence

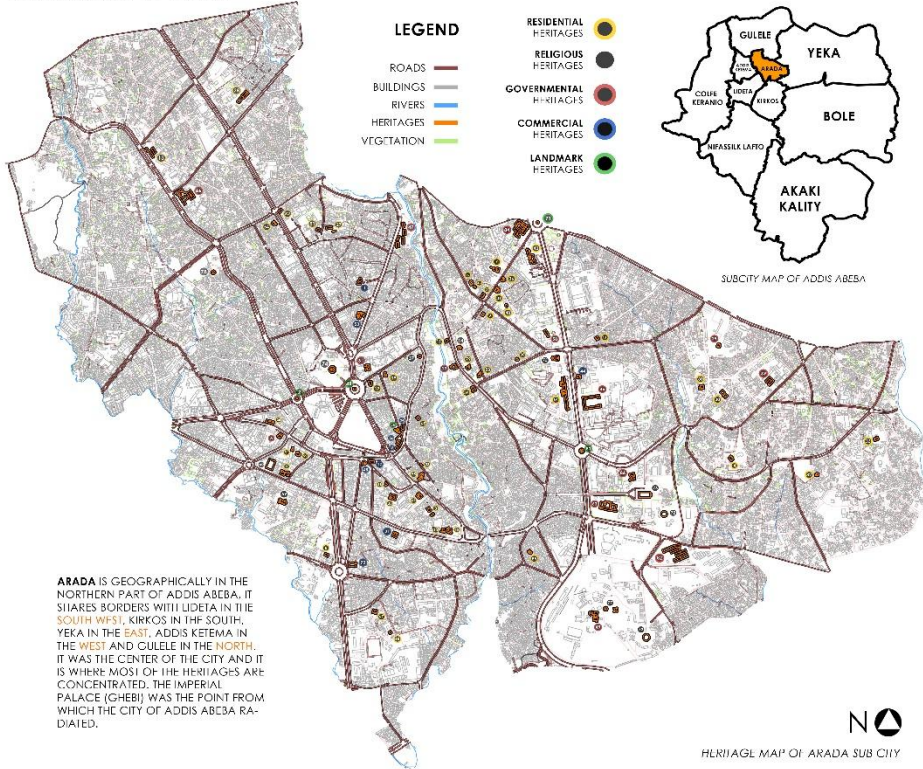
12. Lion of Judah (La
Gare Center Compoun

13. Meskal Sqare (Abyol)

14. Mintiwab Desta
Residence

15. National Palace- 7th
Day Hospital

HERITAGE MAP OF ARADA



ARADA IS GEOGRAPHICALLY IN THE NORTHERN PART OF ADDIS ABABA. IT SHARES BORDERS WITH LIDETA IN THE SOUTH WEST, KIRKOS IN THE SOUTH, YEKA IN THE EAST, ADDIS KETEMA IN THE WEST AND GULELE IN THE NORTH. IT WAS THE CENTER OF THE CITY AND IT IS WHERE MOST OF THE HERITAGES ARE CONCENTRATED. THE IMPERIAL PALACE (GHEBI) WAS THE POINT FROM WHICH THE CITY OF ADDIS ABABA RADIATED.

