

FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA  
MINISTRY OF WATER, IRRIGATION AND ELECTRICITY  
URBAN WATER SUPPLY AND SANITATION PROJECT-II



Revised Draft  
Resettlement Policy Framework  
(RPF)

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## Contents

Acronyms.....	i
Executive Summary .....	ii
1 Introduction.....	7
1.1 Ethiopia’s Current Water Supply and Sanitation Situation .....	7
2 Project Description and Potential Investments Causing Resettlement .....	9
2.1 Project objectives rationale.....	9
2.2 Project components .....	9
2.2.1 Key Inputs for the Components.....	11
2.2.2 Key Outputs for the components.....	11
2.3 Project Beneficiaries.....	12
2.4 Environmental Conditions and Socio-economic Context of Project Areas .....	12
2.4.1 Bio-Physical and Ecological Condition.....	12
2.4.2 Socio-economic Conditions of the Project Area .....	13
2.5 Potential Land Impacts of Project Activities.....	15
2.6 Other Potential Impacts .....	16
2.7 Categorization of Land Needs .....	16
2.8 Estimates of Surfaces Potentially Required .....	16
2.9 Categories of Project Affected Peoples (PAPs) .....	17
2.10 Justification for RPF and Process for Preparing RAP .....	18
2.11 Census and Inventory of affected Assets and Affected Households .....	18
3 Principles and Objectives Governing Resettlement Preparation and Implementation in the UWSS-II Project .....	19
3.1 Principles and Objectives .....	19
3.1.1 Regulatory Framework.....	19
3.1.2 Objective of the RPF .....	19
3.1.3 Elasticity of the RPF.....	20
3.2 RPF Principles under UWSS-II Project .....	20
3.3 Cut-off date and Eligibility.....	21
3.4 Livelihood Restoration .....	22

3.5	Special Restoration Measures for Vulnerable Group/PAPs .....	22
4	Legal and Institutional Frameworks .....	24
4.1	The Constitution of Ethiopia, 1995, Proclamation No.455/2005 and Regulation No.135/2007 on land and property rights. ....	24
4.1.1	Notification of expropriation order: .....	26
4.1.2	The responsibility of implementing Agency: .....	26
4.1.3	Basis and Amount of Compensation: .....	26
4.1.4	Displacement Compensation: .....	27
4.1.5	Valuation of Property .....	27
4.1.6	Complaints and Appeals in Relation to Compensation Payments .....	28
4.1.7	Powers, Duties and Responsibilities of MoFA, Woreda and Urban Administrations .....	29
4.2	Institutional Arrangements .....	30
4.3	World Bank Operational Policy on Involuntary Resettlement (OP 4.12) .....	31
4.4	World Bank Operational Policy on Physical Cultural Resources (OP 4.11) .....	31
4.5	Comparison of Ethiopian Legislations with World Bank OP 4.12.....	32
4.5.1	Squatters or Illegal Settlers.....	32
4.5.2	Complaint with the amount of compensation resolution.....	32
4.5.3	Vulnerable Groups .....	32
4.5.4	Involuntary resettlement.....	32
5	Overview of the Resettlement Policy Framework Process .....	38
5.1	Screening.....	38
5.2	Resettlement Action Plan/Abbreviated Resettlement Action Plan .....	39
5.2.1	Resettlement Action Plan .....	39
5.2.2	Abbreviated Resettlement Plan .....	39
5.3	Work packages .....	39
6	Eligibility Criteria, Entitlement, Valuation and Compensation.....	41
6.1	Eligibility Criteria .....	41
6.2	Eligibility Type for Compensation.....	42
6.3	Entitlements .....	42
6.4	Valuation of affected assets .....	48

6.4.1	Land.....	48
6.4.2	Structures.....	48
6.4.3	Crops .....	48
6.5	Compensation Type.....	49
6.5.1	Land Replacement.....	49
6.5.2	Compensation in Cash.....	49
7	Consultation and Disclosure.....	50
7.1	General.....	50
7.2	Consultations towards Preparation of this RPF .....	50
7.3	Summary of Views, Concerns and Recommendations captured during community and stakeholder consultation.....	52
8	Grievance Management Mechanisms.....	56
8.1	Objective .....	56
8.2	Potential grievances/disputes.....	56
8.3	Registration of Grievances .....	56
8.4	First Instance-Amicable Settlement .....	57
8.4.1	Grievance Resolution Committee .....	58
8.4.2	Grievance Redress Procedure:.....	58
8.5	The Office of the Ombudsman .....	59
8.6	Appeal to Court .....	59
8.7	World Bank Grievance Redress Services .....	59
9	Implementation Arrangements, Schedule and Funding .....	62
9.1	Roles and Responsibilities .....	62
9.2	Budget .....	65
9.3	Resettlement Cost Estimates and Budget.....	66
9.4	Capacity Building and Training .....	66
9.5	Implementation Schedules.....	68
10	Monitoring and Evaluation.....	70
10.1	General Objectives of Monitoring & Evaluation .....	70
10.2	Reporting.....	70

10.3	Evaluation.....	71
10.4	Reporting Requirements .....	71
10.5	Indicators.....	72
10.6	Completion Audit .....	73
Annex 1:	Definitions .....	74
	Definitions .....	74
Annex-2	Social screening form.....	77
Annex 3:	Framework for the census of affected Assets and Affected persons .....	79
Annex 4:	Outline of a Resettlement Action Plan.....	82
Annex 5:	Outline of an Abbreviated Resettlement Plan .....	85
Annex 6:	Template itemization of a RAP/ARAP budget.....	87
Annex 7:	Screening Criteria for Sites for Resettlement of UWSS-II Project Affected Persons.....	88
Annex 8:	Template of a consultation meeting minute form.....	89
Annex 9 :	sample redressing grievance form .....	90
Annex 11.	Illustrative Budget Template for the RAP .....	92
Annex 12.	Illustrative of assumptions on indicative budget .....	93
Annex 13:	List of participants in community and stakeholders discussion .....	94

## ***TABLE***

<b>TABLE 1-POPULATION OF BENEFICIARIES IN THE PROPOSED PROJECT CITIES</b>	<b>14</b>
<b>TABLE 2: ESTIMATED LAND REQUIREMENT FOR SYSTEMS CONSIDERED UNDER URBAN WATER SUPPLY AND SANITATION PROJECT</b>	<b>17</b>
<b>TABLE 3-SUMMARY OF COMPARISON OF GOE LEGISLATION AND WORLD BANK’S OP4.12 AND RECOMMENDATIONS TO ADDRESS GAPS</b>	<b>34</b>
<b>TABLE 4-IMPACT/ENTITLEMENT MATRIX</b>	<b>43</b>
<b>TABLE 5: IMPLEMENTATION RESPONSIBILITIES</b>	<b>63</b>
<b>TABLE 6-TYPES OF VERIFIABLE INDICATORS</b>	<b>72</b>

## ***Figure***

<b>FIGURE 1: RESETTLEMENT POLICY FRAME WORK PROCESS</b>	<b>40</b>
<b>FIGURE 2: GRIEVANCE/DISPUTE MANAGEMENT MECHANISM</b>	<b>61</b>

## Acronyms

AAWSA	Addis Ababa Water and Sewerage Authority
AAWSA- PIO	Addis Ababa Water & Sewerage Authority – Project Implementation Office
ARAP	Abbreviated Resettlement Action Plan
EA	Environmental Assessment
EIA	Environmental Impact Assessment
EPLUA	Environmental Protection, Land Administration, and Use Agency
ESIA	Environmental and Social Impact Assessment
ESIAo	Environmental and Social Impact Assessment office
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FDRE	Federal Democratic Republic of Ethiopia
GoE	Government of Ethiopia
GTP	Growth and Transformation plan
MDGs	Millennium Development goals
MoEFCC	Ministry of Environment, Forest and Climate Change
MoWIE	Ministry of Water Irrigation and Electricity
NRW	Non-Revenue water
NGOs	Nongovernment Organizations
OD	Operational Directive
OP	Operational Policy (World Bank)
RAP	Resettlement Action Plan
RPF	Resettlement Policy Framework
ToR	Terms of Reference
UWSSP-II	Urban Water Supply and Sanitation Project
WSS	Water Supply and Sanitation

## EXECUTIVE SUMMARY

**Introduction:** Ethiopia's rapid urbanization is putting stress on the already inadequate water supply and sanitation system. The capacity of urban centers to properly dispose wastewater is too low, exposing natural resources to pollution and poses risk to human health. Out of the estimated 398,985 m<sup>3</sup>/day wastewater produced in Addis Ababa, Addis Ababa Water and Sewage Authority's (AAWSA) capacity to properly dispose the wastewater is only, 727m<sup>3</sup>/day or 0.43%. The situation is even worse in other secondary cities including Mekelle 0.35%, Bahirdar and Hawassa 0.22%, Gondar 0.07%, Dire Dawa 0.05% and Adama 0.41%. In light of these challenges, the proposed Urban Water Supply and Sanitation Project (UWSSP) is primarily intended to improve urban sanitation holistically and equitably in the urban space and provide assistance to improve operational efficiency in 21 Ethiopian cities.

This Resettlement Policy Framework sets out principles and guidelines for assessing and mitigating potential land acquisition and social impacts due to the UWSS sub-project activities in a manner consistent with the Ethiopian laws and regulations, and the relevant World Bank Involuntary Resettlement Operational Policy (OP4.12). It lays down principles and procedures for setting eligibility, entitlements criteria, implementation institutional arrangements including grievance redressing, special provisions for vulnerable groups, gender mainstreaming, consultation, participation, disclosure, monitoring and evaluation of progress and outcomes. It also stipulates supplementary guidelines for a participatory approach aligned with the principles of social inclusion and accountability.

The types of anticipated impact could be partial, temporary and/or permanent due to expropriation of land or establishment of right of way for potential sub projects. There is also a possibility for temporary displacement of small businesses such as a kiosk or selling gazebo or temporary facility. The RPF will offer ways to avoid, mitigate or compensate such anticipated impacts according to Government of Ethiopia laws in compliance with OP 4.12.

**Objective of the RPF:** This RPF has been prepared to ensure sustainable resettlement of affected persons (APs) and recovery from adverse impacts on property and livelihoods arising from project interventions. It also provides a set of guidelines and measures to make sure that all APs are able to improve or at least restore livelihoods to the pre-project level. Accordingly, the necessary safeguard instruments such as Resettlement Action Plans (RAP)/Abbreviated Resettlement Action Plans (ARAP) and Social Screening Reports (SSR) will be prepared for the subprojects that have engineering designs. Gender action plan and a public consultation and participation plan will be developed to mainstream gender and public participation in project implementation.

**Justification for Resettlement Policy Framework:** Due to implementation of subprojects under component one, land acquisition and property losses or access changes within the community may occur. Therefore, OP 4.12 is triggered and feasibility studies will be carried out during the implementation of these subprojects, the findings of these studies will inform

the implementation of this Resettlement Policy Framework (RPF), which has been prepared to establish the principles and procedures to be applied in the event that involuntary resettlement, loss of land or other fixed assets, disturbance affecting livelihoods or natural resource limitations will lead to any form of physical or economic displacement during the implementation of the Water Supply and Sanitations Project-2. The RPF is developed based on the World Bank Operational Policy 4.12 and the relevant national laws and regulations, which will form the basis for resettlement planning.

**Project description:** The objective of the Project is “to increase access to improved sanitation facilities and improve efficiency in water supply service delivery in Addis Ababa and selected secondary cities” The proposed project has three components:

**Component 1: Urban Sanitation:** The component will finance construction of centralized and decentralized water born sewer systems, construction of appropriate waste water treatment facilities, hygiene and sanitation promotion activities, and supply of equipment for urban sanitation.

**Component 2: Operational Efficiency of Water and Sewerage Utilities:** This component will finance targeted interventions to reduce and manage Non-Revenue Water (commercial loss and physical leaks), to improve staff productivity, asset management, customers handling, financial management, and billing and collection efficiency, as well as to improve water quality management, and water conservation by minimizing unsustainable water sources exploitation. Training and other capacity building packages will be tailor made to the specific utilities based on identified gaps through capacity need assessment.

**Component 3: Institutional Strengthening and Project Management:** Funding will be provided to enhance the capacity of participating water board members and water utility staffs to effectively manage their water supply and sanitation facilities. This will include capacity building activities such as staff training, provision of equipment to strengthen the management capacity of boards and utilities, and support for preparation of business plans to manage operations as commercial entities. This component also includes training, workshops and other capacity building measures and support for environmental and social management.

**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.

**Consultations and Information Disclosure:** The RPF provides a framework for consultation, participation and information disclosure with stakeholders in planning and implementing RAPs for various sub-projects.



**Social Management and Mitigation Measures:** In addition to setting out the principles and guidelines on the key steps to be considered in involuntary resettlement planning and execution, the followings important issues are also considered in this RPF. The cut-off date is the time when the affected persons and their properties are assessed, which means the start of the census date. 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 which will establish the cut-off date for the sub project, when the eligibility for resettlement and compensation will be identified. It is important, that this date is fully communicated to all potential Project Affected Persons (PAPs) in the project affected area with sufficient lead time to ensure their availability for the census.

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, reviewed and approved. Once these lists have been approved, thereafter, no new cases of affected people will be considered and marks the end of the census. All losses as a result of implementation of the UWSS-II sub-project will be compensated based on its eligibility. The acquired properties will be compensated at full replacement cost relying on the prevailing market rates without factoring depreciation. The UWSS-II will have income restoration for those who will loss income/livelihood and a livelihood restoration assistance package which will be developed based on the subsequent needs assessment study. Severely affected poor and vulnerable households will be offered alternative source of income generating opportunities, or livelihood assistance, including vocational skills training depending on the scope of impact.

**Implementations Arrangement:** The bulk of the project integration and coordination of implementation activity will be performed by Project Implementation Unit (PIU) which currently is strengthening its capacity at Ministry of Water, Irrigation and Electricity and in all the participating cities and towns Water and Sanitation/Sewerage utilities and other local government authorities/offices. The institutional arrangements for implementing this RPF or subsequent RAP (if needed) will include establishment/strengthening of safeguard units in the Utilities. Depending on the level of cities and towns Land Development and Urban Renewal Agency/Land Development and Management offices will be responsible for land acquisition, effect compensation payment, and ensure coordinated resettlement process in accordance with this RPF.

**Project Beneficiaries:** The primary project beneficiaries are urban residents in Addis Ababa and 21 secondary towns in Ethiopia. The project will provide benefits in the form of improved water supply service and sanitation and is expected to reduce economic and social cost associated with lack of access to improved water supply and poor sanitation services including disease and premature death, polluted water resources, time loss from daily

activities, degraded environment, and lost opportunities for productive use of waste for energy or fertilizer production.

**Grievance Redress Mechanism (GRM):** Grievance procedures will be established to ensure that PAPs are able to present complaint or concerns, without cost, and/or request information with the assurance of a timely and satisfactory resolution and response of the issue. 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.

**Capacity Building and Training:** The environmental and social sustainability of projects that involve multiple sub-projects is highly and unavoidably dependent on the capacity of communities, project implementing institutional capacity and other stakeholders to carry out the associated design, planning, approval and implementation. Thus, project need to allocate suffice resource to ensure stockholders empowerment including training, capacity building and technical assistance.

**Social Accountability, Inclusion and Gender:** The RPF provides principles for strengthening social accountability and inclusion through public information dissemination, citizen involvement in planning and monitoring of services. In respect of social inclusion and gender mainstreaming, this RPF sets out guidelines for ensuring participation of women in resettlement planning process and special assistance to the economically poor, women-headed and vulnerable households for restoring their livelihoods and incomes that may be affected due to the implementation of UWSS-II sub projects.

**Monitoring and Evaluation:** Internal as well as independent external monitoring and evaluation will be instituted for this Project. The RPF has identified preliminary key monitoring and evaluation indicators. The safeguard experts at Utilities and MoWIE will prepare and provide Monitoring and Evaluation progress and bi-annual safeguards review reports to concerned stakeholders.

**Social Benefits of the project:** The UWSS-II project will generate significant social and environmental benefits including: (i) reduction in water-borne diseases such as dysentery, cholera and others and improvement of the health conditions which reduces the medication expense and improves the productivity potential; (ii) permanent and temporary employment opportunities during construction and operation period; (iii) time savings, which can be mainly attributed to women and girls who bear the disproportionate burden of fetching and waiting for water; (iv) improved sanitary facilities which forced women to relieve themselves either in unsafe open areas or under cover of night, exposing them to the threat of sexual violence; (v) improvement on girls education due to reduction of time spent on water collection, as well as their roles as caregivers, leads to loss of school days and (vi) targeting poor households, who in most cases represent the most vulnerable from public and communal

latrines are some of the project's positive contribution. In the low income areas with limited space, the project will invest in affordable and safely positioned public pay and use toilets and showers managed by women and youth led community based organizations.

**Social Risks:** The likely adverse social impacts associated with anticipated physical works such as construction of wastewater treatment plant, reservoir, public and communal toilets, trunk line and pipe line and in some cases access road under the proposed project will acquire private or communal land. However, the impact varies from town to town. During field assessment participating towns have indicated that precautionary measures should be taken to avoid using private/communal land for the construction of physical works of this project and will mitigate the impact as per the principles outlined in this RPF. The project is therefore not expected to have large scale, significant and/or irreversible impacts. Under the project period, attention will be given to increasing awareness of the community sanitation through information provision and education.

# **1 INTRODUCTION**

## **1.1 Ethiopia's Current Water Supply and Sanitation Situation**

Ethiopia is among the countries that have made considerable achievement in meeting the Millennium Development Goals (MDGs); and has successfully achieved six of the eight MDGs. Despite progressive economic growth the country lag behind from the regional average on access to safe water and improved sanitation services to have a significant impact on better health and nutrition, lower school dropout rates and improved household incomes.

Considerable progress has been made in WSS provision but still needs to catch up with its sub Saharan neighbors. At the beginning of the MDG period, Water and Sanitation coverage in Ethiopia was very low (13% for Water Supply and 3% for sanitation). However during the MDG period the government has made profound change in creating the enabling policy, legal and institutional environment as well as allocated more resource. These have significantly increased access to improved water supply to 57% (2015) and access to improved sanitation to 28% (still below the sub-Saharan average of 68% for water supply and 30% for sanitation). Households piped connections have increased from 1% in 1990 to 12% in 2015, similarly open defecation has reduced from 92% to 29%.”

Ethiopia's rapid urbanization is putting stress on the already inadequate water supply and sanitation system in urban areas. The country's population is 91.7 million (2012) and growing at about 3% per annum, of which 17 percent lives in urban centers. According to WB's Ethiopia's urbanization review, the rate of urbanization will be even faster, at about 5.4% a year. That would mean a tripling of the urban population even earlier—by 2034, with 30% of the country's people in urban areas by 2028. Towns are growing horizontally and vertically and rural villages are also being clustered with small towns faster than ever before. The growing demand generated by rapid population growth, fast growing infrastructure development, service sector growth such as hotels, trade, and industrialization, as well as changes in way of life and awareness level of the residents have mounted pressure in the already inadequate WSS system.