1. AA RESTAURANT/DEJ. WIRE HALE MARIAM
2. ABENE PERIOS MONUMENT
3. AGHEBYE
4. APFINGUS HADBE MESLEKE RESIDENCE
5. AYEKA ANDINETE SCHOOL/ ONGDI ZEMODROS GUEST PALACE
6. AGAGAR PERERE RESIDENCE
7. AGOP BAGDASARIAN 2ND RESIDENCE
8. ANHED SAAYI/ SHABIB/ HAJET
9. AKBAR ALI ABDUL HESIN RESIDENCE
10. ANHED LUG RESIDENCE/ AKHEDI/ AKHARIAN
11. ANDRIFAS KAVADIAS RESIDENCE
12. ARADA OLD POST OFFICE (GENAMA ETHIOPIA)
13. ARRENGOCHI RESIDENCE
14. ARMINIAN CHURCH
15. ARTIN AVARIAN RESIDENCE
16. ASALEKA BACHCHA RESIDENCE
17. AZALECHI GOBENA
18. BAGOULING-HOTEL
19. BALAMBARAS G/MEHMIN RESIDENCE
20. BALAMBARAS WOLDE GEMAT
21. BANK OF ADESSINA
22. BESHARU ETHIOPIA SCHOOL
23. BESHARU (ELIAS) RESIDENCE
24. BISHON BELL'S SCHOOL
25. CASA DEL FASCIO/ RAS ADESPREWE
26. CINEMA TAMPRE DALKAY/ YASERJAN ESU DENCE
27. DEJ. HIRU HAFT MARIAM RESIDENCE
28. DEJ. ENGI SELASSIE RESIDENCE
29. DEJ. GEBRE SELASSIE
30. DEJ. KERUBE TASSANIAS
31. DEJ. LETWERD GEBRE RESIDENCE
32. DEJ. MANGASHA YILMA RESIDENCE
33. DEJ. YISARA MESSERIN RESIDENCE
34. DIMINI PERIOS RESIDENCE
35. EYEDU TARI HOTEL
36. GRAMMATECH TERFE RESIDENCE
37. GREEK CHURCH
38. GREEK CHURCH, 1 ST
39. HAKMA MOKHMAN RESIDENCE
40. HAMPO KOCASIAN RESIDENCE
41. KABAACHAHAN RESIDENCE
42. KEGRAZMACHI MEKONEN ENDALKACHEW RESIDENCE
43. KEGRAMATECH WOLDE YOHANIS RESIDENCE
44. KURAZ/ PERING/ RESH/ MESA ENTERPRE
45. MARIU KEVORKOPF RES/ ELIAS HOTEL
46. MENELIK II SCHOOL
47. MENELIK I/AL
48. MENELIK MONUMENT
49. MENELIK PALACE/ GHEBI
50. MERRIA TREE PRINTING PRESS
51. MOHAMMED ALI - OLD STORE BUILDING
52. MULLIGETA ALI - RESIDENCE
53. MULLIGETA YIGZEM RESIDENCE
54. MISE GHEBTO MAGADARI/ NEGADRAS RESI DENCE
55. MISE MIKSA KIRBERIAN RESIDENCE
56. MISE NAZARETH & BAGORA ITANA
57. MISE YACOB- AGOP BAGDASARIAN'S 1ST RESIDENCE
58. NATIONAL MUSEUM
59. NATIVITY CATHEDRAL
60. NUR MUSEUM
61. OLD MUNICIPALITY/ NEGADRAS H/ GIORGIS ADIS
62. PAPADOPOLUS RESIDENCE
63. PARLIAMENT BUILDING
64. FATIRACHIS RESIDENCE
65. FAYLOS KORIAS
66. RAS DUSTA HOSPITAL
67. RAS NADEW ABA WELD RESIDENCE
68. RAS NADEW ABA WOLDE GATEHOUSE
69. JANDIHOZI SCHOOL/ 1ST MINISTRY OF EDUCATION
70. SEFARI BET
71. SEST MICO MARTYRS MONUMENT
72. ST. BEALLWOLD CHURCH
73. ST. GEBRIEL CHURCH
74. ST. GEORGE/ GHORGHIS CHURCH
75. ST. MARY CHURCH
76. ST. SELASSIE/ HOLY TRINITY CATHEDRAL
77. ST. TSIANA NIGHT BARGA MARIAM
78. ST. YOHANNES CHURCH
79. TERHOM BEBE RESIDENCE
80. TIDEBERALEZU WOLDE GHORGHIS
81. TIGLAL - PLATE/ GHEBI/ W/ GHEBI
82. WITI BET
83. VICTORY MONUMENT ARA KILO
84. YEMATH HOSPITAL/ VICTORIO EMMANUELE/ RES
85. YAHREZEMAS RESIDENCE
86. YOHANNES WAGLE/ WOLDE/ TRINITY COLLEGE