Urban centers capacity to properly dispose the wastewater is low exposing natural resources to pollution. Out of the estimated 398,985 M<sup>3</sup>/day wastewater produced in Addis Ababa, AAWSA's capacity to properly dispose the wastewater is only 1,727 M<sup>3</sup>/day or 0.43% of the capacity needed. The situation is even worse in other secondary cities including Mekelle 0.35%, Bahirdar and Hawassa 0.22%, Gondar 0.07%, Dire Dawa 0.05% and Adama 0.41%. The proportion of the population with no access to waste disposal vehicles/containers is strikingly high across the urban spectrum, ranging from 93% in small/medium towns to 62% in major towns to 58% in Addis Ababa. The lakes near to towns, industries and mechanized farms and rivers crossing towns, are at high risk of receiving uncontrolled effluents. Storm drainages and streams crossing cities are polluted with household and industrial waste due to inadequate collection capacity and lack of

adequate enforcement mechanism. Only limited municipalities have vacuum trucks to dislodge latrines and cesspools and where they exist their management of operation is not effective. Sewer connection exists only in Addis Ababa with about 10% coverage. The numbers of public latrine in any of the urban and small towns are very limited compared to the demand leaving a large segment of the low income neighborhood without the service.

## **2 Project Description and Potential Investments Causing Resettlement**

Ethiopia is administratively composed of nine regional states and two metropolitan city administrations under the federal administration, and the project will be implemented in Addis Ababa and 21 secondary cities and towns that are found in all regions and city administrations.

### **2.1 Project objectives rationale**

The objective of the Project is “to increase access to improved sanitation facilities and improve efficiency in water supply service delivery in Addis Ababa and selected secondary cities”. The project is anticipated to implement in about 21 cities and towns including Addis Ababa with a possibility of some additional beneficiary towns through discussion with implementing agencies. As a result of the proposed project, urban residents in the participating cities and towns will have increased access to potable water and improved sanitation facilities. As possible, the project will use labor intensive construction to create employment opportunities for women and youth. The project will also increase access to improved water supply and sanitation facilities for low income urban residents. The estimated total project budget is US\$435 million. The project will also undertake legal, institutional and sector reforms that will permit selected urban water and sewer utilities to function in a more efficient manner, deliver better service and achieve a higher degree of financial sustainability. To achieve its development objectives, the project will finance the following components in Addis Ababa and selected secondary cities and towns<sup>1</sup>.

### **2.2 Project components**

To ensure sustainability and financial viability, utilities are required to gradually improve their technical, financial, and operational capacity to narrow the gap between demand and supply in sanitation and potable water. The proposed project mainly focuses on transformative improvement of sanitation and efficiency in water supply provision in the beneficiary towns. In addition, to the infrastructure provision, the project will strengthen the water and sewerage utilities and the municipalities through better definition of roles and responsibilities for delivery of sanitation services. The project will have the following three components.

**Component 1: *Urban Sanitation*:** The component will finance construction of centralized and decentralized water born sewer systems, construction of appropriate waste water treatment facilities, hygiene and sanitation promotion activities, and supply of equipment for urban sanitation. Review of urban sanitation studies and detail designs, institutional strengthening and capacity building, will also be supported under this component. Key priority areas have already been identified which include (i) construction and management of public and communal sanitation facilities in public places and Low Income Areas; (ii) construction and management of fecal sludge

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<sup>1</sup> Dire Dawa, Mekele, Adama, Bahir Dar, Hawassa, Harar, Jigjiga, Gambela, Assosa, Semera, Logiya, Jimma, Gonder, Sodo, Adigrat, Bishoftu, Dessie, Shashemene, Nekemte, Assela, Arba Minch, and Debre Birhan.

treatment systems, simplified decentralized sewerage systems where appropriate and feasible; and (iii) procurement of desludging vacuum trucks and mobile toilets.

**Component 2: *Operational Efficiency of Water and Sewerage Utilities*:** This component will finance targeted interventions to modernize utility service provision and management. This will be achieved through reduction and management of NRW (commercial loss and physical leaks), improve staff productivity, asset management, customers handling, financial management, and billing and collection efficiency, as well as to improve water quality management, and supporting water conservation and source protection activities. Training and other capacity building packages will be tailor made to the specific utility based on identified gaps through capacity need assessment. Specifically the component financing includes: (i) procurement of bulk meters, flow meters, pressure reducing and control valves, pipes and fittings, maintenance equipment, computers and other office equipment, (ii) repair, replacement and rehabilitation of pumps, generators, valves etc, (iii) water supply expansion to unserved areas (iv) TA and studies for assessment of NRW, development of billing and accounting system, (v) Capacity building and trainings on; billing and accounting, customer data base and handling citizen engagement, gender and management training for town water Boards, (v) piloting of modern meter reading and collection technologies and other efficiency improving interventions for possible scale up and (vi) public awareness creation activities for proper demand management

**Component 3: *Institutional Strengthening and Project Management*:** Funding will be provided to enhance the capacity of participating water board members and water utility staffs to effectively manage their water supply and sanitation facilities. This will include capacity building activities such as staff training, exposure visits and study tours, provision of equipment to strengthen the management capacity of boards and utilities, support Ministry of Health and the Urban Health Extension workers on urban sanitation, and support for preparation of business plans. This component will also, building on experience in the region and ongoing studies in the country, provide finance to undertake studies for the improvement of the sector performance in selected key areas including:

- Review and identification of possible options for public private partnership and developing implementation road map and piloting preferred option;
- Support for establishment/strengthening and maintenance of strong data collection and monitoring system and performance based agreement/monitoring;
- The project will support a comprehensive study towards establishment of independent body/ies to regulate performance of the urban water supply and sanitation utilities;
- Emerging needs for applied research, technology choice, waste reuse and others.
- Provision of capacity building and community development initiatives

### **2.2.1 Key Inputs for the Components**

- Construction of centralized and decentralized water born sewer systems;
- Construction of appropriate waste water treatment facilities, hygiene and sanitation promotion activities;
- Supply of equipment for urban sanitation;
- Construction of waste water transfer Stations;
- Construction of public and communal sanitation facilities in Low Income Areas;
- Repair leaks in distribution piping and at service connections;
- Replace old meters;
- Improve financial management, billing/collection and customer-management systems; and
- Consultant services for design and supervision of the civil works, financial management, and monitoring and evaluation will also be provided.

### **2.2.2 Key Outputs for the components**

The project achievements will be measured through the following key indicators.

#### **Project Development Objective level indicators**

- i. Number of people in urban areas provided with access to “improved sanitation facilities” under the project (core);
- ii. Number of people with access to enhanced water supply services under the project;
- iii. Direct project beneficiaries, of which female beneficiaries (core);
- iv. Operating cost coverage ratio (operating revenue / operating expenses)

#### **Intermediate Result indicators**

- i. Improved Wastewater collection, transport and disposal capacity in M<sup>3</sup>/day;
- ii. Number of participating towns with integrated urban sanitation management plan;
- iii. Technical performance: Reduction in Non-revenue water (%) / Savings from NRW interventions in improved water supply M<sup>3</sup> /day;
- iv. Commercial effectiveness (Improved billing and collection Efficiency) (%);
- v. Service performance (Service coverage ratio, Hours of supply/day); and
- vi. Staff/1000 connections – staff efficiency



## **2.3 Project Beneficiaries**

The primary project beneficiaries are urban residents in Addis Ababa and 21 secondary towns in Ethiopia. The project will provide benefits in the form of improved water supply service and sanitation and reduce economic and social cost associated with lack of access to improved water supply and poor sanitation services including disease and premature death, polluted water resources, time loss from daily activities, degraded environment, and lost opportunities for productive use of waste for energy or fertilizer production. A total of 7.9 million people reside in Addis Ababa and these 21 towns, of which about 3.4 million People would benefit directly from the project with 50% of them expected to be women. The project will promote openings for women alongside men, to benefit from the economic opportunities in the urban water and sanitation value chain. The project will also promote gender equality by enabling women and girls to devote more time to the pursuit of education, income generation and even the construction and management of water supply and sanitation facilities.

The project will outsource the management of public sanitation facilities to local youth groups providing job opportunities to the unemployed. Poor households, who in most cases represent the most vulnerable, will be particularly targeted to benefit from public and communal latrines. To ensure that the project benefits the most disadvantaged, an appropriate targeting approach will include: (i) creating management and operation opportunity on public toilets for group of young and un employed youth organized under small and micro enterprises; (ii) Adopting affordable and simple technologies that can be replicated at community and house hold level; (iii) Public toilets will be located at strategic places where there is concentration of people (bus terminals, markets, public and religious festivity places...); (iv) In the low income areas with limited space, the project will invest in affordable and safely positioned public pay and use toilets and showers managed by women and youth led community based organizations (CBOs). The targeting will be further elaborated in the Project Implementation Manual (PIM). While these are general criteria to be used by the project, each region can include additional criteria to fit its specific regional contexts.

## **2.4 Environmental Conditions and Socio-economic Context of Project Areas**

The UWSSP-II will be implemented in nine administrative regions and two federal city administrations of Ethiopia, where a total of 22 towns will benefit from the proposed project.

### **2.4.1 Bio-Physical and Ecological Condition**

Ethiopia is located in the Horn of Africa, sharing borders with Djibouti in the East, Eritrea in the North, South Sudan in the South West, West Sudan, Kenya in the South, and Somalia in the East and South East. The total surface area of the country is 1,110,000 km<sup>2</sup>. Altitude ranges from 4,620m above sea level, the highest peak at Ras Dashen, to 110m below sea level in the Danakil Depression. Addis Ababa (among the 22 UWSSP-II participating cities) is the capital city of Ethiopia, located at 9° 2' N; 38° 42' E, occupying a total surface area of 54,000 hectares. It has a population of 3.4 million and lies on average between 2,200 and 2,500 meter above sea level on the central Ethiopian plateau. The 22 UWSSP-II participating cities are also found distributed

within the twelve river basins found in the country which form four major drainage systems. Ethiopia has a wide variety of climatic zones that mainly reflect the contrasts in altitude. It is a country of great geographical and climatic diversity, which has given rise to many and varied ecological systems. The rainfall pattern in Ethiopia is influenced by two rain-bearing wind systems: the monsoonal wind systems from the South Atlantic and the Indian Ocean and the winds from the Arabian Sea. The two wind systems alternate, causing different rainfall regimes in different parts of the country.

Urban environments in Ethiopia are usually dominated by built up areas, covering the largest expanse of its surface. This is because of the deforestation driven by urban expansion that was carried out for several decades coupled by weak interventions, to develop and conserve city parks and greeneries.

Ethiopia depends principally on agriculture both for its economic growth and food security. Out of the estimated 91 million people, some 83% live in rural areas with agriculture (crop production and animal husbandry) as the main source of livelihood. Agriculture is key pillar of the economy and most important source of growth. Agricultural production is mostly rain-fed and dominated by small-scale farmers and enterprises that contribute to 90% of agricultural production. Directly or indirectly this has an influence on the living condition of the cities residences.

#### **2.4.2 Socio-economic Conditions of the Project Area**

One of the biggest challenges to Ethiopia's achievement of its Growth and Transformation Plan-2 goals is the effective management of urbanization, which is taking place rapidly throughout the country, particularly in Addis Ababa and project participating secondary cities. The urban share of the population has more than doubled in 35 years, from 8.5 percent of the national population in 1967 to 17.4 percent in 2012. Migration contributes significantly to the rapid population growth, for example in Mekelle, of the total 215,914 residents, 52.44% are migrants. According to official figures from the Central Statistics Agency of Ethiopia, the urban population is projected to nearly triple from 15.2 million in 2012 to 42.3 million in 2037, growing at 3.8% per annum. According to World Bank's Ethiopia's urbanization review the rate of urbanization will be even faster, at about 5.4% a year. That would mean a tripling of the urban population even earlier: by 2034, with 30% of the country's people in urban areas by 2028. The UN estimates that the rate of Urban growth between 2010 and 2015 in Ethiopia averaged 3.6% per year, placing Ethiopia among fastest urbanizing countries in Sub Sahara Africa. As with many fast growing economies, much economic growth is derived from urban areas; thus, 17% of the population produce over 58% of Ethiopia's Gross Domestic Product (GDP), mostly in Addis Ababa.

Towns are growing horizontally and vertically, rural villages are also being clustered with small towns faster than ever before. There are about 935 urban settlements, (with population  $\geq 2,000$ ) throughout the country and almost 60% of the urban population is living in about 68 towns (including the 22 project participating cities). The growing demand generated by rapid population growth, fast growing infrastructure development, service sector growth such as hotels, trade, and industrialization, as well as changes in way of life and awareness level of the residents have mounted pressure in the already inadequate services including Water Supply and Sanitation system in urban areas. According to UN-HABITAT, similar to other cities, Addis Ababa faces supply challenges related to water and sanitation with the majority of slums having no access to clean

water. In Addis Ababa, 34% of residents use a public tap, which is frequently interrupted, 26% of the houses and the majority of slum dwellers do not have toilet facilities.

**Table 1**-Population of Beneficiaries in the Proposed project Cities

<b>S. No</b>	<b>Administrative Division</b>	<b>Cities /towns</b>	<b>Population</b>	<b>Estimated Project Beneficiaries</b>
1	Addis Ababa	Addis Ababa	3,352,000	648,446
2	Oromia	Adama	358,940	321,615
3	Oromia	Nekemt	115,741	73,613
4	Oromia	Asela	103,522	95,376
5	Oromia	Bishoftu	153,847	103,783
6	Oromia	Jimma	186,148	133,364
7	Oromia	Shashemene	154,587	152,761
8	Amhara	Gondar	341,991	209,624
9	Amhara	Dahir Dar	297,794	205,676
10	Amhara	Debre Birhan	107,827	98,371
11	Amhara	Dessie	198,428	128,387
12	SNNP	Hawasa	318,618	199,608
13	SNNP	Arba Minch	151,013	134,504
14	SNNP	Sodo	153,322	94,420
15	Tigray	Mekelle	340,859	221,390
16	Tigray	Adigrat	90,658	56,735
17	Dire Dawa City Administration	Dire Dawa	285,000	186,161
18	Somali	Jigjiga	164,321	98,593
19	Gambela	Gambela	70,099	49,859
20	Harari	Harare	133,000	124,545
21	Afar	Semera	23,300	17,339
22	Benshangul Gumuz	Assosa	49,145	31,215

## **2.5 Potential Land Impacts of Project Activities**

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 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.

Main activities under the UWSS Project that may entail land acquisition and/or displacement are the following:

- Wells and well fields for those participating towns that have limited access to water supply (but this is very rare as most of the cities and towns are already addressed through various water supply projects though the coverage is not at the required level);
- New/rehabilitation of reservoirs;
- Water distribution networks including pipelines, public stand taps, public water kiosks and other distribution-related facilities;
- Waste water treatment plants, including treatment ponds and ancillary works;
- Temporary/permanent access road during construction of water supply and sanitation activities;
- Construction of Centralized waste water treatment plant and Sewer line;
- Decentralized waste water treatment plant construction/package and related waste water treatment plant/;
- Construction of waste water transfer stations;
- Quarry development, Camping and Dumping site;
- Sewer distribution networks including Trunk , Secondary and Tertiary lines;
- Construction of power lines and related rights-of-way.

## **2.6 Other Potential Impacts**

Together with land, other immovable assets could potentially be impacted by construction of a sub-project, for instance:

- Buildings and structures;
- Other structures (wells, channels, agricultural or commercial buildings, etc...);
- Loss of livelihoods;
- Temporary loss of infrastructure service/water, electricity and access road/ during trench excavation and related works;
- Temporary acquisition of land/for camping, Quarry production and storage area of Pipes and Fittings/;
- Loss of cash crop (e.g., Papaya, Mango, Avocado and other);
- Loss of Vegetables in Urban agricultural area;
- Standing Crops;
- Trees and perennial crops;
- Annual crops, etc ...

## **2.7 Categorization of Land Needs**

Land required for the different sub project may fall under the following three categories:

- Land permanently required for construction and operation (example: permanent facility like waste water treatment plant);
- Land temporarily required for the duration of construction activities (example: access track that will be reclaimed after construction, or staging area that a contractor will use for the duration of construction of a given facility); and
- Rights-of-Way, i.e. land that can still be used by land holder during' operation of the facility subject to certain restrictions (example: power line corridor, sewer line corridor).

## **2.8 Estimates of Surfaces Potentially Required**

The following table shows orders of magnitude for the potential land requirements for each water supply and sanitation systems that may be considered under the UWSS-II Project (the numbering of systems refers to that in the ESMF). However, it does not necessarily mean that the estimated land requirement is applicable for all participating towns and a conscious attempt will be exerted to minimize land requirement using various technologies.

**Table 2: Estimated land requirement for systems considered under urban water supply and sanitation project**

S. No.	System	Typical Surface Required (Estimates)	Type of Impact
1	Centralized waste water treatment and sewer line system	Variable from 1 hectare (ha) up to 40 hectares	Permanent
2	Camping site	Overall 0.3 to 0.4 ha	Temporary
3	Quarry production site for selected material	Variable from 0.2 up to 0.5 ha.	Temporary
4	Decentralized waste water treatment plant construction	Overall 0.5 ha	Permanent
5	Construction of public and communal sanitation facilities in Low Income Areas	0.0016 to 0.005 ha per system	Permanent
6	Spring catchment, treatment and gravity distribution system	Overall 0.5 ha	Permanent
7	Well(s) with submersible pumps, treatment and pressure distribution system	0.5 ha	Permanent
8	Combination of the above	0.5 ha	Permanent
9	Construction of waste water transfer stations	Variable	Temporary
10	Rehabilitation or expansion of existing system	Variable	Permanent

## 2.9 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, 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, etc.
- **Underserved Peoples and Vulnerable groups:** These include groups which are economically or socially tied to their land but the land might not be under legal ownership pursuant to Government of Ethiopia 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 orphan children, pregnant and lactating mothers, elderly households, people without shelter, street dwellers, beggars, persons with disabilities, commercial sex workers, unemployed Youth, elders, Households headed by women who are labor

poor that depend extended family support, high-risk households with terminally sick persons, such as people living with HIV and AIDS, and the majority of female-headed households with young children are especially vulnerable.

## **2.10 Justification for RPF and Process for Preparing RAP**

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 prepared, consulted upon and implemented to mitigate potential resettlement impacts once sub- projects sites are identified. For each sub-project, which might require physical and/or economic resettlement, the number of PAPs will be established based on the census through RAPs/ARAPs which will be elaborated before project implementation. In the RAP;

- All potential PAPs should be identified (through a scoping exercise) and informed about the options outlined in this RPF and rights pertaining to compensation for land and assets to be acquired by the sub-project(s);
- PAPs will be informed of their rights under national laws (GoE laws recognizing rights of 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;
- 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.

## **2.11 Census and Inventory of affected Assets and Affected Households**

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 specific subproject, people eligible for compensation and assistance, and to discourage inflow of people who are ineligible for these benefits. In essence, the census will:

- Provide initial information on the scale of resettlement to be undertaken;
- Identify 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
- Establish indicators that can be measured at a later date during monitoring and evaluation.

The socio-economic survey will be undertaken by the relevant office that is proposing the UWSSP investment subproject with the use of the sample socio-economic survey indicated in Annex 3 of this RPF. It will be accompanied by a land asset inventory.

### **3 Principles and Objectives Governing Resettlement Preparation and Implementation in the UWSS-II Project**

This RPF applies to all components of the various sub project investments under the UWSS-II Project.

#### **3.1 Principles and Objectives**

##### **3.1.1 Regulatory Framework**

Impacts of the UWSS Project on land and/or people (land acquisition, resettlement, and livelihood restoration of affected people) will be addressed in compliance with the Ethiopian Constitution (Proclamation 1, 1995), Proclamation for the Expropriation of Land Holdings for Public Purposes and Payment of Compensation (Proclamation 455/2005) and Payment of Compensation for Property Situated on Land holding expropriated for public purposes Council of Ministers Regulations (Regulation 135/2007), Urban Lands Lease Holding (Proclamation 721/2011) and with the World Bank Operational Policy on Involuntary Resettlement (OP 4.12).

##### **3.1.2 Objective of the RPF**

The main objective of this RPF is to ensure adequate management of land acquisition process in accordance with the World Bank Operational Policy as well as the country's legal requirement and provide guidance for the preparation and implementation of Resettlement Action Plans (RAP) for the sub projects of the UWSS-II Project. This RPF aims to ensure that any possible adverse impacts of proposed project activities are addressed through appropriate mitigation measures. It addresses issues of land acquisition, loss of property or access, or more of livelihoods resulting from implementation of wastewater treatment plant, reservoir, public and communal toilets, trunk line and pipe line and in some cases access road under the proposed project. In line with this the RPF serves as a guide to ensure:

- When applicable, land acquisition and resettlement will be avoided or minimized where possible. Where resettlement is unavoidable, all requirements outlined in this RPF will be followed and Resettlement Action Plans (RAPs) will be prepared to minimize adverse impacts.
- Affected persons should be assisted in their efforts to improve their livelihoods and standards of living or at least to restore to levels prevailing prior to the beginning of the project.
- Project affected persons (PAPs) will be meaningfully consulted and be active participants in the negotiated settlements and will have access to adequate and accessible grievance redress mechanisms. Consultations will consider gender issues as well as take into account the needs of vulnerable people.

The Project will minimize displacement through the following design procedures:

- Wherever inhabited dwellings may potentially be affected by a component of a sub-project, the sub-project shall be redesigned (facility relocation, re-routing) to avoid



any adverse impact on such dwellings and avoid displacement/relocation accordingly; as well as, the same applies to structures used for commercial activities and other businesses;

- For major Sanitation works like waste water treatment plants, minimization of land impact will be factored into site and technology selection, design criteria, costs associated with displacement and resettlement will be internalized into sub-project costs to allow for fair comparison of processes and sites;
- To the extent possible, project facilities will be located on public spaces; existing sewer lines, other linear infrastructures (power lines) required by the UWSS-II Project will be routed inside existing right-of-ways (roads, streets, power lines) wherever possible.

The RPF is intended for use as a practical tool to guide the preparation of RAPs for sub-project activities during implementation of the UWSS-II; and has been prepared as an instrument to be used throughout the UWSS-II Project implementation.

### **3.1.3 Elasticity of the RPF**

Since this RPF is prepared for a project that has long term intervention, it needs to be flexible to respond to the dynamism which may happen during the life of the Project. Such changes will include:

- Changes in relevant legislations; introduction of new acts and legislations;
- Possible adjustments to the new devolve structures etc.

During Mid-Term Review (MTR) an assessment may be required to review how effectively the safeguard instruments have been implemented and if any updates/revisions are needed. In other words, the RPF is a living document and if needs arise, it can be revised to reflect issues that may not have been foreseen now but may arise in the future as well as reflect legal, institutional, and policy changes that could occur during the life of the project. In addition, in the event that there are changes that arise anytime during the implementation of the project not covered in the RPF, the document will be updated accordingly. However, the updates and accommodation of the changes should be without compromising what is agreed and the changes/update could not be lower or compromised than articulated in this RPF.

## **3.2 RPF Principles under UWSS-II Project**

1. Involuntary resettlement and land acquisition will be avoided where feasible, or minimized, where it cannot be eliminated;
2. All provisions defined in this RPF apply to all PAPs regardless of their number, the severity of the scope of impact and;
3. Measures to address resettlement shall ensure that project affected people are informed about their options and rights pertaining to resettlement, are included in the consultation process and given the opportunity to participate in the selection of technically and economically feasible alternatives. They will also be provided prompt

and effective compensation at full replacement cost for losses of assets and access attributable to the sub project investments;

4. All PAPs will be identified and recorded as early as possible, relying on cut of date (defined above as the start of the census date), in order to protect those affected by the project and prevent an influx of illegal encroachers, and other non- residents who will wish to take advantage of such benefit;
5. Particular attention will be paid to the needs of vulnerable groups among those displaced; especially those below the poverty line, the landless, the elderly, women and children, orphans, marginalized groups and the ethnic minorities or other displaced persons. The objective is to provide whatever additional assistance necessary to restore pre-project living standards;
6. Implementation of RAPs must be completed prior to the implementation of the investments under UWSS-II Project;
7. Furthermore, this RPF applies to other activities resulting in involuntary resettlement, that in the judgment of the World Bank and Government of Ethiopia are a) directly and significantly related to UWSS-II Project investments; and b) necessary to achieve its objectives as set forth in the project documents.

### **3.3 Cut-off date and Eligibility**

In accordance with OP 4.12 and Ethiopian Proclamation No. 455/2005, for each sub-project under the UWSS-II Project that may entail displacement impacts, a cut-off date which is the census start date (see “definitions above” for details) will be determined, taking into account the likely implementation schedule of the sub-project.

In line with OP 4.12, the following three categories of affected people will be eligible to project resettlement assistance; all are provided compensation for loss of assets other than land:

- a. Those who have formal legal rights to land (including customary and traditional rights recognized under the laws of the country);
- b. Those who do not have formal legal rights to land at the time of the cut-off date but have a claim to such land or assets-provided that such claims are recognized under the laws of Ethiopia or become recognized through a process identified in the resettlement plan;
- c. Those who have no recognizable legal right or claim to the land they are occupying.

Persons covered under (a) and (b) above are provided compensation for the land they lose, and other assistance as needed. Persons covered under (c) above are provided resettlement assistance in lieu of compensation for the land they occupy, and other assistance, as necessary, if they occupy the project area prior to the cut-off date. However, persons who encroach on the area after the cut-off date are not entitled/eligible to compensation or any other form of resettlement assistance.

### **3.4 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 to pre-displacement levels or better. 'Livelihood' refers to the capacity to gain a sustainable living - a flow of income and wealth accumulation - from a wide range of resources. Livelihood improvement, therefore, is not accomplished by *compensation for lost assets*. The policies clearly state that the displaced persons should become net beneficiaries of the project, over and above any general benefits accruing to the nation or overall community from the project. The project among others will implement the following strategies to assist PAPs, in addition to compensation for their asset losses, improve/restore their livelihood:

- Conduct a comprehensive needs assessment of project affected people
- 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.

### **3.5 Special Restoration Measures for Vulnerable Group/PAPs**

Provided that the UWSSP has a positive impact on the vulnerable people and women in various aspects, impacts related to gender and other sources of vulnerability require the development of appropriate approaches. Thus, the following actions will be considered:

- (i) Include women in the impact enumerators;
- (ii) Create employment opportunity; establish women groups in cooperatives who will manage and administer the public pay and use toilets and showers and benefit from the economic opportunities in the urban water and sanitation value chain;
- (iii) Ensure the existence of joint property title for spouse and husband during resettlement compensation settlement;
- (iv) Deposit women's cash compensation in individual bank accounts in their names during resettlement planning;
- (v) Provide livelihood trainings to women groups organized in Medium Small Enterprise's with special attention to female headed households;
- (vi) Impact assessment of AFs/APs indicating the total number of families and people must be gender-disaggregated to pinpoint how many women are likely to be affected by the project and establish their pre-project conditions;
- (vii) Special attention will be given to the impact of resettlement on women and other vulnerable groups during monitoring and evaluation of the RAP, if prepared. 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.

Identification of vulnerable people, the cause and impacts of their vulnerability, preferably through an identification mechanism devised with, and implemented by the beneficiary community. This step is critical because often vulnerable people do not participate in community meetings, and their disability/vulnerability may remain unknown. Assistance may take the following forms, depending upon requests and needs:

- Assistance in the compensation payment procedure (e.g. specifically explain the process and procedures, make sure that documents are well understood);
- Assistance in moving: providing vehicle, driver or other appropriate transportation facility and assistance at the moving stage, assist the person in identifying his/her resettlement plot;
- Assistance in building: providing materials, workforce, or building houses;
- Assistance during the post-resettlement period, particularly if the solidarity networks that the vulnerable person was relying on have been affected: food support, health monitoring, etc; and
- Health care, if required at critical periods, particularly the moving and transition periods.

## **4 Legal and Institutional Frameworks**

All the legal frameworks such as laws, regulations, and local rules that Ethiopia declare and accept to govern the use of land and other assets will apply for this RPF in addition to the standards set in OP 4.12; in case of discrepancy between these two sets of standard, OP 4.12 will prevail.

### **4.1 The Constitution of Ethiopia, 1995, Proclamation No.455/2005 and Regulation No.135/2007 on land and property rights.**

During the Derge regime, the main two Proclamations (No.31/1975 on Rural Land and No.47/1975 on Government Ownership of Urban Lands and Extra Houses) clearly abolished private ownership of land, and declared that land is publicly owned. Similarly, though Article 26 of the constitution states that “Everyone shall have the right to his privacy and physical integrity”, 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 stated that land cannot be subject to sale or other means of transfer or exchange. The constitution also makes a clear distinction between:

- Land, an inalienable common property of the nations, nationalities and peoples of Ethiopia (“the right to own rural and urban land as well as natural resources belongs only to the state and the people”, and
- Immovable property built on the land: “Every Ethiopian shall have the full right to the immovable property he/she builds on the land and to the improvements he/she brings about on the land by his/her labour or capital”.

More importantly, the constitution guaranteed Ethiopian peasants and pastoralists the 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 with compensation payment in advance commensurate to the value of the property. It should be noted that, “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. 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).

This RPF also properly address women’s issue by taking the constitutional provisions as relates to land acquisition and property right. Article 35 of the constitution states that women shall have equal rights with men in enjoyment of rights and protections provided for by this constitution. Among the rights of women recognized by the constitution is the ‘right to full consultation in the formulation of national development policies design 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.

For further implementation of the constitution and simplify in relation to compensation for land acquisition for public purpose, *Proclamation No. 455/2005, expropriation of landholding for public purpose and payment of compensation* was issued. This proclamation is equally applicable both for expropriation of rural and urban lands for public purposes with specified value further explained in Council of Ministers Regulation No.135/2007, *Payment of compensation for property situated on landholding expropriated for public purposes*. The basis and amount of compensation payment is prescribed under Proc 455 *Article (7)* of the proclamation. Accordingly, a person whose property has been expropriated is entitled to:

- Payment of compensation for his/her property situated on the land and for permanent improvements s/he made on the land;
- 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 the specific a city administration;
- 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 lease period is considered in the compensation to be paid, as per the provisions under Proclamation No. 455/2005 article 8(6) and Proclamation 721/2011 article 25 (4).

Proclamation No. 455/2005 has also made provisions for the Council of Ministers to issue regulations necessary for the implementation of this proclamation. Accordingly, Regulation No.135/2007 was issued by the Council of Ministers that defines, the power and duties of executive organs, formula to calculate payments for permanent improvements, compensation payments due to entitled persons and how the displaced could be assisted to reestablish their livelihood. Moreover, as per the Article 14(2) of the proclamation, regional states including Addis Ababa and Dire Dawa city administration have got provisions to issue directives in accordance with the proclamation and regulation to decide on replacement of urban land to an urban dwellers whose land has been expropriated for public and on payment of compensation.

In addition, Proclamation No 456/2005 which repealed Proclamation 89/1997 on Rural Land Administration and Land Use Proclamation “Federal Rural Land Administration Proclamation” establishes the following:

- It confirms the Constitution principle that land is a common property of the Nations, Nationalities and Peoples of Ethiopia, and that it cannot be subject to sale or exchange;
- It establishes the principles of rural land administration, which is devolved to the Regions;
- It recognizes the lawfulness of “holding rights” over land;

- It confirms and details the constitution principle that holding rights on land can be assigned to peasants and nomads, and that these are to be secured from eviction and displacement;
- It provides various details with respect to redistribution of land, including that this redistribution is a Region responsibility; and
- It establishes the possibility for Regions to perceive fees for the use of land and forest.

Urban/City administration or Rural Woreda administration, have the power to expropriate rural or urban holdings for public purpose on payment in advance of compensation where it should be used for a better development projects to be carried out by public entities and investors.

#### **4.1.1 Notification of expropriation order:**

The Council of Ministers Regulation 135/2007 conquers the notification period provided under the Proclamation 455/2005. The Proclamation 455/2005 states that the landholders will be notified in writing detailing when they should vacate and the amount of compensation to be paid. The period of notification to be given shall be determined by directives, it may not be less than 90 days. The landholder shall handover the land to the Urban/City administration or Woreda administration within 90 days from the date of payment of compensation. The Proclamation under article 4(4) elaborated that if the land is not covered by crops, perennial crop or other property the holder will be obliged to handover within 30 days of the receipt of the expropriation notification order.

#### **4.1.2 The responsibility of implementing Agency:**

The implementing agency shall have responsibilities to:

- Prepare detail data pertaining to the land needed for its works and send same, at least one year before the commencement of the works and to the organs empowered to expropriate land, and
- Pay compensation in accordance with this proclamation to landholders whose holdings have been expropriated.

#### **4.1.3 Basis and Amount of Compensation:**

As per Article 7 of the Proclamation, the amount of compensation is based upon certain conditions that include:

- The landholder whose holding has been expropriated shall be entitled to payment of compensation for his property situated on the land and permanent improvements he made to such land;
- The amount of compensation for the property shall be determined on the basis of replacement cost of the property, and if it is in urban area, it may not, in any way, less than the current cost of constructing a single room low cost house.

- Compensation for permanent improvement to land shall be equal to the value of capital and labor expended on the land; and costs of removal, transportation and erection shall be paid as compensation for a property that could be relocated and continue its services as before.

#### **4.1.4 Displacement Compensation:**

It is also indicated in the Proclamation Article 8, that the displacement compensation shall be paid within the following condition:

- a. A rural landholder, whose landholding has been permanently expropriated shall, in addition to the compensation payable under Article 7 of this Proclamation, be paid displacement compensation which is equivalent to ten times the average annual income he secured during the five years preceding the expropriation of the land.
- b. A rural landholder or holders of communal land whose landholding has been provisionally expropriated shall, in addition to the compensation payable under Article 7 of this Proclamation, be paid until repossession of the land, and also for lost income based on the average annual income secured during the five years preceding the expropriation of the land, however, such payment shall not exceed the amount of compensation payable under the above article (article 8 (a) above).
- c. If Woreda administration confirms that a substitute land which can easily be ploughed and generate comparable income is available for the holder, the compensation to be paid as mentioned above shall only be equivalent to the average annual income secured during the five years preceding the expropriation of the land.
- d. For urban landholder whose holding has been expropriated shall be provided with a plot of urban land, and be paid displacement compensation equivalent to the estimated annual rent of the demolished dwelling house.
- e. When an urban land lease holding is expropriated prior to its expiry date, the lease holder shall, in addition to the compensation referred to under article 7 section 3.2.4 above, be provided with a similar plot of land to use it for the remaining lease period. The leaseholder shall also be allowed to use the new plot of land for a longer period if its rent is less than the former land, or if the holder did not want to take the land he/she can take the remain rent payment.

#### **4.1.5 Valuation of Property**

According to proclamation 455/2005, land and property valuation is recommended to be carried out by a certified private/individual or public consultants on the bases of the national formula set under the 135/2007 regulation. However, in the absence of certified valuers, proclamation 455/2005 article 10 (2) stated that a committee of experts (5-7 in number) having relevant qualification will be designated by the city administration. If the property to be expropriated requires a special knowledge, separate committee with special knowledge will be set up by the city



administration. 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.

According to proclamation 455/2005 article 7(3), "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". 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 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.

The methodology for assessing compensation or replacement of expropriated assets is also defined by Regulation 135/2007 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 will be made by directive to be issued at the respective regional/city administration level.
- Displacement compensation for crops and perennial crops, protected grass or grazing land and for provisional expropriation of rural land;
- Miscellaneous provisions state:

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.

#### **4.1.6 Complaints and Appeals in Relation to Compensation Payments**

The constitution is the base for establishment of dispute resolution mechanisms with its emphasis with respect for human rights and fundamental freedom, especially the right of access to justice, rule of law and democratic governance. Proclamation No. 455/2005 has put in place grievance redressing mechanisms. Similarly, this proclamation also included provisions to put in place dispute resolution mechanisms at various levels. For example, proclamation 455/2005 article 11 (1) states that in local governments where complaint hearing organ is not established, a complaint regards to amount of compensation shall be submitted to a regular court. 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.

As per this proclamation, the grievance redressing mechanism is dealt as follows:

- In rural areas and in an urban center where an administration organ to hear grievances related to rural or urban holdings is not yet established, a complaint relating to the amount of compensation shall be submitted to the regular court having jurisdiction.
- If the holder is dissatisfied with the amount of compensation, complaints might be lodged to administrative organ established to hear grievances related to urban landholdings.
- The above organ shall examine the complaint and give its decision within short period of time, as specified by directives issued by the region.
- The party dissatisfied with the decision rendered above may appeal to the regular appellate court or municipal appellate court within 30 days and it will be the final decision.

Proclamation 455/2005 part 3 article 11 (7) states that, the execution of an expropriation order will not be on hold due to a grievance cases relating with the amount of compensation.

On the other hand Proclamation 721/2011 on Urban Land Lease Holding states that all complaints should provide details including written clearing order stating the time the land has to be vacated, the amount of compensation to be paid and the size and locality of the substitute plot of land to be availed. Although the clearing time will be determined by regions, it cannot be less than ninety days. Key departures between proclamation 455/2005 and Proclamation 721/2011 is grievances relating to vacating order or notice time should be submitted with in fifteen days of receiving the order with all appropriate evidences to make the case. However, for the benefit of the PAPs the 30 days provision will be adhered for this RPF purpose.

The proclamation 721/2011, article 26 (4) states that all squatters or illegally occupied urban land should be vacated within seven days of the clearing order without payment of compensation. In this regard the provisions under WB OP 4.12 will be applied to guarantee a higher benefits to the PAPs and there will be no forced eviction.

#### **4.1.7 Powers, Duties and Responsibilities of MoFA, Woreda and Urban Administrations**

In the course of implementing the proclamation, the then Ministry of Federal Affairs now Ministry of Federal and Pastoralist Development Affairs has duties and responsibilities to follow up and ensure that the provisions of the proclamation are complied with in a region, give technical and capacity building support to regions, and prepare in collaboration with other federal government, national valuation formula for the determination of compensation payable under this proclamation, and submit same to the council of ministers for approval.

The Woreda and Urban Administrations have the responsibilities and duties, to pay or cause the payment of compensation to holders of expropriated land and provide them with rehabilitation support to the extent possible and maintain data of properties removed from expropriated landholdings. Thus, as the proposed project is implemented in urban areas, during the course of implementation all compensation issues and inventory of assets will be managed by the Urban Administrations or Municipalities as per the provision of the proclamation 455/2005 and 721/2011.

## **4.2 Institutional Arrangements**

Ethiopia administratively has nine regional states and two city administrations; namely: Afar, Amhara, Benshangul-Gumuz, Oromia, Gambella, Southern Nations, Nationalities and Peoples (SNNP), Somali, Tigray, and Harari and the autonomous councils, Dire Dawa and Addis Ababa.