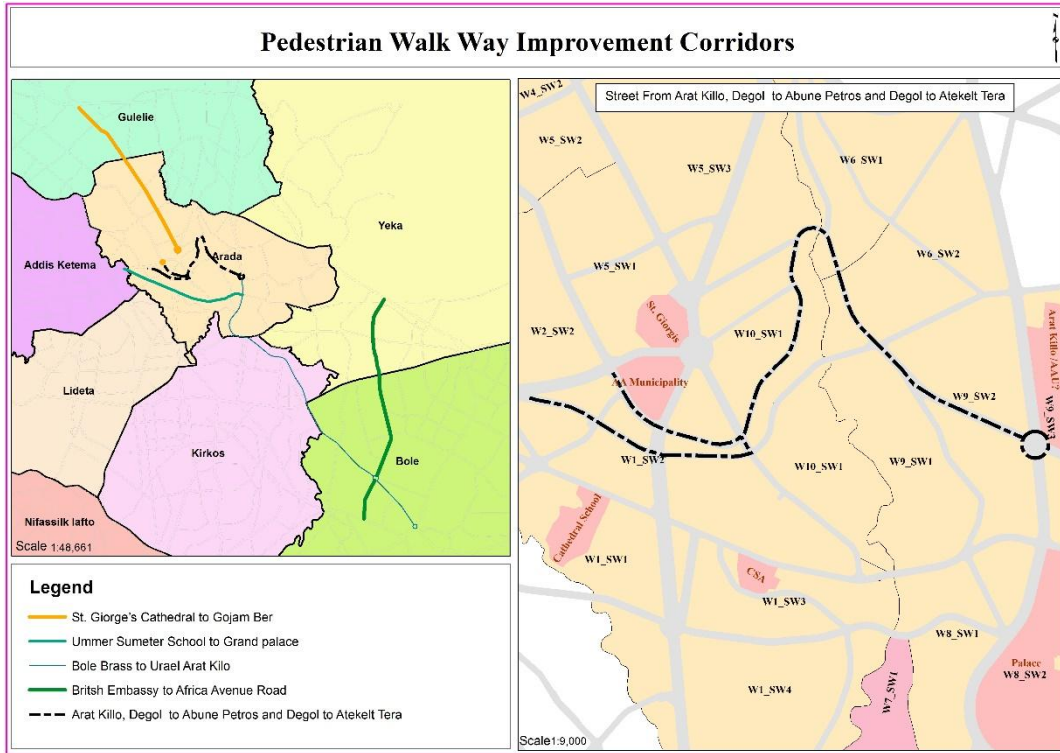
yeke Resi-

EKA

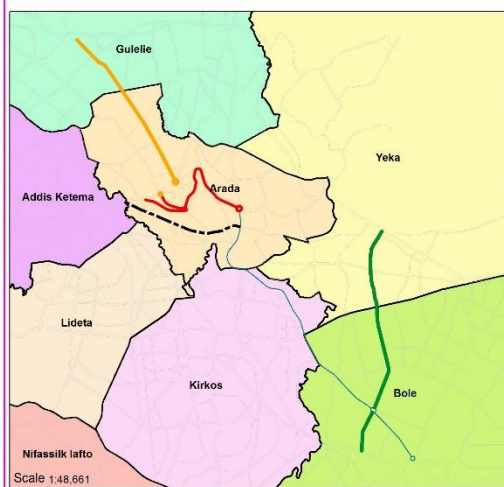
BOLE

S/ S ABABA

Annex 13 Selected Road Corridors

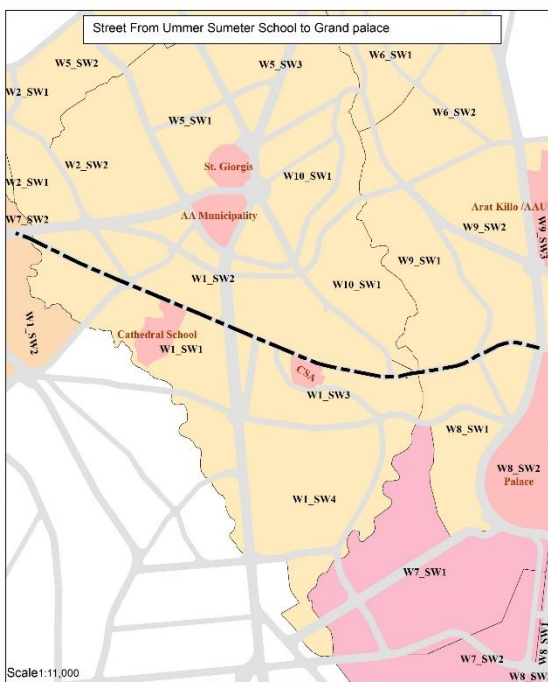


Pedestrian Walk Way Improvement Corridors

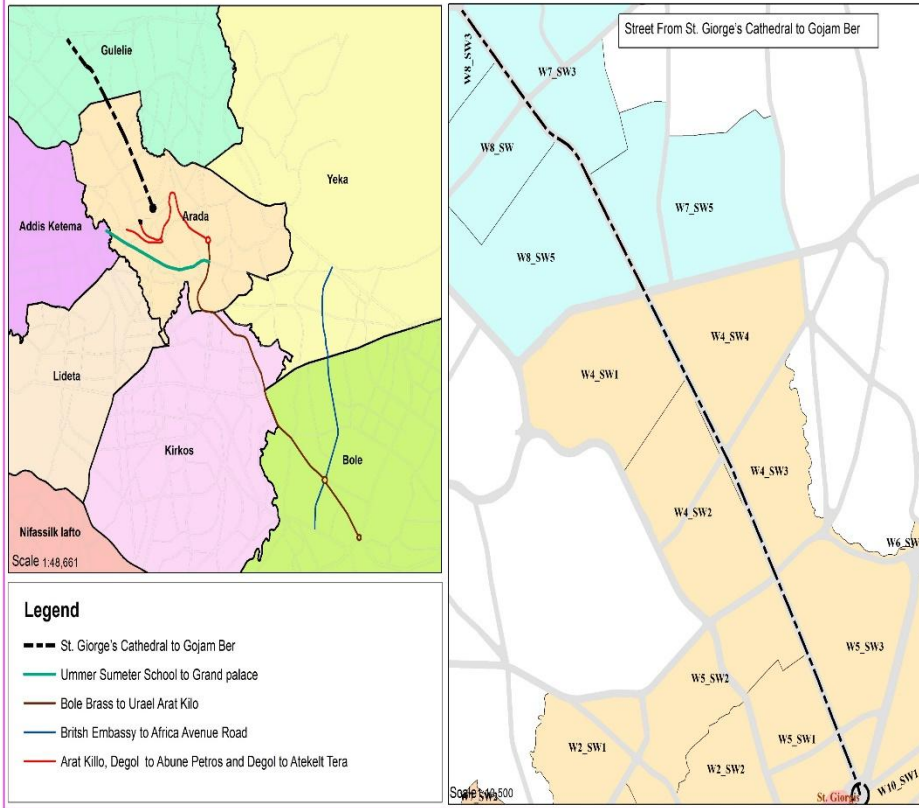


Legend

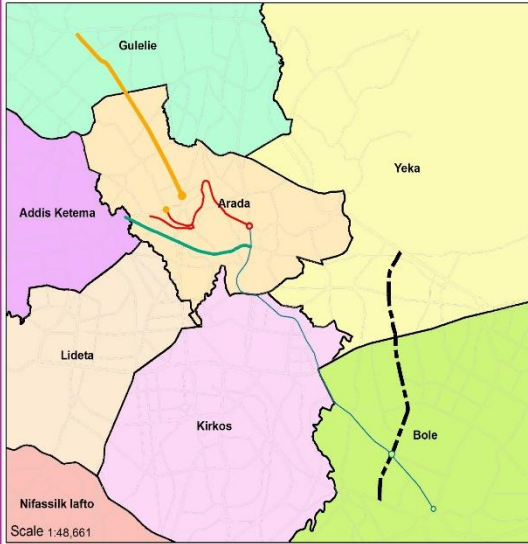
- St. George's Cathedral to Gojam Ber
- - - Ummer Sumeter School to Grand palace
- Bole Brass to Urael Arat Kilo
- British Embassy to Africa Avenue Road
- Arat Killo, Degol to Abune Petros and Degol to Alekelt Tera