The project will build on the experience of the implementation arrangement that was introduced under the ongoing UWSSP. Currently, there are Project Management Units (with safeguard specialists) at MoWIE, AAWSSPA, Dire Dawa city administration and the nine regional water bureaus established for the implementation of **One Water Supply and Sanitation National Program-Consolidated WaSH Account OWN-P-CWA** and ongoing UWSS-I project. These safeguard experts will be responsible for day to day safeguard instruments implementation (including this RPF) through conducting environmental and social screening, monitoring and following up of implementation of the proposed mitigation measures for each subprojects found in their respective regions and participating cities.

At Federal level, the Ministry of Water, Irrigation and Electricity there is an independent safeguard unit with two Environmentalists and two Social safeguards experts dedicated for the OWN-P-CWA which is jointly financed by the World Bank, DFID, AfDB and UNICEF. This unit handles all safeguard issues of the proposed project. The ongoing UWSSP-I safeguard instruments implementation have been managed by this team with the safeguard officers at utility level. For example, AAWSSPo (one of the beneficiary cities from the ongoing UWSSP) has deployed six Safeguard experts (three for Social and three for Environment) responsible for the ongoing World Bank financed project and other government projects. This arrangement will continue and require strengthening. Thus, the government of Ethiopia has agreed to fulfill the required safeguard experts for all participating cities before effectiveness of the proposed project.

Accordingly, the project will be implemented by Ministry of Water, Irrigation and Electricity and Ministry of Health will be responsible to manage and coordinate activities directly related to the urban health extension workers' contribution to hygiene and sanitation promotion in the project cities and towns at federal level and their respective bureaus and offices at the regional, city or urban levels. The cities and towns have been strengthened to deliver quality services at decentralized level. The existing approach that provides more decision making authority to decentralized level will be adopted by the project. Details are presented under implementation arrangement section 10 in this RPF.

### **4.3 World Bank Operational Policy on Involuntary Resettlement (OP 4.12)**

The RPF seeks to sustain a due diligence process to avoid exacerbating social tensions and to guarantee unfailing treatment of social issues across all development interventions. All projects including UWSS project financed by the World Bank must comply with the Bank's OP 4.12 Involuntary Resettlement, one of the most important safeguard policy guiding land acquisition and related resettlement/compensation issues during project implementation. It assists in screening the sub-projects for social impacts in conformity with applicable national laws and regulations and the Bank's safeguard policies. OP 4.12 Involuntary Resettlement includes requirements that:

- Involuntary resettlement should be avoided where feasible, or minimized, exploring all viable alternative project designs.
- 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.
- 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.

In addition, the policy should include measures to ensure that the displaced persons are:

- Informed about their options and rights pertaining to resettlement;
- Consulted on, offered choices among, and provided with technically and economically feasible resettlement alternatives; and
- Provided prompt and effective compensation at full replacement cost for losses of assets attributable directly to the project.

If the impacts include physical relocation, the resettlement plan or resettlement policy framework includes measures to ensure that the displaced persons are:

- Provided assistance (such as moving allowances) during relocation; and
- Provided with residential housing, or housing sites, or, as required, agricultural sites for which a combination of productive potential, locational advantages, and other factors is at least equivalent to the advantages of the old site;
- Particular attention to be given woman House hold headed and other vulnerable groups

### **4.4 World Bank Operational Policy on Physical Cultural Resources (OP 4.11)**

OP 4.11 sets out the WB requirement to avoid or mitigate adverse impacts resulting from project developments on cultural resources. The six cities and sixteen selected towns for the project are historically and culturally important locations and the investment under the project may require careful planning and designs to protect and follow due diligence in upgrading of cultural and physical resources in the cities. Thus, if this policy is triggered, environmental and social

assessments will be conducted to review the magnitude of the impacts on such properties, if any. This aspect is comprehensively dealt with under the ESMF (OP 4.01) prepared for the project.

#### **4.5 Comparison of Ethiopian Legislations with World Bank OP 4.12**

Although Ethiopian legislations particularly proclamation 455/2005 is in line with international best practice requirements, 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:

##### **4.5.1 Squatters or Illegal Settlers**

Ethiopian law makes no specific accommodation for squatters or illegal settlers. This RPF, therefore, applies to those with ill-defined or no title to the land, regardless of their legal status (for detail information please refer chapter 8, Eligibility).

##### **4.5.2 Complaint with the amount of compensation resolution**

OP 4.12 requires that compensation be completed prior to the start of the project's civil works, construction, or activities. Although 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.

##### **4.5.3 Vulnerable Groups**

Ethiopian law does not disagree, make any specific provisions for potentially underserved and vulnerable groups such as; women, children, the elderly, ethnic minorities, the landless, and those living under the poverty line. Accordingly, the RPF provides special attention to the needs of vulnerable groups among the PAPs.

Additionally, there is no clear provision for relocation assistance, transitional support, or the provision of civic infrastructure under Ethiopian law. 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. Otherwise, Ethiopian requirements are generally consistent with the World Bank policies. Where there is a difference between OP 4.12 and Ethiopian law, the higher standard shall prevail.

##### **4.5.4 Involuntary resettlement**

To keep up 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 addressed:

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

**Table 3-Summary of Comparison of GoE Legislation and World Bank’s OP4.12 and Recommendations to Address Gaps**

<b>Theme</b>	<b>WB OP 4.12</b>	<b>Ethiopian Law</b>	<b>Comparison</b>	<b>Recommendations</b>
<b>Policy Objective</b>	<p>OP 4.12 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 Woreda 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>
<b>Notification period /timing of displacement</b>	<p>Article 10 of OP 4.12 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 resettlement are in place. In particular, taking of land and related assets may take place only after compensation has been</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 expropriation. It further gives power to seize the land through police force should the landholder be unwilling to hand over the land</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 consequences for those affected, as they may be displaced without shelter or any means of livelihood.</p>	<p>Displaced person should always be paid compensation and other assistance required for relocation and preparation and provision of resettlement sites with adequate facilities, where required, before the land is handed over, as per World Bank OP 4.12</p>

	paid and where applicable, resettlement sites and moving allowances have been provided to displaced persons.			
<b>Eligibility for compensation</b>	OP 4.12 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)	UWSSP RPF document acknowledges that in an event where there is a discrepancy between the national law and WB OP/BP4.12 guidelines, whichever has the higher standards for the PAPs, would apply. However, as a general rule, as the project financing agreement is an international law the WB policy prevails and all categories of PAPs have to be compensated in accordance with OP 4.12.
<b>Compensation</b>	World Bank OP 4.12 Article 6(a) requires that displaced persons be provided with prompt and effective compensation at full replacement cost for losses of assets	Article 7 of Proclamation No.455/2005 entitles the Land holder to compensation for the property on the land on the basis of replacement cost; and permanent improvements to the land,	The World Bank requirement for compensation and valuation of assets is that compensation and relocation must result in the affected person securing	The World Bank requirements for compensation must be followed, as per OP4.12 Annex A footnote 1, which states, "Where domestic law does



	<p>attributable directly to the project. If physical 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.</p> <p>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.</p>	<p>equal to the value of capital and labor expended.</p> <p>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, transport and erection will be paid as compensation for a relocated property continuing its service as before. Valuation formula are provided in</p>	<p>property and a livelihood to at least equivalent standards as before</p> <p>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.</p>	<p>not meet the standard of compensation at full replacement cost, compensation under domestic law is supplemented by Additional measures necessary to meet the replacement cost standard”</p>
<p><b>Responsibilities of the Project</b></p>	<p>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.</p> <p>Article 24 states that the borrower is also responsible for adequate monitoring and evaluation of the activities set forth in the resettlement instrument. In addition, upon completion of the</p>	<p>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</p>	<p>The process required for the project proponent/implementing agency lacks descriptive processes in local legislation.</p>	<p>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 through the process</p>

	<p>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>			
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## **5 Overview of the Resettlement Policy Framework Process**

### **5.1 Screening**

The first step in the process of preparing individual RAPs is the screening process to identify the land/ areas that may result in resettlement impacts. ESMF subproject screening is used to identify the types and nature of potential impacts related to the activities proposed under UWSSP and provide adequate measures to address the impacts. It also ensures that the proponent, in consultation with the local community members, chooses a site with the least environmental and social impacts and lowest chance of resettlement. 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.

Screening will be undertaken by the relevant UWSSP Implementing Agencies-Water and sanitation utilities, with the use of the screening tool as attached to the RPF (see Annex 1). This screening will be part of the environmental and social screening process for each UWSSP-investment subproject as detailed in the ESMF. It will take place as early in the UWSSP investment subproject identification process as possible and will identify land that is to be taken for the subproject and PAPs who will need to be resettled and/or compensated. This will be in consultation with the affected parties to ensure that it takes all considerations into account and all potential impacts are identified. The Screening Report will be submitted by the relevant office for review to Woreda/Urban EPLAUA. If the screening report shows that no resettlement is required, the development of an Abbreviated or full Resettlement Action Plan is not necessary. If the Screening Report shows that resettlement will be required:

- If 200 or more persons are affected, a Resettlement Action Plan (RAP) will be developed. In cases where more than 200 people are affected, and is economic displacement (without physically displacement), then ARAPs are acceptable. However, the level of details and the type of instrument such as fully fledged RAP and a shorter version ARAP will be determined by the scope of impact the subproject entails.
- If 1 to 199 persons are affected an Abbreviated Resettlement Plan (ARAP) will be developed.

In both of the above cases, the next step will be complete Step 2: to conduct a socio- economic survey and asset inventory to determine the extent of resettlement required. This will be followed by the preparation of a Resettlement Action Plan (RAP), abbreviated RAP (ARAP) for the UWSSP investment subproject.

## **5.2 Resettlement Action Plan/Abbreviated Resettlement Action Plan**

### **5.2.1 Resettlement Action Plan**

The Resettlement Action Plan will be used where more than 200 individuals are affected by the sub project land acquisition. The outlines, assumption indicative, illustrative budget template of a RAP and TOR for recruiting consultant are depicted in Annex 3 and Annex 10, 11 and 12 respectively.

### **5.2.2 Abbreviated Resettlement Plan**

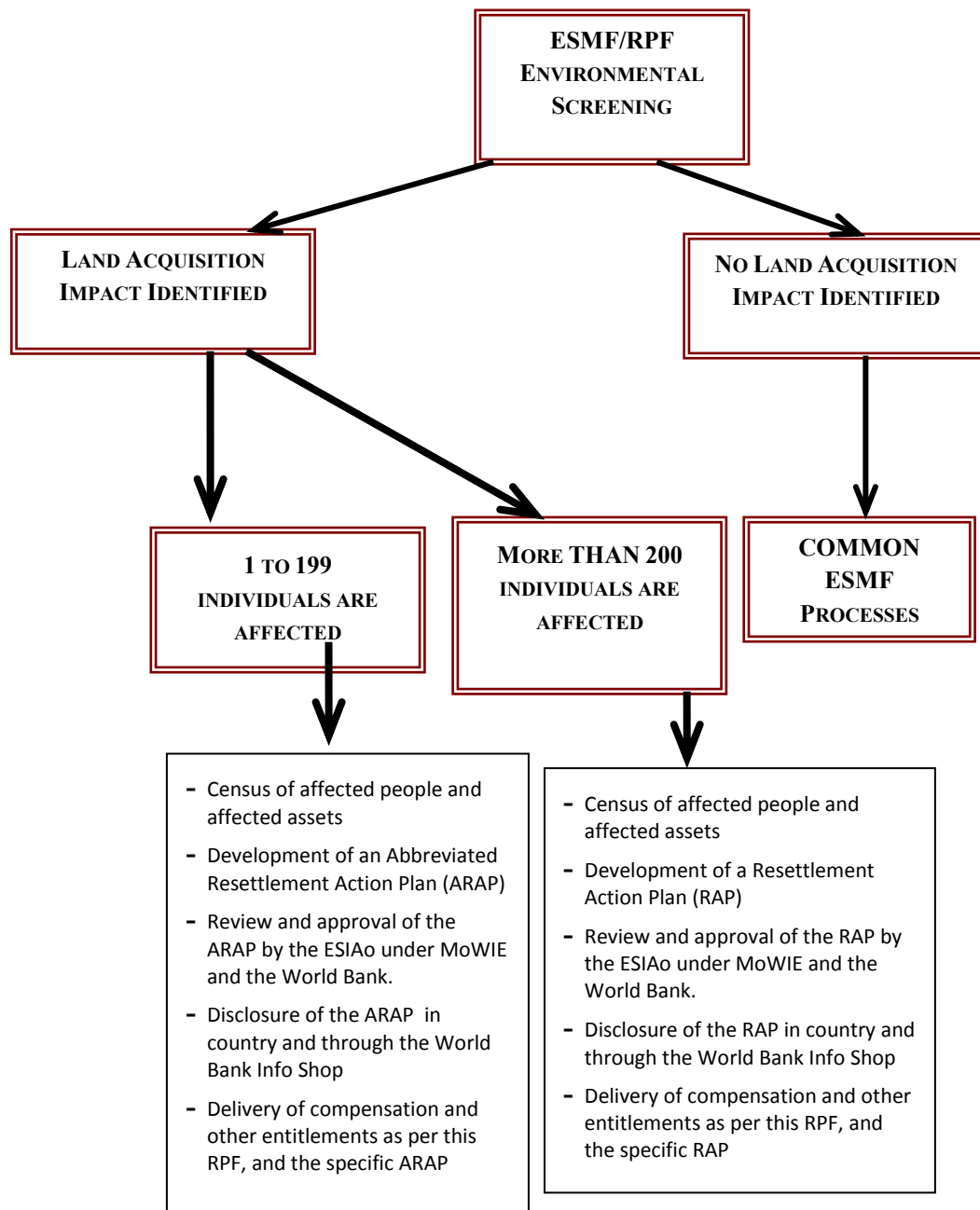
The Abbreviated Resettlement Plan will be used where 1 to 199 individuals are affected by the land acquisition. The outline of an ARP is given in Annex 4.

## **5.3 Work packages**

It is recommended that RAPs and A-RAPs should be grouped in a way consistent with lots of civil works that are defined by the Project Implementation Unit. This will ensure consistency in timing and approach

**Note: as stated above,** the level of details and the type of instrument as fully fledged RAP and a shorter version ARAP will be determined by the scope of impact due to the subproject land acquisition entails.

**Figure 1: Resettlement Policy Frame work Process**



## 6 Eligibility Criteria, Entitlement, Valuation and Compensation

### 6.1 Eligibility Criteria

In practical term determining eligibility is not always an easy exercise in areas where informal occupants have no documents establishing their land use rights, which is often the case in the some areas. However, eligibility for compensation is well presented in *Article 44(2)* of the 1995 FDRE 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.*” Thus, *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 Operational Policy on Involuntary Resettlement.*

The basic principle followed in this RPF is that PAPs should be assisted in their efforts to improve their former living standards, income earning capacity, and production levels, or at least to restore them to pre-investment whereby lack of legal title does not exclude individuals from the eligibility to receive compensation and/or rehabilitation assistance.

Those who have no recognizable legal right or claim to the land they are occupying are also eligible for compensation for immoveable assets. If there are cases occupying illegally public land then no compensation will be offered for the land but they will be eligible for compensation of the immovable assets and potential loss of livelihood.

Affected items could include, but may not be limited to, the following:

- Permanently or temporarily affected land;
- Houses or other structures, crops, trees, or other assets;
- Small shop or any other small business or production; and/or,
- Put up with income losses as a result of the Project.

All people moving into the project area and/or persons undertaking construction works, planting trees, etc. after the cut-off date are non-eligible PAPs and thus will not receive any compensation. Advance notice will be given, requesting them to vacate their premises and dismantle affected structures prior to project implementation. Affected peoples entitled for compensation or at least rehabilitation provisions under the Project are:

- i. All PAPs losing land either covered by legal title/traditional land rights or without legal status;
- ii. Owners of buildings, crops, plants, or other objects attached to the land;
- iii. PAPs losing business, income, and salaries; and

- iv. Residents in houses that don't have legal titles will not be compensated for land value (no obligation to provide replacement land), but will receive compensation at full replacement cost of the housing structure and assistance to relocate to a new adequate housing with access to services.

## **6.2 Eligibility Type for Compensation**

The following are some of the category of impacts eligible for compensation. The list, though, can be added to when socio-economic study and census undertaken for individual investments under UWSSP, where other types of impacts could be identified.

- Land or/and property
- Structures on land
- Crops and trees
- Livelihoods
- Grazing land
- Businesses
- Community assets

All affected persons irrespective of their status or whether they have formal titles, legal rights or not, are eligible for some kind of assistance as noted in the entitlement matrix, if they occupied the land before the cut-off date. The entitlement cut-off date refers to the time when the assessment of persons and their property in the area is carried out for the preparation of investment specific RAPs.

## **6.3 Entitlements**

The entitlements matrix below defines the eligibility for compensation and/or rehabilitation assistance for impacts/losses for different types of assets such as losing land, houses, and income and rehabilitation subsidies will include provisions for permanent or temporary land losses, buildings losses, crops and trees losses, a relocation subsidy, and a business losses for different categories of project affected persons. These entitlements are detailed below:

**Houses, buildings, and structures affected during construction.** In relation to impacts that are not related to land acquisition such as potential damages of vibrations or discomfort caused by road traffic, and assessment of damages will be conducted and corresponding remedial actions (e.g. reparations, etc) proposed to the affected party. If damages can't be mitigated or fixed, the affected houses and other buildings will managed in accordance to the principles of the RPF and it will be compensated in full for the whole building irrespective of the specific degree of impact. Annex 2 presents a framework of forms to be used for this census.

**Table 4-Impact/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 Less than 20% of land holding affected Land remains economically viable.	title holder	Cash compensation for affected land equivalent to replacement value
		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. 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 months while short- term crops mature ) Relocation assistance (costs of shifting + assistance in re-establishing economic trees + allowance up to a maximum of 12 months while short- term crops mature )
		Tenant/Lease holder	Cash compensation equivalent to ten times the average annual income s/he secured during the five years preceding the expropriation of the land. Relocation assistance (costs of shifting + assistance in re-establishing economic trees + allowance up to a maximum of 12 months while short- term crops mature Relocation assistance (costs of shifting + assistance in re-establishing economic trees +



Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
			allowance up to a maximum of 12 months while short- term crops mature ) Relocation assistance (costs of shifting + allowance).
Commercial land	Land used for business partially affected  Limited loss	Title holder/ business owner	Cash compensation for affected land 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).
		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  If partially affected, the remaining assets become insufficient for business purposes	Title holder/business owner	Land for land replacement or compensation in cash according to PAP's choice. 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. Transfer of the land to the PAP shall be free of taxes, registration, and other costs. Relocation assistance (costs of shifting + allowance) Opportunity cost compensation equivalent to 2 months net income based on tax records for previous year (or tax records from comparable business, or estimates)
		Business person is lease holder	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. Relocation assistance (costs of shifting)

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
			Assistance in rental/ lease of alternative land/ property (for a maximum of 6 months) to reestablish the business.
Residential land	Land used for residence partially affected, limited loss Remaining land viable for use.	Title holder	Cash compensation for affected land
		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	Land for land replacement or compensation in cash according to PAP's choice. 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. When the affected holding is larger than the relocation plot, cash compensation to cover the difference in value. Transfer of the land to the PAP shall be free of taxes, registration, and other costs. Relocation assistance (costs of shifting + allowance)
	Land and assets used for residence severely affected Remaining area insufficient for continued use or becomes smaller than minimally accepted under zoning laws	Rental/lease holder	Refund of any lease/ rental fees paid for time/ use after date of removal Cash compensation equivalent to one year rental fee to bridge time for finishing construction or the city administration will provide equivalent housing for one year without rental payment Assistance in rental/ lease of alternative land/ property Relocation assistance (costs of shifting + allowance)
Buildings and structures	Structures are partially affected	Owner	Cash compensation for affected building and other fixed assets

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
	Remaining structures viable for continued use		Cash assistance to cover costs of restoration of the remaining structure
		Rental/lease holder	Cash compensation for affected assets (verifiable improvements to the property by the tenant). Disturbance compensation equivalent to two months rental costs
	Entire structures are affected or partially affected  Remaining structures not suitable for continued use	Owner	Cash compensation 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. Cash compensation equivalent to one year rental fee to bridge time for finishing construction or the city administration will provide equivalent housing for one year without rental payment Right to salvage materials without deduction from compensation Relocation assistance (costs of shifting + allowance) Rehabilitation assistance if required (assistance with job placement, skills training)
		Rental/lease holder	Cash compensation for affected assets (verifiable improvements to the property by the tenant) Relocation assistance (costs of shifting + allowance equivalent to four months rental costs) Assistance to help find alternative rental arrangements Rehabilitation assistance if required (assistance with job placement, skills training)
		Squatter/informal dweller	Cash compensation for affected structure without depreciation Right to salvage materials without deduction from compensation

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
			Relocation assistance (costs of shifting + assistance to find alternative secure accommodation preferably in the community of residence through involvement of the project Alternatively, assistance to find accommodation in rental housing Rehabilitation assistance if required (assistance with job placement, skills training)
		Street vendor (informal without title or lease to the stall or shop)	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. Relocation assistance (costs of shifting) Assistance to obtain alternative site to re-establish the business.
Standing crops	Crops affected by land acquisition or temporary acquisition or easement	PAP (whether owner, tenant, or squatter)	Cash compensation equivalent to ten times the average annual income s/he secured during the five years preceding the expropriation of the land.
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), plus commensurate cash compensation for the loss of income for the time of the temporary inconvenience
Loss of Livelihood	Households living and/or working on the project area, including title holders/nontitle holders/daily laborers working	Rehabilitation assistance	Training assistance for those interested individuals for alternative income generating activities; providing employment opportunities on the construction site for the PAPs.

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
	in the market		

## 6.4 Valuation of affected assets

Valuation is the process of determining the value of land, or an asset that PAPs possess or use at the time of the census. Compensation for all land use and assets in kind or cash will be required for the following:

- Land;
- Residential buildings, structures and fixtures;
- Cultivated crops (both cash and food crops) and trees; and
- Loss of businesses or employment.

In the valuation process, PAPs, local officials and relevant government offices (such as the Land Development and Management Office, Municipality) will be consulted in detail. Overall, valuation will be consistent with regional rules and practice, and with the World Bank Operational Policy OP 4.12 requirement that any lost asset be valued at replacement value (See Definitions-Annex 1). However, the adherence to regional rules and procedures could not lead to lower value or compromised value lesser than what is agreed in this RPF.

### 6.4.1 Land

Land will be valued based on the principles that compensation rates meet the full replacement value. Where there are developments on land that need to be taken into consideration (for instance irrigation structures, terraces, wells, etc.), these will also be valued at full replacement value.

### 6.4.2 Structures

Valuation of structures will be undertaken on a case-by-case basis using rates available at region/zone/urban/woreda level, after a check that these rates meet the full replacement value requirement. In the absence of established rates, valuation will take into account reconstruction value, calculated from local contractors' quotations, taking labor into consideration when required.

### 6.4.3 Crops

Valuation of annual crops will be based on the income lost, i.e. on the market value of the lost harvest, which will be established using available rates or through a rapid survey of market prices observed in the vicinity of the concerned location. Valuation of perennial crops will be the sum of the following factors:

- Loss of income during the period needed to re-establish the crop, ie. value of the harvest (based as above on market prices) for the number of harvests lost during the period of re-establishment of the crop;

- Value of seedlings needed to re-establish the crop, and of all agricultural inputs needed to re-establish the crops as it was;
- Value of any perennial developments required to cultivate the crop, if relevant.

Valuation of timber trees will be based on the market price of timber that could be sold when the tree is fully grown.

## **6.5 Compensation Type**

### **6.5.1 Land Replacement**

As mentioned above, any sub-project that is assessed as potentially impacting inhabited dwellings or households' livelihoods will be redesigned, re-site, or reroute. Therefore, the UWSS Project is not expected to cause any significant physical resettlement, be it caused by physical displacement (impact on dwellings) or economic displacement (impact on livelihoods). However, any impact on land will be mitigated through replacement of the affected plot by a plot of similar potential, i.e.:

- Either of similar agricultural/economical characteristics and similar surface,
- Or greater surface if agricultural/economical potential is less than that of the lost plot.

### **6.5.2 Compensation in Cash**

Compensation principles will be as follows:

- Compensation shall be paid prior to displacement
- Compensation will be at full replacement value without factoring depreciation.

By contrast with the depreciated or net value of a structure, the "replacement value" of structures includes the full cost of materials and labor required to reconstruct a building of similar surface and standing. In other words, the affected person must be able to rebuild their structure in a different location using the compensation paid for the old building.

Most if not all impacts on land, structures and crops will therefore be mitigated through compensation, in-cash or in-kind, following asset valuation as above described. Experience in various countries has shown that a fraction of compensation recipients may misuse cash compensation as they would receive an amount of money that they are not prepared to manage. They may engage in poorly considered investments or simply misuse the money. Thus, it is important that an in-kind compensation option be available to affected people. Compensation will be paid (or in-kind items will be delivered) prior to land being vacated.

## **7 Consultation and Disclosure**

### **7.1 General**

Consultation with the affected parties should be the beginning of a participatory process for designing and implementing sub projects. Providing accurate information about the project to people from the planning stage prevents misconception and builds trust between the affected people and the project while enhances transparency. Consultation has several objectives which include: sharing information, listening to feedback, engaging in decision making discussions and involving people in participation in the implementation process.

Consultations will enable the project team to hold joint discussions with potentially affected people and stakeholders, share ideas about planning and implementation and benefit from local knowledge and take more informed decisions. Consultation can be in different forms, such as organizing public meetings, holding focus group discussions or carrying out household surveys or even having direct one to one consultations. Further requirements of subproject, inventory survey and assets' verification can be performed as part of consultation process.

### **7.2 Consultations towards Preparation of this RPF**

This RPF has been prepared following a series of consultations held with various stakeholders and communities. The issues of UWSS-II sub project related land acquisition and the applicable standards, procedures and principles to the project, including WB OP 4.12 requirements were discussed during the project preparation meetings and public consultation process. Public consultation and meetings were held in Addis Ababa, Adama and Mekelle cities on 5-6 September 2016. The second round of consultation was conducted from 8-28 September 2016 and were led by the Environment and Social team of Addis Ababa Water and Sewerage Authority-PIO and Ministry of Water, Irrigation and Electricity (MoWIE). Besides, community consultation and stakeholder discussion was conducted at Debre Birhan, Dire Dawa and Bishoftu cities on Oct 7, 2016, Oct 8, 2016 and Oct 18, 2016 respectively. In total, 96 community members and stakeholders participated in the community meetings.

The preparation of this RPF took into consideration the findings of the public consultations and stakeholder discussion held at different levels including the two day project preparation workshop. A new round of public consultations regarding the Social Impact Assessment will be conducted in the future and during those public meetings general issues regarding project-related land acquisition and the procedures and principles of this RPF will be presented. This RPF will be disclosed on the MoWIE website (after clearance is obtained from the World Bank) and at the WB Infoshop.

The main agenda for the consultation discussions were on providing information about the UWSS-II Project and accordingly obtaining their feedback on the benefits and impacts including potential environment and social negative impacts and mitigation measures. Discussion on project's objective, terms of implementation, possible environmental and socio-economic impacts (which may arise in due course of project implementation) were considered so as to raise the awareness of the stakeholders from the outset of the project planning phase. The overall objectives of the public consultations were to:

- To share full information about the proposed project objective, its components and activities with the community;
- To obtain information about the needs and priorities of the communities, as well as information about their view to the proposed RPF policies, procedures and activities, particularly on the social risks and mitigation measures;
- To obtain cooperation and participation of communities in activities required to be undertaken for implementing mitigation measures to reduce adverse impacts; and
- To ensure transparency in all activities related to Project planning and implementation.

Public consultation in Addis Ababa city was held with the Administrative Office and other offices of Woreda 12 (Bole Sub City). In this regard Women and Children office, Health Office and Office of Community mobilization in Kebele 12 have been consulted. Community representatives were also consulted for the same purpose. This consultation was done on voluntary basis and in good faith. It was led by senior social and environmental specialists from AAWSA project office. Composition wise, the participants came from various sections of the community such as women, youths, community elders, cultural leaders, landholders (who might be affected during the UWSSP implementation process), and vulnerable groups.

Moreover, other consultations had been held with main stakeholders from city government of Addis Ababa. In this regard, Environmental Protection Authority (EPA) of the Addis Ababa City Administration, the Ministry of Environment, Forest and Climate Change (MEFCC), Urban Plan Institute (UPI), Land Development and Management Bureau and the Addis Ababa Branch office of the Ethiopian Orthodox Church have been consulted so that every stakeholder have awareness about the project, and their views and concerns about the project is dealt with. Institutional capacity gaps and other constraints are also clearly marked so as to pave better way to implement the RPF procedures in relation to the proposed projects. Most of these governmental stakeholders and community members who participated in the consultation have expressed their support towards the projects and have promised that their support to AAWSA as a partner for the successful implementation of this vital project.

Once the exact location of the sub projects is defined RAPs/ARAP will be prepared based on the procedures and principles this RPF. Concerned officials of the participating cities and towns particularly municipalities, land administration, office of women, Water and Sanitation Utilities, Environmental protection office, Micro and small scale industry office, and villages will be consulted and required to assist during the preparation of the inventory of affected assets, the census of PAPs and the Detailed Measurement Survey (DMS).

Most importantly, PAPs will be consulted during the preparation of the RAP and they will be thoroughly informed on the results of the Census and DMS, and their opinions on compensation or other resettlement assistance will be given due consideration. The processes and mechanisms ensuring the active involvement of PAPs and other stakeholders will be detailed in the RAPs which will also include an appendix with date, list of participants, and minutes of consultation meetings. Once a RAP/ARAP



for a subproject has been prepared and approved by implementing agencies which includes MoWIE and participating cities/towns and WB it will be disclosed at relevant office for public comments. Besides, a letter in Amharic/other local language, summarizing compensation eligibility and entitlement provisions, will be sent to all PAPs before the initiation of the compensation/rehabilitation process. Consultation will specifically take consideration of the following local organizations: Counsel of Elders at local level, Community Based Organizations (CBOs), Non-Governmental Organizations (NGOs) present at local, regional or federal levels.

A comprehensive Resettlement Policy Framework which works for all participating cities and towns, Resettlement Action Plans and/or Abbreviated Resettlement Plans will be disclosed after they have been reviewed and approved by the World Bank. As the project is implementing in more than 21 cities and towns, more than one RAP/ARAP might be requiring based on the nature and scope of impact. The document will be kept available at the:

- The World Bank Infoshop (in electronic form),
- At Federal MoWIE (in electronic-in the Ministry website and paper form)
- At each participating cities and towns including Addis Ababa (in paper form).

In addition, the documents will be available on MoWIE-Environmental and Social Impact assessment office delegated by the Federal MoEFCC for sector specific environmental and social activities. Attachment 7 presents a template that can be used during both preparation and implementation of resettlement activities to record minutes of consultation meetings.

### **7.3 Summary of Views, Concerns and Recommendations captured during community and stakeholder consultation**

The community members at all levels generally reflected on the beneficial impacts of UWSS-II Project. However, communities and expertise have insistently described that liquid waste disposal is one of the serious issues to be addressed as the number of infrastructures, like condominium houses, new settlements and hotels are extraordinarily flourishing; hence construction of waste water treatments, centralized or decentralized are crucial. The consulted governmental stakeholders and community representatives predominantly appreciated the proposed project and promised that they will stand on the side of the project as a partner for the successful implementation. In addition, they hoped that contraction of water supply and sanitation schemes may create job opportunities for the poor and unemployed. Finally, the respective stakeholders and community representatives in the consultation meetings reflected their views, concerns and main recommendations as summarized below:

#### **Concerns and issues raised during community consultation**

- Consultation participants, based on their experience in other development projects, mentioned that compensation payments should be fair, adequate and as per the entitlement matrix as presented in this RPF;

- Participants indicated their concern regarding undocumented households who have been living in the affected areas for long period of time;
- Concerns have been discussed on how to treat multiple unregistered households cohabiting in Kebele (government) housing;
- Low awareness on laws of GoE and WB operational policies on rights for compensation; grievance redress, entitlements and related issues;
- Participants also stressed the issue of vulnerable groups such as women, children, elderly, ethnic minorities, etc and how to entertain in the USSP-II;
- Communities in the consultation appreciated the UPSS-II institutionalized grievance redress structure, procedure for PAPs to lodge their grievances about different issues related with the project: including compensation issues;
- Participants mentioned that they did not know about their rights to be consulted on all issues which are associated in one way or another to their concern and appreciated the initiative in USSP-II;
- The participants appreciated the proposed project as they experienced in the earlier initiatives limitations in addressing the equity issues in access to water supply and sanitation in low income areas.

### **Recommendations and responses provided to address concerns and issues**

- PAPs should receive adequate compensation at full replacement cost based on current market price for losses of assets and access attributable to the USSP-II sub-project as specified in this RPF.
- Consultation participants were briefed about the provisions under the World Bank Operational Policy, OP 4.12 on involuntary resettlement and the provisions along with the GoE related policy will be applied for the project. Specifically, the presentation to stakeholders and communities briefed;
  - PAPs shall be entitled to all reasonable compensation, including the provision of replacement land, jobs, and other resettlement assistances as per the entitlement matrix in this RPF;
  - Compensation is provided for loss of assets not land as land legally belongs to the government in Ethiopia and the people have user right;
  - Displaced persons should be assisted in their efforts to improve or restore their livelihoods (capacity building opportunities and other assistance as per the livelihoods rapid needs assessment);

- Undocumented people who have been living in the affected area and Kebele (government) houses will be provided with various options of living houses feasible for them such as other kebele houses or condominium (apartment) houses.
- The project will set up a GRM at each participating towns including Addis Ababa that will be easily accessible for people to report concerns or complaints, if they feel unfairly treated or are affected by any of the USSP-II subprojects. The formal grievance redress mechanism could be effectively employed together with those traditional dispute and conflict resolution mechanisms. The USSP-II proposed GRM (section 8 of this RPF on page, 56) was presented to the consultation participants.
- As outlined in section seven above, consultation participants were briefed about the consultation plans of the project, which will continue throughout the project implementation. The project will further sensitize the legal provisions and principles outlined in this RPF during the implementation and strengthen awareness creation mechanism during the implementation of the Resettlement Action Plans, if prepared.
- Vulnerable groups should receive special consideration during involuntary displacement and loss of asset. Moreover, special attention need to be provided to ensure that the project is creating development opportunities and improving quality of life and well-being.
- UWSSP-II would promote opportunities for women through:
  - Exploring innovative Information Communication Technology mechanisms to channel the voices of women and men during project implementation and longer term service delivery;
  - Setting mechanism to capture the voice of women and men in decision making in urban sanitation and water supply services;
  - Promoting opportunities for women alongside men, to benefit from the economic opportunities in the urban water and sanitation value chain;
  - Investing in affordable and safely positioned public pay and use toilets and showers managed by women and youth led community based organizations (CBOs) in the low income areas; and
  - Equitable distribution of project benefits and opportunities to ensure active participation of women in the project Steering Committees at all level.
- Establishment of Compensation Committees that are close and near to the community is important and need to be strengthened. If the project acquires land, PAPs will be informed of their rights under national laws and this RPF (and eventually RAPs), and the government will offer them adequate compensation as stated in the entitlement matrix together with culturally appropriate development opportunities
- Low income areas on the ongoing project could be taken as a good lesson and need to be

strengthened further in the new project.

- An appropriate targeting approach will be developed to ensure that the project benefits the most disadvantaged, these include: (i) creating management and operation opportunity on public toilets for group of young and unemployed youth organized under small and micro enterprises; (ii) Adopting affordable and simple technologies that can be replicated at community and household level; (iii) Public toilets will be located at strategic places where there is concentration of people (bus terminals, markets, public and religious festivity places...); and (iv) In the low income areas with limited space, the project will invest in affordable and safely positioned public pay and use toilets and showers managed by women and youth led community based organizations (CBOs).

In addition, as part of the proposed UWSS-II Project preparation mission, the team which is composed of implementing agencies, visited AAWSA, Mekelle and Adama cities, along with a visit to the different relevant governmental institutions (MoWIE, MoH, the environment unit from the Ministry, etc.) and assessed the implementation capacity and commitment towards the safeguards provisional compliance. Besides, a consultative workshop was held as part of the preparation mission in the presence of participants from MoWIE, AAWSA, secondary cities and other relevant stakeholders. Different types of presentations, including presentations on the safeguards concerns and on the World Bank's Operational Policy, were made. In all cases, the team has realized that there is a very good commitment and experience towards the safeguards implementation. However, the team has also come to understand that both Mekelle and Adama cities don't have safeguards experts at the water and sanitation utility level. The GoE, the MoWIE agreed to fast track deployment of dedicated safeguard staffs for all secondary cities that have the required expertise. The utilities have also agreed to recruit the required safeguard experts and this has very well captured in the preparation mission Aide Memoire.

On the whole, the RPF, as per the requirement of OP 4.12, has been consulted with stakeholders drawn from governmental, non-governmental organizations and the community in the proposed target cities, where feedback obtained from the consultation has been considered and incorporated in to the project design.

## **8 Grievance Management Mechanisms**

### **8.1 Objective**

A grievance redress mechanism will be established to allow PAPs, project beneficiaries and stakeholders to complain/request about any decision of activities regarding inclusion in the census, eligibility and temporary or permanent loss of their land, assets or sources of income and their compensation.

### **8.2 Potential grievances/disputes**

Grievance procedures are required to ensure that PAPs are able to present complaint or concerns, without cost, and with the assurance of a timely and satisfactory resolution of the issue. 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.

Under UWSS-II Project grievances and dispute may arise related to the following issues:

- (i) The eligibility criteria;
- (ii) Valuation of assets and compensation;
- (iii) Disagreement on plot boundaries, either between the affected person and the expropriation agency or between two neighbors;
- (iv) Disputed ownership of a given asset (two or more affected people claim that the affected asset is theirs);
- (v) Successions, divorces, and other family issues resulting in disputed ownership or disputed shares between inheritors or family members;
- (vi) Where affected people opt for a resettlement-based option, disagreement on the resettlement package (the location of the resettlement site, proposed housing or resettlement plot characteristics, agricultural potential are not adequate in their view);
- (vii) Dispute ownership of businesses and business related assets (quite usually, the owner and the operator of a business may be distinct individuals, which give rise to dispute in the event of compensation);
- (viii) Actual implementation of RAPs, among others.

The grievance redress procedure of the project does not replace existing formal 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.

### **8.3 Registration of Grievances**

The UWSS-II Project implementing agencies in all participating cities and towns shall establish a grievance redress mechanism, register all issues related with grievances, disputes and other issues emanating from the implementation of the proposed project. The existence and conditions of access to this register (where, when, how) shall be widely disseminated within the project area of the town in the

initial stages of the valuation process, the affected persons will be given copies of grievance procedures as a guide on how to handle the grievances. This will include who to contact (a phone number, address and location, time) as well as type of grievances they can refer to this committee.