Pedestrian Walk Way Improvement Corridors



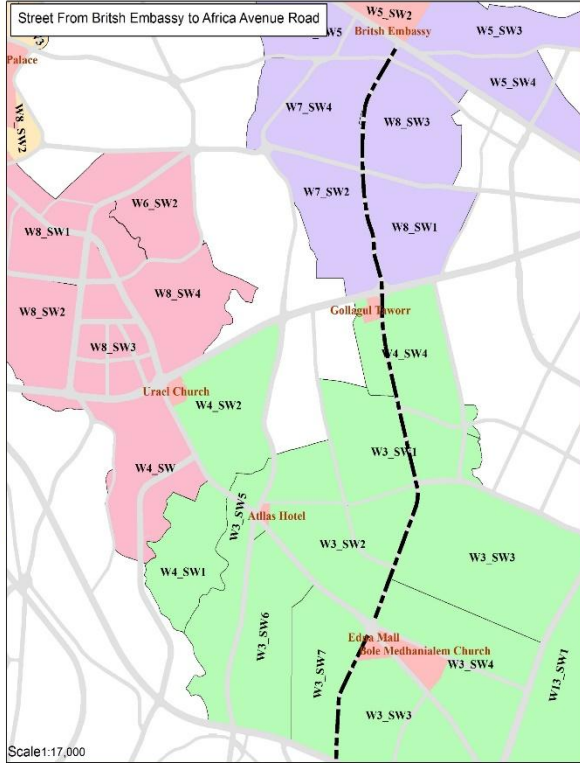
Pedestrian Walk Way Improvement Corridors



Legend

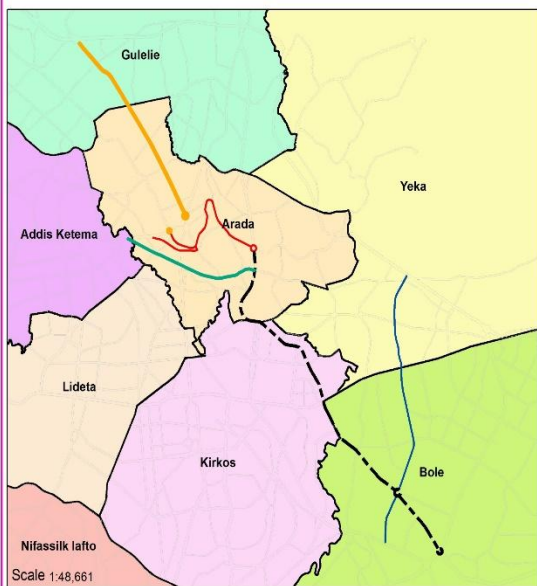
- St. George's Cathedral to Gojam Ber
- Ummer Sumeter School to Grand palace
- Bole Brass to Urael Arat Kilo
- - - British Embassy to Africa Avenue Road
- Arat Killo, Degol to Abune Petros and Degol to Atekelit Tera