Any grievance that may arise from the compensation/ resettlement action plan will be filed at first instance to the implementing agency of the sub-project grievance redress point person, and will be registered by the agency for further action. The overall process of grievance is as follows:

- (i) The process of grievance redress will start with registration of the grievances to be addressed;
- (ii) The project will use a local mechanism which in most case called Grievance Redress Committee (GRC) as detailed below (the composition of the members, which includes local leaders of the affected people, local NGO representative and 2 representatives from the PAPs). These will ensure equity across cases, eliminate nuisance claims and satisfy legitimate claimants at low cost;
- (iii) The response time will depend on the issue to be addressed but it should be addressed with efficiency and time stipulated below;

#### **8.4 First Instance-Amicable Settlement**

The grievance redress procedure of the project does not replace existing legal processes as stated above. However, the international experience of resettlement shows that such grievance redress mechanism helps to solve most of the complaints without formal procedures. So it enables both speeds up implementation of the project as well as timely satisfaction of people with complaints. In addition, courts of law are sometimes viewed as slow and involving somewhat complicated procedures. People may prefer such matters to be first handled by a “first instance” mechanism, on the model of traditional dispute-resolution mechanisms.

It usually appears that many grievances have roots in misunderstandings, or result from neighbor conflicts, which usually can be solved through adequate mediation using customary rules. Most grievances can be settled with additional explanation efforts and some mediation. That is why a first instance will be used to settle disputes amicably. The members of the first instance grievance redress mechanism will be a locally-selected community members from different walks of life. GRCs will be established at the community level at each participating cities and towns (with technical support from MoWIE if needed). The first instance grievance redress body is recommended to be the project implementing committee itself so that it revises its own work and correct if it discovers any wrong issues. The first and the easiest step for the project affected person is also to address the issue to the implementing committee itself in terms of cost, time and representation. It is to be noted that the community representative is the member of the committee and this could give confidence for the affected person with regard to representation.

#### **8.4.1 Grievance Resolution Committee**

The grievance resolution will be formed through the client in each participating cities and towns and shall be comprised of the following.

No	Institution/individual representation	Role
A	Municipality representative	Chair person
B	Community representative	Member
C	Representatives of PAPs	Member
D	Women Affairs	Member
E	Two respectable citizens from society including one from the under-served community, one of whom should be a woman	Member
F	Representative of Implementing Agency	Secretary and Member

It is essential to include representative of Implementing Agency and Land development and management office in the grievance redress committee so that essential information on inventories, entitlements, and compensation rates, etc. can be provided to the committee members for review of particular complaint.

Provided that the importance of GRC in settling various disputes associated with privately owned land, since recent time most of the big cities and towns have established grievance handling office which is generally responsible for any grievances for betterment of good governance. This office could be taken as one of the grievance handling mechanisms before it goes to court though it has also its own limitation in providing timely action.

#### **8.4.2 Grievance Redress Procedure:**

Grievance redress procedure will comprise of the following steps.

1. As a first step, all complaints and grievances relating to any aspect of the project or sub-project should be properly documented by implementing committee and address through consultation with the PAPs in a transparent manner and aimed at resolving matters through consensus at the project level to pre-empt all disagreements;
2. If the PAPs do not get any response from the implementing committee within five days of submitting a complaint, or if the matter is not resolved to the satisfaction of the PAPs, the person will submit the complaint to the grievance redress committee of the specific city administration;
3. If the matter still remains unresolved within 15 days by the grievance redress committee, the person will forward the complaint to the regular court having jurisdiction.

A party dissatisfied with a decision rendered in the regular court may appeal, as may be appropriate, to the regular appellate court within 30 days from the date of the decision. The decision of the court shall be final.

Sample Grievance Form was depicted in Annex 8. This grievance format is subject for revision by the grievance resolution committee before the start of their duties. The format will be distributed to the compensation implementation committee, the grievance resolution committee as well as to the other stakeholder's involved in the implementation of the resettlement action plan. The format should contain relevant information such as the name of the complaint and address, they types and details of grievances, the decision made, the data and the signature of the parties. The complainant, the receiver of the complaint, implementers should get the copy of the grievances.

### **8.5 The Office of the Ombudsman**

According to Article 5 of the Institution of Ombudsman Establishment (IOE) Proclamation No. 211/2000, the objective of the institution is bring about good governance that is of high quality, efficient and transparent, and are based on the rule of law, by way of ensuring that citizens' rights and benefits provided for by law are respected by organs of the executive. The IOE has a jurisdiction over executive organs of the federal as well as regional governments. It is an organ that protects citizens from maladministration. It has powers to supervise administrative directives issued and decisions given by executive organs and the practices thereof so that they do not contravene the constitutional rights of citizens; receive and investigate complaints in respect of maladministration; conduct supervision, with a view to ensuring that the executive carries out its functions in accordance with the law and preventing maladministration; seek remedies in case where it believes that maladministration has occurred; and make recommendations for the revision of existing laws, practices or directives and for the enactment of new laws and formulation of policies, with a view to bringing about better governance. Hence, the affected people and stakeholder can also submit its appeal to get advice to the Ombudsman's representative at the project implementation level/or respective administrative level where the IOE is available. Thus, the IOE might be used as one channel of grievance handling mechanisms where found feasible by PAPs.

### **8.6 Appeal to Court**

If the grievance procedure which will be established at local level fails to provide a result, complainants can pursue further action by submitting their case to the appropriate regular court of law. Courts of law shall be considered as a "last resort" option, which in principle should only be triggered where first instance amicable mechanisms and other options have failed to settle the grievance/dispute. However, the constitution allows any aggrieved person the right of access to court of law.

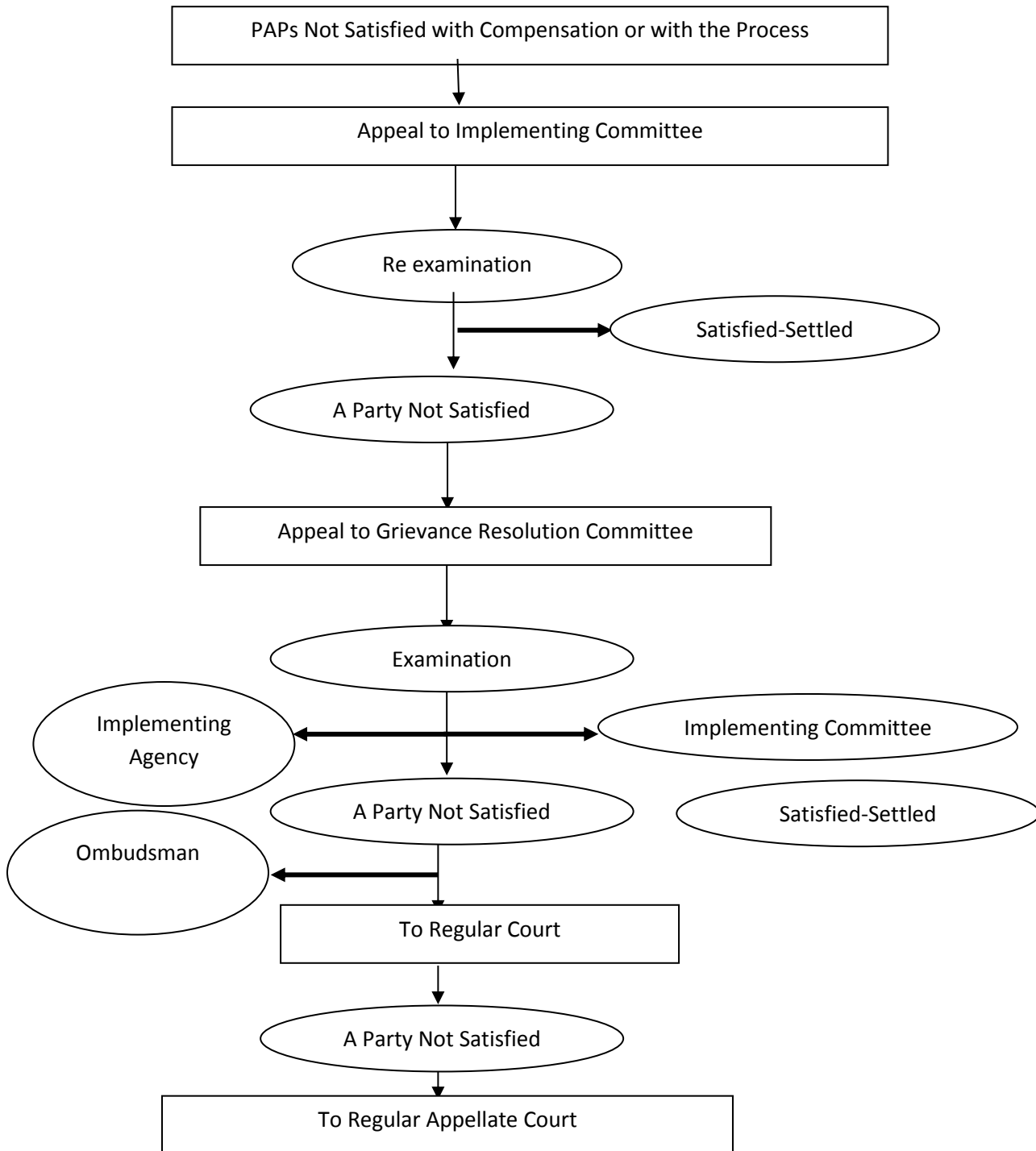
### **8.7 World Bank Grievance Redress Services**

Communities and individuals who believe that they are adversely affected by the World Bank (WB) supported project may submit complaints to existing project-level grievance redress mechanisms or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints



may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit <http://www.worldbank.org/GRS>. For information on how to submit complaints to the World Bank Inspection Panel, please visit [www.inspectionpanel.org](http://www.inspectionpanel.org).

**Figure 2: Grievance/Dispute Management Mechanism**



## **9 Implementation Arrangements, Schedule and Funding**

The project implementation arrangements are designed with two main objectives:

- Ensure accountability of the project implementation agency, sector service providers as well as the registered civil societies and private organizations partnering in project implementation in regard to the delivery of the social safeguards as well as resettlement entitlements;
- Provide for the required capacity in terms of organizational arrangements, systems and procedures as well as knowledge, skills, and attitudes for efficient and effective project implementation.

The principle of subsidiary which retains decisions at the lowest appropriate level underpins the institutional arrangements for the practice of the social safeguards and implementation of the resettlement plan. The implementation of social safeguards and resettlement will be linked to the implementation of sub-project civil works.

### **9.1 Roles and Responsibilities**

The project will bring together a network of stakeholders for implementation. It is therefore necessary to establish clarity with regard to their roles, responsibilities and accountabilities. The project will establish systems and mechanisms for evolving consensus and ensuring coordination for achieving the objectives of RPF.

The main agency involved in implementation of the RPF will be the Ministry of Water, Irrigation and Electricity (MOWIE), as an overall implementing agency, it will have overall responsibility for the implementation of UWSS-II Project and will act as the central agency responsible for holding all information relevant to the RPF and subsequent RAPs.

The institutions involved are:

- Ministry of Water, Irrigation and Electricity (MoWIE) as the project Implementing Agency a dedicated Project Management Unit (PMU) will be established under the MoWIE for the purpose of managing and fast-tracking project preparation and for overall implementation responsibility;
- Relevant Social Sector Agencies and Government Departments will provide services and support in the safeguard implementation.
- Community Based Organizations (CBOs), Consultants and other private sector players as required.

The following table presents responsibilities related with resettlement and compensate

**Table 5: Implementation Responsibilities**

<b>Level</b>	<b>Responsibility</b>
Affected People	<ul style="list-style-type: none"> <li>- Involve in valuation committee commission</li> <li>- Participate in censuses</li> <li>- Participate in mediation committees</li> <li>- Participate in Grievance resolution committees</li> </ul>
Municipalities/towns	<ul style="list-style-type: none"> <li>- Arrange Land for land Replacement for water supply and sanitation sub-projects in collaboration with Land Development and Management Agency</li> <li>- Support valuation commissions and censuses</li> <li>- Support grievance redressing Committee</li> <li>- Check on censuses and valuation</li> <li>- Pay compensation</li> <li>- Participate in monitoring</li> </ul>
Water and Sewerage Authority/ Utilities	<ul style="list-style-type: none"> <li>- Support towns in the organization of resettlement planning (valuation commissions, censuses, payment of compensation)</li> <li>- Select consultants to develop RAPs and A-RAPs</li> <li>- Review draft RAPs and A-RAPs prepared by consultants</li> <li>- Organize public consultation and disclosure on draft RAPs and A-RAPs</li> <li>- Participate in monitoring and evaluation (possibly through consultants for the most significant resettlement activities, if any)</li> <li>- Consultation and disclosure on Resettlement Policy Framework</li> <li>- Check on censuses and valuation</li> <li>- Check on compensation delivery</li> <li>- Participate in monitoring</li> </ul>
Town Water Boards and Utilities	<ul style="list-style-type: none"> <li>- Oversight and guidance for urban water supply and sanitation service provision and proper implementation of mitigation measures.</li> <li>- Meeting on time to make decisions that need their involvement</li> <li>- Participate in monitoring and evaluation (possibly through consultants for the most significant resettlement activities, if any)</li> <li>- Follow and check whether resettlement censuses and valuation is conducted timely and as per the principles outlined in this RPF</li> <li>- Check on compensation delivery (its fairness and timely provision)</li> </ul>
Consultants	<ul style="list-style-type: none"> <li>- Draft RAPs and/or ARAPs</li> </ul>

Property Valuation Committee	<ul style="list-style-type: none"> <li>- Review the list and register the PAPs and affected assets.</li> <li>- Verify the entitlement right of PAPs with concerned body.</li> <li>- Establish standards for unit rates of affected assets and properties.</li> <li>- Revalidate inventories of PAPs and affected assets.</li> <li>- Establish valuation a head of time effect the compensation payment resettlement/ relocation activities.</li> <li>- Determine the compensation rates taking in to account the country's legislation based on the date payment of compensation.</li> </ul>
Resettlement Implementation Committee	<ul style="list-style-type: none"> <li>- Coordinate and supervise valuation committee, compensation payment, relocation activities</li> <li>- Prepare guidelines for valuation committees,</li> <li>- Ensure that appropriate compensation procedures are adopted and followed</li> <li>- Oversee Project's requirements related to the social environment</li> <li>- Clarifying policies and operational guidelines about compensation</li> <li>- Reallocate land to permanently affected households</li> <li>- Monitor the disbursement of funds</li> <li>- Guide and monitor the implementation of relocation</li> <li>- Coordinate activities between the various organizations involved in relocation</li> <li>- Facilitate conflict resolution and addressing grievances</li> </ul>
Grievances Resolution Committee	<ul style="list-style-type: none"> <li>- Provide PAPs with avenues for making compliant or resolve any dispute that may arise in the course of land, structure and any assets acquisition, including the process of moving;</li> <li>- Ensure that appropriate and mutually acceptable corrective actions are identified and implemented to address complaints;</li> <li>- Verify that complainants are satisfied with outcomes of corrective actions; and</li> <li>- Avoid the need to resort to judicial proceedings.</li> </ul>
Contractors'	<ul style="list-style-type: none"> <li>- Hire as many local laborers as possible (priority has to be given to poor and marginalized), Avoid use of child labor;</li> <li>- Encourage contractor to pay equal wages to men and women;</li> <li>- As far as possible contractors shall attempt to ensure equity of distribution in project related employment</li> <li>- Ensure relevant life insurance coverage for the laborers;</li> <li>- Ensure access to Public Facilities such as schools, hospitals, markets</li> <li>- Avoid damage / disturbance to historical / cultural / archeological sites /natural habitats</li> </ul>

Micro and Small Scale Enterprise Agency/Office	<ul style="list-style-type: none"> <li>- Organize households whose livelihood is affected by the project activity under micro small-scale enterprise to enable them to restore their lost livelihood.</li> <li>- Facilitate money management training courses for PAPs up on receipt of cash compensation.</li> </ul>
Grievances Resolution Committee	<ul style="list-style-type: none"> <li>- Provide PAPs with avenues for making compliant or resolve any dispute that may arise in the course of land, structure and any assets acquisition, including the process of moving;</li> <li>- Ensure that appropriate and mutually acceptable corrective actions are identified and implemented to address complaints;</li> <li>- Verify that complainants are satisfied with outcomes of corrective actions; and</li> </ul>

## 9.2 Budget

Since majority of the proposed participating cities/towns lack experience in implementing World Bank supported projects. The proposed UWSSP-II will focus on sanitation (which is relatively a new area and there is limited capacity of the implementing agency at all levels). However, though there are experiences and awareness on safeguards, the technical capacity of implementing agencies at each level has to be strengthened through capacity need assessment; and then based on the findings of the assessments tailored capacity building packages on how to effectively implement the social safeguard instruments will be provided.

It is not possible to provide an estimated budget for the total cost of resettlement that may be associated with implementation of UWSS-II Project at this stage. This is because, the exact number of people who may be affected cannot be determined and the specific locations of the sub projects are unknown. However, when the real location/site is identified RAP/ARAP will be prepared. Thus, RAP preparation and implementation costs, including cost of compensation will be considered as an integral part of Project cost and will be contributed as a counterpart fund by the Government of Ethiopia, with technical support by MoWIE for participating cities and towns. This requirement should be an excellent incentive to minimizing land impacts through appropriate design, siting and routes. Every sub-project will have to assess budget needs for funding of compensation and resettlement, identify and secure potential sources of funding. According to the World Bank Operational Policy OP 4.12, Involuntary Resettlement Policy, “the Bank does not disburse against cash compensation and other resettlement assistance paid in cash, or against the cost of land (including compensation for land acquisition).” As a result, the IDA loan under which the UWSS-II Project will be funded cannot finance cash compensation or land acquisition for resettlement purposes.

RAP will include a budget section indicating (i) unit compensation rates for all affected items and allowances, (ii) methodology followed for the computation of unit compensation rates, and (iii) a cost table for all compensation expenses including administrative costs and contingencies,

livelihood restoration and vulnerable groups. Compensation and land acquisition for resettlement sites (if any need) will be funded by the towns benefiting from the UWSS-II Project.

### **9.3 Resettlement Cost Estimates and Budget**

The comprehensive and successful implementation of the RPF, budgetary provisions will need to be made for the various mitigation commitments outlined in the ESMF and interventions proposed in the RPF. A budget estimate will need to be made that will cover all actionable and activities under the ESMF and RPF, and their implementation. Annex 11 and 12 depicts Illustrative Budget Template for the RAP and Assumptions on Indicative Budget respectively.

### **9.4 Capacity Building and Training**

The environmental and social sustainability of projects that involve multiple sub-projects is highly and unavoidably dependent on the capacity of communities, implementers of the project and other stakeholders to carry out the associated design, planning, approval and implementation.

Thus, ensuring capacity is crucial and the UWSS-II project will allocate sufficient resources to ensure stakeholders empowerment including training, capacity building and technical assistance especially on timely bases. This endeavors will not only benefit the project, but will also assist local capacity to undertake other development initiatives financed from government treasury or other development partners. The PMU will provide training facilities to plan and implement training and orientation in social safeguards for the technical and managerial staff of the Project.

The PMU will also carry out a training and knowledge needs assessment exercise for preparing the capacity building and training plan. The needs assessment will identify the specific capability requirements of the safeguard functionaries as well as the orientation and attitudes for the effective engagement of the stakeholders in the delivery of USSP-II.