Scale 1:48,661



Scale 1:17,000

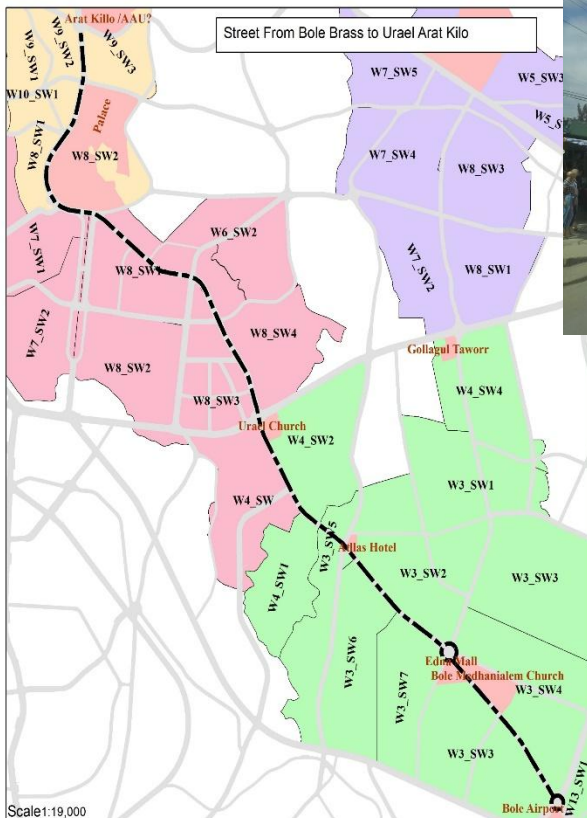
Pedestrian Walk Way Improvement Corridors



Legend

- St. George's Cathedral to Gojam Ber
- Ummer Sumeter School to Grand palace
- Bole Brass to Urael Arat Kilo
- British Embassy to Africa Avenue Road
- Arat Killo, Degol to Abune Petros and Degol to Atekelit Tera

Scale 1:48,661



Scale 1:19,000





Annex 14: Consultation Minutes

Date: 24/December/2015

Venue : Kaleb Hotel ;

Starting Time :10:00

List of participants: Residents from the project site Woredas- (See attached list of participants)

Ser. no	Study category	Consultant	Remark
1	Resettlement policy framework and Social impact Assessment	W/t Elleni Zemenfeskidus	
2	Environmental and social impact management and policy framework	AtoZeru	

An opening speech was made by the head of the project Ato Behailu. He said that this project is design to upgrade and improve the city transport efficiency, pedestrian safety and institutional capacity of the Addis Ababa road and transport sector.

Then he expressed his feeling that the consultative meeting will allow to collect valuable information from all participants. He further noted that participants would be

able to forward their concern and their view which become key inputs for the project study. After his speech the moderator invited the consultant to present their report.

Valuing assets

Participants from Arada and other area where the project corridors pass raised the following concerns:

- Regarding the extent to which the project has identified the demographic, housing stock, number of shades, and other characteristics of the site targeted by this project.
- They also stated that large volume of people in the project site didn't have a legal document though they have been living and working in the areas for more than twenty to thirty years. When they will be displaced, how will this project address the needs of these social groups?
- Since this project has a potential to affect the shades, housing units, business activities, in general livelihoods of a number of the residents who have lived in the area for more than 20-30 years precautions must be made not to repeat previous mistakes. So how will this project value their existing social economic and other way of life? How will this project compensate these people since they don't have a legal document/title indeed? They are victims of the administrative body since they were denied to get at least kebele houses.
- They recommended the project must have the details of demographic socio economic and other relevant data/statistics before the start-up of project implementation.
- They reflected their fears that to what extent whether this project is sure that it does not replicate the problems that are observed in condominium housing projects of the previous years.
- The project should seriously take into consideration the livelihoods of these social groups and their existing needs.

Eligibility criteria and Public Awareness

It was noted that there are a number of road related problems in the project site including pedestrian crossing line, congestions, etc so that the residents and passers by in the area have to walk a long distance in order to cross the nearby areas of the other side. One participant highly emphasized the situation by saying that
“ When we think for 10% of the people you don't need to forget 90% of the residents who are residing, working, and living in the nearby project site and what they said is that this project will affect large number of poor people which needs crucial investigation to reduce

the possible impact of the project including continuous public awareness and consultation works.”

In addition participants inquired that since there are other areas where less complex situations and livelihoods are not present why this project did not consider those other potential peripheral areas or sub cities.

Issues on institutional arrangement/Integration

Participants mentioned that transport problem is worsening from time to time, traffic management system is very weak, and there is lack of coordination among different levels of the concerned government bodies. So participants posed questions that to what extent this project and other stakeholders are coordinated? Who are the members of the steering committees that represented in this project from their Woreda? All Woreda areas are the place where project implementation is going to undertake however there is no structure that shows the extent of the integration of this project where civil work is carried out. Participant further said that they did not have any information about this project. From EPA for example, said that their office didn't represent in the steering committee. He asked why it was so? Further he noted that other concerned government and non government bodies for example Addis Ababa cleaning and beautification office etc should be included in the steering member.