The knowledge, skills and attitudes of the core operational social safeguard network, the project officials, coordinators, sector officials, registered civil societies agents and community leaders, will be critical to the effective delivery of safeguard actions in a coherent manner. Therefore, capacity enhancement in the following areas will be supported.

- Social management measures and methodologies;
- Social safeguard process;
- Project delivery and implementation mechanisms;
- Social management good practices;
- Accountability and reporting measures; and
- Project Orientation.

Based on the institutional arrangement and responsibilities related with the implementation of the safeguard instruments, the following issues are identified as entry points in safeguards capacity building including training;

- Provide Training of Trainers (ToT) for 20 professionals from MoWIE, AAWSAPO and regional Water Bureaus who are directly involved in the implementation of UWSSP-II (six from MoWIE, four from AAWAPO, one from Dire Dawa, nine from regional Water Bureaus and one from Ombudsman institution). About 21 individuals (safeguard experts) from 21 participating cities directly involved in the implementation of the UWSSP-II.
- Conduct safeguard orientation trainings for Mayors, Water Utility heads, Land Administration heads, Micro and Small scale Enterprise heads, Health office heads and justice office heads and Water Board members of the participating cities for two days.
- Conduct awareness raising and orientation training for 35 Engineers and Technicians from MoWIE, regional Water Bureaus and 21 participating towns for 5 days (Operational Policy 4.12 on Involuntary Resettlement, and the Resettlement Policy Framework require capacity building)
- Organize exposure visit and training for safeguard experts abroad for 20 experts (2 from MoWIE and 18 from participating towns).

S N	Type of training	Participants' per-diem			Facilitators cost		Logistics Cost	Frequ ency	Sub-total cost in USD
		Particip ant	# of days	Sub-total in USD	# of days	Sub- total			
1	Training of Trainers (ToT) on WB safeguard Policies and the UWSSP safeguard instruments	20	7	4,200.00	16	2,400	2,900.00	2	19,000.00
2	Training for the 21 cities'/ town's safeguard experts	21	5	3,150.00	8	720	2,400.00	2	12,540.00
3	Orientation workshop for stakeholders at each cities/towns	21 cities 15 ppl	2	6,300.00	4	400	3,150.00	2	19,700.00
4	Safeguard training for Engineers and technicians	35	5	5,250.00	8	960	3,900.00	1	10,110.00
5	Exposure visit for 20 participants (it includes cost of travel, full accommodation and cost of training)			40,000.00				1	40,000.00
6	For monitoring and Evaluation of safeguard activities including for screening (from Federal to city level)			5,000.00				4	20,000.00
7	RAP Preparation cost (assuming one RAP per participating city * one consultant engaged for 30 days on average per city@\$300*day)	22	30	9,000.00				22	198,000.00
	Sub Total								319,350.00
	10% Contingency								31,935.00
	Total in USD								351,285.00



## **9.5 Implementation Schedules**

Before any sub project investment is implemented, PAPs will need to be fully compensated in accordance with the RAPs. For activities involving land acquisition or loss, denial or restriction to access, it is further required that these measures include provision of compensation and of other assistance required for relocation prior to displacement and preparation of resettlement sites with adequate facilities, where required. Taking of land and related assets may take place only after compensation has been paid and where applicable, resettlement sites and transfer allowances have been provided to displaced persons. For project activities requiring relocation or loss of shelter, the policy further requires that measures to assist the displaced persons are implemented in accordance with the RPF and individual RAPs.

The schedule for the implementation of activities related to specific RAPs, will be prepared based on the principles of this RPF. These will include the target dates for start and completion of civil works, the dates of the possession of land that PAPs are using, dates of the full compensation, dates of transfer of user titles to Land Development and Management Bureau (LDNB), and date of hand over of land to implementing agency. This schedule will be agreed upon by the implementing agency, LDNB and the PAPs. The consultation process will ensure that RAPs contain acceptable measures agreed upon among all stakeholders that link resettlement activity to civil works under each specific investment in compliance with this policy.

The timing of these measures will ensure that no individual or affected household would be displaced (economically or physically) due to civil works activity before compensation is paid and resettlement sites with adequate facilities are prepared and provided for to the individual or homestead affected. Once the RAP is approved by the local and relevant national authorities, the individual RAPs should be sent to the PMU and the World Bank for final review and approval.

Given the nature of UWSS-II Project, preparing an implementing schedule at moment is not possible. Each investment once identified and screened, if required, will prepare an individual implementation schedule in the RAP. Therefore, all RAPs will include an implementation schedule for each activity covering initial baseline and preparation, actual relocation, and post relocation economic and social activities. The plan will include a target date when the expected benefits for resettled persons and hosts community, if relevant, would be achieved. Arrangements for monitoring of implementation of the resettlement and evaluating its impact will be developed during the preparation of individual RAPs implementation schedules. Target dates for achievement of expected benefits to resettled persons and hosts will be set and the various forms of assistance to the resettled persons will be disseminated to them.

Planning and coordination of the tasks of the various actors involved in the RAP implementation will be key to successful RAPs implementation. To achieve this, workshops will be organized with the stakeholders and other relevant government agencies, at individual project launching and at the commencement of every project investment identified to have adverse

social impacts. The workshops will focus on (i) taking stock of the legal framework for compensation, (ii) settling institutional arrangements and mechanisms for payment of compensation, (iii) defining tasks and responsibilities of each stakeholder and (iv) establishing a work plan all in accordance to individual tasks in RAP (v) adherence to principles of RPF.

## **10 Monitoring and Evaluation**

### **10.1 General Objectives of Monitoring & Evaluation**

The process of RAP implementation should ensure to improve or at least restore the social and livelihood resources of the PAPs at their pre-project level over a reasonable time with allocated resources. Therefore, monitoring of the RAP implementation has been designed as an integral part of the overall functioning and management of the Project. Evaluation and monitoring are key components of the Resettlement Policy Framework. The objectives are to: (i) ensure that the standard of living of PAPs are restored or improved; (ii) ascertain whether activities are in progress as per schedule and the timelines are being met; (iii) assess whether the compensation, rehabilitation measures are sufficient; (iv) identify problems or potential issues; and (v) monitor specific situations or difficulties arising from the implementation, and of the compliance of the implementation with objectives and methods as set out in this Resettlement Policy Framework. Evaluation of the mid- and long-term impacts of the Resettlement and Relocation Action Plan on affected households' livelihood, environment, local capacities, on economic development and settlement.

Auditing and monitoring aims to correct implementation methods during the course of the Project, as required, while evaluation is intended at checking whether policies have been complied with and providing lessons learnt for amending strategies and implementation in a longer term perspective. Monitoring will be internal and evaluation external. Monitoring will aim to capture the following aspects:

- Ascertain whether activities are in progress as per schedule and the timelines are being met;
- Assess whether the compensation, rehabilitation measures are sufficient;
- Identify problems or potential issues;
- Identify methods to rapidly mitigate problems;
- Local communities remaining supportive of the project;
- project affected persons reporting satisfaction with the resettlement operation;
- To identify the satisfaction of affected people with the actual resettlement process;
- To identify affected people have been paid in full and before implementation of any UWSS sub project that is causing resettlement;
- Selection and distribution of replacement land areas (if any);
- Income restoration activities (assistance in livelihood restoration: agriculture and business re-establishment and assistance); and
- Grievances and grievance management system;

### **10.2 Reporting**

The UWSS Project will keep the following statistics on an annual basis:

- Numbers of households and individuals affected by Project activities,
- Numbers of households and individuals relocated as a result of Project activities and their

- destinations,
- Amounts of compensation paid,
- For each household having received compensation, date when displacement occurred and date when compensation was actually delivered,
- Number of grievances registered,
- Construction: indicators relevant to the works being carried out.

### **10.3 Evaluation**

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. Reference documentation for the evaluation will be the following:

- This Resettlement Policy Framework;
- The Ethiopian laws and regulations as described above;
- The applicable World Bank Safeguard Policies as they stand in January 2007, i.e. OP 4.12 “Involuntary Resettlement.”

Evaluation has the following specific objectives:

- General assessment of the compliance of the implementation of resettlement activities with objectives and methods as set out in this document;
- Assessment of the compliance of the implementation of resettlement activities with laws, regulations and safeguard policies as stated above;
- Assessment of resettlement and relocation procedures as they have been implemented;
- Evaluation of the impact of the resettlement and relocation projects on incomes and standard of living, with focus on the “no worse-off if not better-off” requirement;
- Identification of actions to take as part of the on-going monitoring to improve the positive impacts of the project and mitigate its possible negative impacts, if any.

### **10.4 Reporting Requirements**

As presented here above, all implementing entities will develop bi-annual safeguard monitoring reports of the RPF and if prepared RAP/ARAP implementation. PIU at participating cities and towns will prepare regular or quarterly performance monitoring report beginning with the commencement of any activities related to resettlement, including income/livelihoods restoration. These reports will summarize information that is collected and compiled in the quarterly narrative status and compensation disbursement reports and relevant monitoring indicators as described below, and highlights key issues that have arisen. The report contents are detailed in the ESMF. All monitoring and evaluation documents will be submitted to the Environmental and Social Impact Assessment office under MoWIE.

## 10.5 Indicators

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 12-1 provides a set of indicators which can be used.

**Table 6-Types of Verifiable Indicators**

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

Monitoring (of issues)	Evaluation (of impacts)
resettled PAPs who earn income from affected property ( e.g. shops, kiosks, market stall, MSEs)	<ul style="list-style-type: none"> <li>• Amount of improved production/household</li> </ul>
Livelihood restoration programs Completed	<ul style="list-style-type: none"> <li>• Changes (+/-) in affected households income levels;</li> <li>• Training provided / number of trainees</li> <li>• Successful transformation to new sector;</li> <li>• PAPs graduated to higher investment</li> </ul>
Overall management	<ul style="list-style-type: none"> <li>• Effectiveness of compensation delivery system</li> <li>• Timely disbursement of compensation</li> <li>• Census and asset verification/quantification procedures in place</li> <li>• Coordination between local community structures, and implementing agencies.</li> </ul>
Social services	<ul style="list-style-type: none"> <li>• Availability of Schools health and Market facilities</li> </ul>

## 10.6 Completion Audit

The MoWIE 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 UWSSP PIU's at various level liability for resettlement.

## Annexes

### Annex 1: Definitions

#### Definitions

The resettlement Policy Framework (RPF) is an important document which will guide anticipated resettlement and rehabilitation that may be caused due to Sub project implementation. Hence it is imperative that various terminologies are clearly understood.

**Project: the UWSS project**

**Sub-project:** A sanitation and/or water supply project within the UWSS project benefiting one particular urban area or town.

**Project-Affected Person (PAP):** Any person who, as a result of the implementation of the Project, loses the right to own, use, or otherwise benefit from a built structure, land (residential, agricultural, or pasture), annual or perennial crops and trees, or any other fixed or moveable asset, either in full or in part, permanently or temporarily. Not all PAPs need to move due to the Project. PAPs may include:

- Physically Displaced People, i.e. people subject to Physical Displacement and
- Economically Displaced People, i.e. people subject to Economic Displacement as defined hereunder.

**Physical Displacement:** Loss of shelter and assets resulting from the acquisition of land associated with the Project that requires the affected person(s) to move to another location.

**Economic Displacement:** Loss of income streams or means of livelihood resulting from land acquisition or obstructed access to resources (land, water or forest) caused by the construction or operation of the project or its associated facilities. Not all economically displaced people need to relocate due to the Project.

**Project-Affected Household (PAH):** A PAH is a household that includes Project-Affected Persons as defined above. A PAH will usually include a head of household, his/her spouse and their children, but may also include other dependents living in the same dwelling or set of dwellings, like close relatives (e.g., parents, grandchildren).

**Affected area:** Means such area as may be notified by the City Administration of Addis Ababa and secondary cities under the relevant Land Acquisition Acts for the purpose of land required for the sub- project implementation.

**Consultation:** The RPF seeks to ensure that affected communities are meaningfully consulted, have participated in the planning process.

**Entitlement:** A variety of measures comprising compensation, income restoration, transfer assistance, income substitution, relocation and other benefits which are due to project intervention, depending on the nature of their losses, to restore their economic and social base.

**Compensation:** Payment in cash or in-kind at replacement value for an asset or a resource that is acquired or affected by the Project at the time the assets need to be replaced. In this RPF, "cash compensation" means compensation paid in cash or by cheque.

**Cut-Off Date:** The cut-off date is the date of commencement of the census of Project Affected Persons or Displaced Persons within the sub project area boundary. This is the date on and beyond which any person whose land is occupied for project will not be eligible for compensation. Similarly, fixed assets established after the cut off date are not eligible for compensation.

**Eligibility:** All PAPs living in the Project area before the cut-off date will be considered for compensation for their losses and/or rehabilitation assistance.

**Resettlement Assistance:** Support provided to people who are physically displaced by the Project. Assistance may include transportation, and social or other services that are provided to affected people during their relocation. Assistance may also include cash allowances that compensate affected people for the inconvenience associated with resettlement and defray the expenses of a transition to a new locale, such as moving expenses and lost work days.

**Rehabilitation:** Reestablishing incomes, livelihoods, living and integration with social system.

**Income Restoration:** Reestablishing income sources and livelihood of project affected persons.

**Replacement Value:** The rate of compensation for lost assets must be calculated at full replacement value, that is, the market value of the assets plus transaction costs. The replacement value must reflect the cost at the time the item must be replaced. With regard to land and structures, "replacement value" is defined as follows:

- Agricultural land/urban agricultural area/: the market value of land of equal productive use or potential located in the vicinity of the affected land, plus the cost of preparation to levels similar to or better than those of the affected land, plus the cost of any registration and transfer taxes;
- Land in urban areas: the market value of land of equal size and use, with similar or improved public infrastructure facilities and services, preferably located in the vicinity of the affected land, plus the cost of any registration and transfer taxes; Household and public structures: the cost of purchasing or building a new structure, with an area and quality similar to or better than those of the affected structure, or of repairing a partially affected structure, including labor and contractors' fees and any registration and transfer taxes.

In determining the replacement cost, depreciation of the asset and the value of salvage materials are not taken into account, nor is the value of the benefits to be derived from the Project deducted from the valuation of an affected asset.

**Host population:** people living in or around areas to which people physically or economically displaced by the sub- project will be resettled who, in turn may be affected by the resettlement.

**Vulnerable Groups:** People who by virtue of gender, ethnicity, age, physical or mental disability, economic disadvantage, or social status may be more adversely affected by resettlement than others and who may be limited in their ability to claim or take advantage of resettlement assistance and related development benefits. These includes, orphan children, pregnant and lactating mothers, elderly households, people without shelter, street dwellers, beggars, persons with disabilities, commercial sex workers, unemployed Youth, elders, Households headed by women who are labour-poor that depend on sons, brothers, high-risk households with sick individuals, such as people living with HIV and AIDS, and the majority of female-headed households with young children.



***Gender Equity:*** Recognition of both genders in the provision of entitlements, treatment and other measures under Social Management Action Plan or Resettlement Action Plan.

## **Annex-2 Social screening form**

The Social Screening Form (SSF) has been designed to assist in the evaluation of sub-projects of the Water Supply and Sanitation Program in Ethiopia. The form is designed to place information in the hands of implementers and reviewers so that impacts and their mitigation measures, if any, can be identified and/or that requirements for further environmental analysis be determined.

The SSF contains information that will allow reviewers to determine the characterization of the prevailing local bio-physical and social environment with the aim to assess the potential sub-project impacts on it. The SSF will also identify potential socio-economic impacts that will require mitigation measures and/or resettlement and compensation.

Scheme Type: \_\_\_\_\_

Sector: \_\_\_\_\_

Region: \_\_\_\_\_

Name of Urban/Town in which the sub-project to be implemented

Name of the Approving Authority

Name, job title, and contact details of the person responsible for filling out this ESSF:

Name:

Job title:

Telephone numbers:

E-mail address...

Date:

Signature:

### **Resettlement and/or Land Acquisition**

Will involuntary resettlement, land acquisition (public or private, temporarily or permanently), relocation of property, or loss will be caused by project implementation?

Yes \_\_\_\_\_ No \_\_\_\_\_

### **Loss of Crops, Fruit Trees and Household Infrastructures**

Will the project result in the permanent or temporary loss of crops, fruit trees and household infra-structure (such as granaries, outside toilets and kitchens, livestock shed etc.)?

Yes \_\_\_\_\_ No \_\_\_\_\_

### **Block of access and routes or disrupt normal operations in the general area**

Will the project interfere or block access, routes etc. (for people, livestock and wildlife) or traffic routing and flows? Yes \_\_\_\_\_ No \_\_\_\_\_

Will the sub project activities reduce other people's access to their economic resources, like land, pasture, water, public services or other resources that they depend on?      Yes  
\_\_\_\_\_No\_\_\_\_\_

**Impact on Vulnerable People**

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 applicant is expected to explain how he/she intends to mitigate them. Implementation of the mitigation measures will require using the RPF

**Public Consultation**

Has public consultation and participation been sought? Yes \_\_\_\_\_No\_\_\_\_\_

Document meetings in the meeting form and attach to this SSF

### **Annex 3: Framework for the census of affected Assets and Affected persons**

#### **AFFECTED HOUSEHOLD SHEET**

#### **AFFECTED PLOT SHEET**

##### **Reference:**

##### **Household Reference:**

Location:\_\_\_\_\_Regional State:\_\_\_\_\_ Woreda/Urban:\_\_\_\_\_Kebelle:\_\_\_\_\_

GPS Coordinates:\_\_\_\_\_

Description of Soil:

Perennial Crops: 1. \_\_\_\_\_ owner\_\_\_\_\_

2. \_\_\_\_\_ owner\_\_\_\_\_

Annual Crops: 1. \_\_\_\_\_ owner\_\_\_\_\_

2. \_\_\_\_\_ owner\_\_\_\_\_

Trees: 1. \_\_\_\_\_ owner\_\_\_\_\_

2. \_\_\_\_\_ owner\_\_\_\_\_

Structure: Channels owner

Anti-erosive structures: owner

Building: owner

Users: User 1: Surface used Regime of tenure

User 2: Surface used Regime of tenure

User 3: Surface used Regime of tenure

User 4: Surface used Regime of tenure

Valuation proposal (details of calculation on attached sheet):

Crops:

Structure:

Proposed distribution of compensation:

User 1:

User 2:

User 3:

User 4:

Date:                      Prepared by:

## **AFFECTED BUILDING SHEET**

Reference:

Location:\_\_\_\_\_Regional State:\_\_\_\_\_                      Woreda/Urban:\_\_\_\_\_Kebelle:\_\_\_\_\_

GPS Coordinates:\_\_\_\_\_                      photograph number \_\_\_\_\_

Location:\_\_\_\_\_Regional State:\_\_\_\_\_                      Woreda/Urban:\_\_\_\_\_Kebelle:\_\_\_\_\_

Owner: Full Name:\_\_\_\_\_

Address:\_\_\_\_\_

### **Description:**

Permanent \_\_\_\_\_                      Non permanent \_\_\_\_\_

Surface: \_\_\_\_\_                      Number of rooms : \_\_\_\_\_

Walls:\_\_\_\_\_                      Material\_\_\_\_\_                      Condition \_\_\_\_\_

Roof:\_\_\_\_\_                      Material\_\_\_\_\_                      Condition \_\_\_\_\_

Floor:\_\_\_\_\_                      Material \_\_\_\_\_                      Condition \_\_\_\_\_

Annexes outside:                      Latrine:\_\_\_\_\_ Bathroom:\_\_\_\_\_ Kitchen:\_\_\_\_\_ Others:\_\_\_\_\_

### **Additional features:**

Permanently inhabited by: \_\_\_\_\_                      Regime of occupation: \_\_\_\_\_

Periodically inhabited by: \_\_\_\_\_                      Regime of occupation: \_\_\_\_\_

Valuation proposal (details of calculation on attached sheet):

Proposed distribution of compensation:

User 1:

User 2:

User 3:

User 4:

Date: \_\_\_\_\_ prepared by: \_\_\_\_\_

## AFFECTED HOUSEHOLD SHEET

Household Reference:

Location: \_\_\_\_\_ Regional State: \_\_\_\_\_ Woreda/Urban: \_\_\_\_\_ Kebelle: \_\_\_\_\_

Reference of Affected Asset:

Type: \_\_\_\_\_ Structure \_\_\_\_\_ Plot \_\_\_\_\_ Crop \_\_\_\_\_

Reference of Affected Asset Sheet:

### Household Information:

Head of Household: Name: \_\_\_\_\_ Sex: \_\_\_\_\_

Age: \_\_\_\_\_ Identity Document: \_\_\_\_\_

Type: \_\_\_\_\_ Number: \_\_\_\_\_

Occupation: \_\_\_\_\_

Member of Household:

### Household Interview

Name and Surname	Relationship to Head of Family	Sex		Place of Birth	Age	Marital Status	Residence Tenure	Ethnic Group	Religion	Educational Level	Occupation	Income		Monthly
		M	F									Yes	No	
1.														
2.														
3.														
4.														
5.														
6.														
7.														

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; 8  
9 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; 5 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. Degree and above 7. Religious School; 0 No Answer

**Religion:** 1 Christian (specify denomination); 2 Muslim; 3 Other (specify); 0 No Answer

Socio-Economic Information:

Occupations:

Head of Household:

Other members of Household:

Number: Occupation:

Number: Occupation:

Number: Occupation:

Number: Occupation:

Total Estimated Household monthly Cash Income:

Project Impact:

Assessment of the Impact of the Loss of the Affected Asset on Household's Livelihood:

Proposed Compensation or Resettlement Package Household's Wishes

Proposed Package

Proposed Livelihood Restoration Package: Household's Wishes

Proposed Package

**Annex 4: Outline of a Resettlement Action Plan**

**Reference:** OP 4.12, annex A.

1. Description of the sub-project and of its potential land impacts
  - 1.1 General description of the project and identification of the project area
  - 1.2 Potential impacts. Identification of
    - 1.2.1 the project component or activities that give rise to resettlement;
    - 1.2.2 the zone of impact of such component or activities;
    - 1.2.3 the alternatives considered to avoid or minimize resettlement; and
    - 1.2.4 the mechanisms established to minimize resettlement, to the extent possible, during project implementation.
2. Objectives. The main objectives of the resettlement program
3. Socioeconomic studies. The findings of socioeconomic studies to be conducted in the early stages of project preparation and with the involvement of potentially displaced people, including:
  - 3.1 the results of a census survey covering current occupants of the affected area to establish a basis for the design of the resettlement program and to exclude subsequent inflows of people from eligibility for compensation and resettlement assistance;
  - 3.2 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;
  - 3.3 the magnitude of the expected loss—total or partial—of assets, and the extent of displacement, physical or economic;
  - 3.4 Information on vulnerable groups or persons as provided for in OP 4.12, para. 8, for whom special provisions may have to be made; and
  - 3.5 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.
- 3.6 Other studies describing the following
  - 3.6.1 land tenure 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 project area;
  - 3.6.2 The patterns of social interaction in the affected communities, including social networks and social support systems, and how they will be affected by the project;
  - 3.6.3 public infrastructure and social services that will be affected; and



- 3.6.4 Social and cultural characteristics of displaced communities, including a description of formal and informal institutions (e.g., community organizations, ritual groups, nongovernmental organizations (NGOs)) that may be relevant to the consultation strategy and to designing and implementing the resettlement activities.
4. Legal and Institutional Framework.
  - 4.1 Summary of the information included in this RFP
  - 4.2 Local legal specificities if any
  - 4.3 Local institutional specificities
    - 4.3.1 Identification of agencies locally responsible for resettlement activities and NGOs that may have a role in project implementation;
    - 4.3.2 Assessment of the institutional capacity of such agencies and NGOs; and
5. Eligibility. Based on this RFP, definition of displaced persons and criteria for determining their eligibility for compensation and other resettlement assistance, including relevant cut-off dates.
6. Valuation of and compensation for losses. The methodology to be used *in* valuing losses to determine their replacement cost; and a description of the proposed types and levels of compensation under local law and such supplementary measures as are necessary to achieve replacement cost for lost assets.
7. Resettlement measures:
  - 7.1 Description of the packages of compensation and other resettlement measures that will assist each category of eligible displaced persons to achieve the objectives of the policy (see OP 4.12, para. 6).
  - 7.2 Site selection, site preparation, and relocation. Alternative relocation sites considered and explanation of those selected.
  - 7.3 Legal arrangements for regularizing tenure and transferring titles to resettlers.
  - 7.4 Housing, infrastructure, and social services.
  - 7.5 Environmental protection and management.
- 7.6 Community participation. Involvement of resettlers and host communities
  - 7.7 Integration with host populations. Measures to mitigate the impact of resettlement on any host communities
8. Grievance procedures. Affordable and accessible procedures for third-party settlement of disputes arising from resettlement: such grievance mechanisms should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.
9. Organizational responsibilities. The organizational framework for implementing resettlement, including identification of agencies responsible for delivery of resettlement measures and provision of services; arrangements to ensure appropriate coordination between agencies and jurisdictions involved in implementation; and any measures (including technical assistance) needed to strengthen the implementing agencies' capacity to design and carry out

resettlement activities; provisions for the transfer to local authorities or resettlers themselves of responsibility for managing facilities and services provided under the project and for transferring other such responsibilities from the resettlement implementing agencies, when appropriate.

10. Implementation schedule. An implementation schedule covering all resettlement activities from preparation through implementation, including target dates for the achievement of expected benefits to resettlers and hosts and terminating the various forms of assistance. The schedule should indicate how the resettlement activities are linked to the implementation of the overall project.
11. Costs and budget. Tables showing itemized cost estimates for all resettlement activities, including allowances for inflation, population growth, and other contingencies; timetables for expenditures: sources of funds; and arrangements for timely flow of funds, and funding for resettlement, if any, in areas outside the jurisdiction of the implementing agencies.
12. Monitoring and evaluation. Arrangements for monitoring of resettlement activities by the implementing agency, supplemented by independent monitors as considered appropriate by the Bank, to ensure complete and objective information; performance monitoring indicators to measure inputs, outputs, and outcomes for resettlement activities; involvement of the displaced persons in the monitoring process; evaluation of the impact of resettlement for a reasonable period after all resettlement and related development activities have been completed; using the results of resettlement monitoring to guide subsequent implementation.

## **Annex 5: Outline of an Abbreviated Resettlement Plan**

Depending on the extent of the displacement, an ARP should be between 10 and 25 pages, including annexes.

1. Brief Description of the Sub-Project
2. Sub-Project Land Needs
  - Land Needs
  - Justification and Minimization
3. Census Survey of Displaced Persons and Valuation of Assets
  - Methodology
  - Results
  - Affected Assets
  - Socio-Economic Features and Affected People's Livelihoods
4. Description of Compensation and Other Resettlement Assistance
5. Consultation with Displaced People
6. Procedures for Grievance Redress
7. Monitoring & Evaluation

8. Institutional Responsibilities and Arrangements for Implementation
9. Timetable, Budget and Funding Arrangements

### Annex 6: Template itemization of a RAP/ARAP budget

No	Item (break down and detail as appropriate)	Ethiopian Birr	USD	%
A	COMPENSATION			
A1	Compensation for land acquisition			
A2	Compensation for destruction and damage to crops			
A3	Compensation for structures			
A4	Disturbance allowance/social			
A5	Contingencies - other compensations			
	<i>TOTAL COMPENSATION</i>			
B	RESETTLEMENT			%
B1	Resettlement land development			
B2	Housing construction			
	<i>TOTAL RESETTLEMENT</i>			%
C	ADDITIONAL MITIGATIONS			
C1	Livelihood restoration measures			
C2	Vulnerable groups			
C3	Coordination of additional mitigations			
C4	Grievance management			
	<i>TOTAL ADDITIONAL MITIGATIONS</i>			%
D	IMPLEMENTATION COSTS			
D1	Surveying and asset pre-identification			
D2	Valuation			
D3	Coordination and works supervision			
D4	Legal advice			
D5	Monitoring			
D6	Evaluation			
	<i>TOTAL IMPLEMENTATION</i>			%
E	CONTINGENCIES %			%,
	(GRAND TOTAL			100%

## **Annex 7: Screening Criteria for Sites for Resettlement of UWSS-II Project Affected Persons**

1. The site should not be within an environmentally sensitive area
2. The resettlement area should be within reach of social services such as water supply, electricity, roads, hospitals, schools, etc.
3. As far as possible ensure that the PAPs are resettled within or close to their original settlement areas.
4. There should be a sustainable source of water within 500 meters of the site.
5. The site should be large enough to accommodate the Project Affected Persons including public and social services.
6. The site user owners, users and PAPs should be consulted and invited to participate in the meetings and activities of the resettlement.
7. The Project Management Team should secure legal title to the land for resettlement.
8. The site boundaries including individual PAPs as well as public service land allocations should be clearly marked, measured and recorded.
9. There should not be any natural or man made features on the side (e.g. swamps, water pipes, gullies, bedrock, flood plains, graveyards, rock falls, steep cliffs, electricity pylons, etc) to obstruct construction or cause danger to people or building structures.
10. The site must conform to the local development plan for the area or district.
11. The site for resettlement should not result in either physical displacement of people, loss of their shelter, loss of assets, loss of income sources or means of livelihood, or the loss, denial or restriction of people's access to economic resources.

## **Annex 8: Template of a consultation meeting minute form**

Date :

Venue:

Project participants:

- 
- 
- 
- 

Other participants (name, position):

Total number

- 
- 
- 
- 

Objective and agenda of the meeting:

- 
- 
- 
- 
- 

Points addressed by Project:

- 

Points raised by participants:

Follow-up activities:

Prepared by:

Date:

**Annex 9 : sample redressing grievance form**

<b>Aggrieved person:-</b> Full name		<b>Name of the receiver</b>	
Complaint Addressed to:-		Position of the receiver in the Committee	
Address		Signature of the receiver	
Zone		Date	
Urban			
Keble			
Mender/Neighborhood			
Signature of the Complaint			
Date			
Details of Grievances / detailed description of the aggrieved person's version			
<b>Verification and Corrective Action</b>	<b>Actions/ decision</b>	<b>Title and Name of Decision makers</b>	<b>Signature and Date</b>
<b>Reaction of the Complaint</b>	<b>Reply</b>	<b>Signature</b>	<b>Date</b>
Satisfied by the Decision	Yes		
Not Satisfied by the Decision	No		

**NOTE: UNDER SIGNATURE OF APPLICANTS**

Both spouses should sign the application

- Provide copy of compensation forms to PAPs.
- Provide copy of summary compensation form to each PAPs.

Ensure that the information on official and market rates for all types of affected assets are provided to the PAPs

## ANNEX 10: BUDGET FOR GRIEVANCE RESOLUTION COMMITTEE FORM

**Budget for Grievance Resolution Committee:** The grievance resolution committee requires budget to fulfill its tasks. There will be frequent field visits demanding the payment of daily subsistence allowance, Fuel and stationary are some of the expenses.

### Budget for the Grievance Resolution Committee

No	Members	Position	No of urban	Number of Members for Each urban	Days	Unit Rate (USD/day)	Total Budget (USD)
1	<b>Committee Members</b>						
1.1	Municipality representative	Chairperson					
1.2	Community Representative	Member					
1.3	Representatives of PAPs	Member/secretary					
1.4	Women affairs	Member					
1.5	<i>Land Development and Management office</i>	Member					
1.6	<i>Representative of Vulnerable Group</i>	Member					
1.7	Representative of AAWSA	Member/secretary					
	<b>Sub Total</b>						
2	<b>Support Staffs</b>						
2.1	Driver						
2.2	Surveyor						
2.3	Urban Security Office						
	<b>Sub total</b>						
3	<b>Miscellaneous (10%)</b>						
	<b>Total</b>						



### Annex 11. Illustrative Budget Template for the RAP

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

## Annex 12. Illustrative of assumptions on indicative budget

S.No.	Item	Costs	
1	Compensation for loss of Land	/hectare	For land acquisition purposes, based on the city's/urban current market price, or from similar projects
2	Compensation for Buildings and Structures	When applicable	This compensation may be in-kind or/and 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/urban 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

### Annex 13: List of participants in community and stakeholders discussion

#### Consultation workshop

Sept 5-6, 2016

#### Participants

No.	Name	Organization	Responsibility	Email	Telephone
1	Haramo Hasana	Hawassa WSSSE	G/Manager	<a href="mailto:hmrlogita@gmail.com">hmrlogita@gmail.com</a>	930279511
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8	Yirga Alemu	Gonder Water Supply	G/Manager	<a href="mailto:yirgale@yahoo.com">yirgale@yahoo.com</a>	918350113
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12	Tesfaw Ashagrie	WB	Consultant		
13	Eyob Defere	WB	Consultant		
14	Yitbarek Tessema	WB	TTL	<a href="mailto:ytessema@worldbank.org">ytessema@worldbank.org</a>	910368724
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28	Negussie Ejigu	A.W.U.Form	manager		918353278
29	Asrat kassie	Amhara Water	Water supply owner	<a href="mailto:asratkss@gmail.com">asratkss@gmail.com</a>	918710829
30	Awet Arefe	Mekelle WSSO	Vice General Manager	<a href="mailto:awetareffo@gmail.com">awetareffo@gmail.com</a>	914754845
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35	Daniel Atsbeha	TWRB	Civil engineer		920427991
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40	Molla Hagos	Afar WRB	Water Supply Core pro.	<a href="mailto:mollahagos43@gmail.com">mollahagos43@gmail.com</a>	921789373
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45	Fikadu Asrat	AAWSA-PO	safeguard exp.	<a href="mailto:fikaduasrat522@gmail.com">fikaduasrat522@gmail.com</a>	911876738
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47	Abeyew Wassie	FMoH	H&EH expert	<a href="mailto:abamelese@yahoo.com">abamelese@yahoo.com</a>	911301974
48	Shewanesh Demeke	MoWIE	WWM coordinator	<a href="mailto:shewi55@yahoo.com">shewi55@yahoo.com</a>	911875771

### List of people consulted in Addis Ababa

Consultation meeting with Stake holders  
UWSIP-Phase II

Date Sept 28, 2016  
Venue - AAWSA-PO, 5th floor

List of attendants has to present as follows

S.No	Name	Title	Organization/office	E- mail	Mobile/phone	Signature
1	አሳለ ገብረ	Engineer IV	AAWSA PO	<a href="mailto:akalugem@gmail.com">akalugem@gmail.com</a>	0911795890	
2	አና. ገብረ	Engineer IV	AAWSA PO	<a href="mailto:hannaonthemove@yahoo.com">hannaonthemove@yahoo.com</a>	0912 013683	
3	መስቀል ገብረ	ISc officer	mos ne	<a href="mailto:mesqabe20@gmail.com">mesqabe20@gmail.com</a>	0918028080	
4	አቶ ሀሳኑ	EIA officer	አ.አ. አጠቃላይ	<a href="mailto:falech97@gmail.com">falech97@gmail.com</a>	0911189851	
5	ሀይለማርያም ገብረ	Environmentalist	AAWSA PO	<a href="mailto:mergeshaemal@yahoo.com">mergeshaemal@yahoo.com</a>	0912061567	
6	ገብረ ገብረ	Environmentalist	AAWSA-PIO	<a href="mailto:guieatt@gmail.com">guieatt@gmail.com</a>	0911143915	
7	መስቀል ገብረ	ISc officer	AAWSA	<a href="mailto:akalumeikamu@yahoo.com">akalumeikamu@yahoo.com</a>	09-20-83-63-72	
8	ደምሳሌ ገብረ	ISc officer	AAWSA	<a href="mailto:solomoniyonas73@yahoo.com">solomoniyonas73@yahoo.com</a>	0913092927	
9	ገብረ ገብረ	ISc officer	AAWSA	-	0911741328	
10	ሀይለማርያም ገብረ	Environmentalist	AAWSA	<a href="mailto:hailamarew@gmail.com">hailamarew@gmail.com</a>	0911 623741	
11	ሀይለማርያም ገብረ	Environmentalist	AAWSA	-	0918712664	
12	ደምሳሌ ገብረ	ISc officer	AAWSA	<a href="mailto:minukennem@yahoo.com">minukennem@yahoo.com</a>	0911535559	
13	ሀይለማርያም ገብረ	Environmentalist	AAWSA	-	094225649	
14	ሀይለማርያም ገብረ	Environmentalist	AAWSA	<a href="mailto:osefu.ashenafi@gmail.com">osefu.ashenafi@gmail.com</a>	0982098554	
15	ደምሳሌ ገብረ	ISc officer	AAWSA	-	0937-64-24-61	
16	ሀይለማርያም ገብረ	Environmentalist	AAWSA	-	0913816017	
17	ሀይለማርያም ገብረ	Environmentalist	AAWSA	-	0911059002	

**List of Consultation Meeting Participants from Debre Birhan, Bishoftu, Adama and Dire Dawa towns**

S.No	Name of the Participant	Telephone No	Signature
<b>Debre Birhan town participants</b>			
1	Ato Awrarise Agera	0920318445	
2	Ato Tilahun Mulugeta	0923769851	
3	Ato Tesfaye Gebrehiwot	0913250588	
4	Ato Birkshet W/Mariame	0912440225	
5	Ato Shewa Lema Tefera	0912909375	
6	Ato Haile Giworgies Tafese	0941135111	
<b>Bishoftu town participants</b>			
1	Ato Gezahage Getachewu	0911667809	
2	Ato Haymanot Natea	0960988591	
3	Ato Abebe Bekele	0911384163	
4	Ato Hailu Achele	0911718775	
5	W/o Negata Tadesse	0922489710	
6	Ato Dereje jara	0910748828	
7	Ato Bayu Yadeta		
<b>Adama town participants</b>			
1	Ato Hassen Keder	0911252867	
2	Ato Mulatu Dinessa	0912891225	
3	Ato Dereba Degefa	0911842123	
4	Ato Derese Feyesa	0911044709	
5	Fereda Nuru	0912005070	
6	Kokobe Aklilu	0912472940	
7	Amina Enkushi	0910949168	
8	Ato Gezagage Regassa	0911990699	
9	Regassa Leme	0911490489	
<b>Dire Dawa town participants</b>			
1	Ashagre Feysa Kiti		
2	Fantu Siyum		
3	Hailemariam Tekle		
4	Abebe Girma		
5	Nigusu Mengstie		
6	Meron Alem		
7	Kasahun Bekele		
8	Suliman Bedele		
9	Fethi Ahmed		
10	Alemayehu Mekonen		

11	Belayneh Desta		
12	Reshid Abdulahi		
13	Efrem Ayele		
14	Hailu Tekilu		
15	Eliyas Teshome		
16	Abdulaziz Mohamed		
17	Zemedikun Tekile		