It is also not clearly stated the way how compensation is going to be effected to affected ones, how does this project is looking for the existing national policies, how does this project works to introduce and disseminate the existing laws to the public ? How the principal concerned body of this projects are working to introduce and create awareness among the project beneficiaries/ or people that would be affected by this projects.

Some of the mandates for example roundabouts, intersections etc are given to new bodies. So this project should consider such matters.

The time period of this project does not clearly stated as to when it begins? The span of project life, integration of utility services electricity, water, telephone.... All these are not clearly stated in the document. Participants emphasized that it should be clearly stated that the when and how the utility lines are changes replaced... without costing the routine life of the surrounding people.

Grievance redress mechanisms,

In the name of pavement improvement, this project will affect so many existing facilities including compounds, homes and buildings, etc. the practice of compensation is so a futile exercises which accounts so many complaints from the public for the last several years. So participants anticipate that what this project has to be able to address similar possible public complains in relation to compensation? The previous practice was so funny that it was never consider the actual challenges that displaced HH and family members would be faced after they evacuated in the name of development.

Further it was noted that this project will be raised a governance issues. Therefore, strict measure should be developed while selecting contractors, monitoring and evaluation parameters and capacity and background records of the contractors should be clear out , otherwise it is very advisable to give the contractors to foreigners.

Participants expressed their fear that this move will be inevitable from the place where many people are supposed to be evacuated due to this project especially in Arada sub city. There are a number of people who run different business activities through rental houses (rent for home and business activity). These people become principal victims of the project since there is no legal system that would help them to have enough compensation or relocation or any kind of entitlement. It will be sure that they will be dismantled without any hope by such kind of projects, even though they generate their income from rental of houses for several years in such particular area.

Upgrading Anbessa city Bus, Boundary Delineation and Relocation

Regarding to the modernization of the city bus services, participants affirmed that they will support the idea but raised that to what extent the city bus service will become modernized? Is it is structure? leadership? Or what/ they requested the way that this project addresses this matter. Moreover they noted that Anbessa city bus is found to take the lion share of the cause for current road congestion in Arada project sites. So what shall be done to solve this under this project? Will this project be helpful in this regard?

The existing city lands are located under the boundary of different Woreda', the Woreda structure did not allow the Woreda administration to exercise and make a decision on their respective areas, even yards of lands! The Woreda administration does not have the right to give or take off a piece of land where as all projects are

implemented at their place where they don't have the right to execute. For simple thing for example the Woreda does not have the right to involve on compensation process except simple observation. We do not have to have professional for this matter.

Sub cities are principal actors while boundary delineation, abolishing informal holdings, etc . It is impossible to take a foot of work before which pre conditions are fulfilled by the concerned body of the sub cities. They are principal stakeholder of any projects that will be undertaken in Addis Ababa.

It was requested that to what extent this project is comprehend with Addis Ababa Master plan.

Participants also complained about their previous experience with the Addis Ababa road and transport bureau that started constructing a road from St Marry to Janmeda without making adequate consultation with the residents. The consequence was very terrible that the people of the surrounding area severely suffered due to the action made by the bureau. The incident disrupted the social and economic activity of the area, damages the day to day life activity of the people, a number of shopping places and dismantled, people are displaced, and development should not be taken with a cost of poor life. Any development should not be taken without the consultation of the would be affected people. But the reality is different. These should be stated in this project document clearly. Therefore, large number of individual are displaced, businessmen are dismantled without any compensation for loss or relocating the victims.

Therefore participants questioned that what issues will be considered for such kind of people. People of title in deed, or living in agency rental or Keble houses will have been compensated according to the expropriation proclamation article 456. However, this proclamation said noting for the above people. So what do you think this project address for these people?

Traffic system

One said that the current public awareness towards the traffic system is quite low and such kind of community discussion shall be cascaded down to all grass root level.

- Currently the road especially in Arada sub city is characterised by full of activity, for example construction materials and activities in the area are causing a lot of problems. Owners not only overlay the building material on pedestrian road but also fence the road as if they have the right to use the roads until they finish their construction. It has been, however, noted that the basement space have been

- used for another business which contradicts with the existing rules and regulations.
- Others said if the project will be implemented as per written in the project document, it will have a good impact in terms of facilitating the traffic flow especially in the area of the project site. However, introduction of the objectives of this project to all households who will be possibly affected by the project lacks transparency.

Regarding street vendors

- In Arada Woreda one, there are several street vendors, people whose social economic and their livelihoods relies on the street. This project should contact such groups needs consult these people so as to aware them about the project rationale. So that I can be possible to make them either to change their working place, what they can work, and can avoid any negative consequences in advance.
- A person from Bureau of labor and social affairs reflected their concern regarding the importance of re considering the problems and needs of different special groups of the city residents physically mentally disabled groups. Further he noted that they are ready to work together to address the possible problems related to noise dust and the like

Forward remarks

Ato Behailu said this is a benchmark study for the next detailed study that will be carried out soon. This study will serve as a framework for the detail study-which will be conducted to reconsider the whole community which will possibly be affected by this project including low income families.

Regarding the structural arrangement of this project with all working parties, we will take this lesson as a benchmark of what we should not do again. This indeed will help to us an input for this project. Regarding the issue raised about steering committee, we will have to reconsider things again and work accordingly.

Regarding relocation, we will look this part after which the design work is effective and consider who has what, what legal document exist among the project affected groups? How many HHs will be affected, HHs family size affected, etc will be studied in detailed. Further, he remarked that we will come to consensus before which any implementation

is undertaken. This study will pave the way how we are going to use for future communication while the project is to be undertaken.

Regarding the selected corridors, it was replied that these area were selected due to the fact that the existing conditions of the sites are so depleted, and raised a concern among different bodies, they are a place where higher educational institutions and government offices are located including high level of traffic congestions. Further the project areas are more or less represents the central part of the city so that this project will played a vital role while changing the image of not only the selected the sites but also the entire city at all. In addition this opportunity is given to these sites since there are a number of road and other infrastructure projects undertaken in other areas and sub cities.

Therefore at the end of the project period the given selected project sights will be improved the traffic conditions, maintain road and pedestrian safety, enhance for better parking services, and helps for transport plan and institutional strength as well as we will have 158 standard cross sectional roads in Addis.

Regarding the role of the stakeholders, all concerned government and others including water and sewage authority, electricity, tele will be part of this project and he further noted that this project will work based on the existing council structure of the city.

Regarding city bus services they are working to upgrade the standards of the city bus service including there are a number of ongoing activities including the construction of home depot, ticketing garage and workshop buildings and facilities in Akaki and Shegole area, are few of among others.

This project is designed to envisage better life style of the residents of Addis in general and the project site in particular said Ato Behailu. There are a number of issues that will be addressed in design part of this project he added. So that, we shall be ready and be responsible for the effectiveness of this project.

Others remarked that this paper is a framework where the coming project issues will be used for further study. Since this project will fall under World Bank category "B" it is supposed that there is less negative impact up on the people where the project is being in effect. They added that special attention was given to Addis because of the fact that there are more than 60 % of the national registered vehicle in Addis which needs urgent response on the existing vast road and transportation challenges.

Further it was remarked that, this discussion document will help us as a framework and would be used to make rational decision in the coming works. This meeting wills

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Annex 15: Addis Ababa City Administration Directive No.19/2014, Directive to Execute

Expropriation of Landholdings for Public Purpose, Payment of Compensation and Substitute Land Modified Provision

Detail steps and procedures followed during land expropriation, compensation payment, entitlement, and substitute land determination are included. Community participation stages and composition is also defined. This directive is available only in Amharic version. The link is attached herewith;

(<http://www.ilic.gov.et/images/new%20downloads/Others/Kass%20Kifiya%20No%2019%202006.pdf>)

