The Federal Democratic Republic of Ethiopia

Ministry of Agriculture

Environmental and Social Management Framework (ESMF)

Ethiopia Resilient Landscapes and Livelihoods Project
Additional Financing (P172462)

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LIST OF ACRONYMS

AGP	Agricultural Growth Program of MoA
AI	Artificial Insemination
AOP	Alignment of Operations
BoA	Bureau of Agriculture
CBPWDG	Community Based Participatory Watershed Development Guideline
CC	Commune Centers
CDP	Commune Development Program
CMW	Critical Micro-Watershed
CoEFCC	Commission of Environment, Forest and Climate Change
CRGE	Climate Resilient Green Economy
CSA	Climate Smart Agriculture
CSA	Central Statistical Agency
CSRP	Community Storage Receipts Programs
DA	Development Agent
DBE	Development Bank of Ethiopia
DO	Development Objective
DRDIP	Development Response to Displacement Impact Project of MoA
DRS	Developing Regional States
EA	Environmental Assessment
EE	Energy Efficient
EIAR	Ethiopian Institute of Agricultural Research
EPLAU	Environmental Protection and Land Administration Unit
ESA	Environmental and Social Assessment
ESF	Environment and Social Framework
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESPAWM	Exit Strategy and Performance Assessment for Watershed Management: A Guideline for Sustainability
ESS	Environmental and Social Safeguard
FDRE	Federal Democratic Republic of Ethiopia
FTC	Farmers Training Centre
GEF	Global Environmental Facility
GHG	Green House Gas
GIRP	Grievance Investigation and Resolution Process
GoE	Government of Ethiopia
GRM	Grievance Redress Mechanism
GRS	Grievance Redress Service
GTP	Growth and Transformation Plan
HDW	Hand Dug Well
IAs	Implementing Agencies
IDA	International Development Association
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
IGAs	Income Generating Activities
IPMP	Integrated Pest Management Plan
KFW	Kreditanstalt fuer Wiederaufbau

KWT	Kebele Watershed Team
LDCF	Least Development Countries Fund
M&E	Monitoring and Evaluation
MoA	Ministry of Agriculture
MoF	Ministry of Finance
MoWIE	Ministry of Water, Irrigation and Energy
MTR	Mid-Term Report
NSC	National Steering Committee for RLLP
NTC	National Technical Committee for RLLP
NTFP	Non Timber Forest Products
OP/BP	Operational Policy/Bank Procedure
PAD	Project Appraisal Document
PAPs	Project Affected Persons
PCDP	Pastoral Community Development Project
PCU	Project Coordination Unit
PDO	Project Development Objective
PIM	Project Implementation Manual
RAP	Resettlement Action Plan
RE	Renewable Energy
RoEFCC	Regional Office of Environment, Forest and Climate Change
RLLP	Resilient Landscapes and Livelihoods Project of MoA
ROW	Right-of-Way
RPF	Resettlement Policy Framework
RSC	Regional Steering Committee
SA	Social Assessment
SD	Spring Development
SHG	Self Help Group
SLLC	Second Level Landholding Certification
SLM	Sustainable Land Management
SLMP-I	Sustainable Land Management Project-I
SLMP-II	Sustainable Land Management Project-II
VLD	Voluntary Land Donation
WB	The World Bank
WFP	Woreda Focal Person
WLRC	Water and Land Research Centre
WTC	Woreda Technical Committee
WUAs	Water Users Associations

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EXECUTIVE SUMMARY

The intersection of land management, rights, and use forms the key development issue for millions of rural Ethiopians facing water insecurity, food insecurity, land tenure insecurity, and livelihood insecurity – all amplified by climate variability and change. Climate impacts in Ethiopia are felt primarily through water stress, which is affected by land use and degradation that undermines watershed function. In Ethiopia, the estimated cost of land degradation is 2-3% of GDP, before accounting for downstream effects, such as increased flood risk. The proven remedy centers on delivering a combination of better natural resource management and resource rights, jobs and livelihood enhancements, and gender outreach throughout targeted major watersheds. Restoration effects include a range of resilience-related results, including increased soil moisture and soil fertility important for higher and less variable crop yields, improved water availability, and increased carbon sequestration– all of which are high priorities for the government. Much progress has been made by the government and thousands of local communities to address these challenges through proven investment packages financed by the World Bank. However, this work requires more innovation, more financing, more coordination, and much greater scale if the country is to meet its resilience and low carbon objectives while achieving middle income status in less than 10 years as planned.

The World Bank, together with other Development Partners (DPs), has been financing Ethiopia's Federal Ministry of Agriculture (MoA) Sustainable Land Management Program in six regional states of the Ethiopian highlands to transform the way landscapes are managed by convening sectors, providing resources and partners (IDA, Norway, Canada, Germany, GEF, LDCF) to invest in a holistic and coordinated fashion. Results from SLMP-II financing are well documented in 135 major watersheds in 135 woredas (districts) in the six regional states (Amhara, Oromia, Tigray, Gambella, SNNPRS and Benishangul Gumuz) during a major drought period: water and food security are boosted, degraded lands are brought back into production for local farmers, dry season base flow of streams and depth to water table are improving. And protective vegetation cover was either maintained or expanded, as verified by remote sensing. Smallholder farmers regularly express how their identity and sense of place has also been restored through landscape restoration and improved legal resource rights.

Resilient Landscapes and Livelihoods Project (RLLP) would build upon the implementation structure and the built capacity that existed during the last two phases of SLMP. Both at national and regional level environmental and social safeguard specialists are recruited; the institutions and their staff at all levels of the government existing implementation structure, i.e. federal, regional, zone, woreda (district) and kebele (sub-district) level are generally capacitated and ready to implement in the project environmental and social safeguard activities; Grievance Redress Mechanism (GRM) is in place at all levels of the project implementation and would be expanded and enhanced under the new operation. The project, i.e. RLLP is a five year program and will be implemented during the period 2019-2024. It builds on the results of the SLMP-I & SLMP-II and introduces measures to address climate change/variability related risks

and maximize Green House Gas (GHG) emission reductions and improve the livelihoods of the vulnerable small holder farmers so as to meet the Growth and Transformation Plan (GTP) and the Climate Resilient Green Economy (CRGE) goals of the country. This is achieved by reducing land degradation and improving land productivity of small holder farmers. The project will be implemented in 135 existing SLMP-II Woredas, 18 Global Affair Canada (GAC[1]) supported existing woredas and 57 newly added woredas and watersheds through the existing government structures and community institutions in the six regional states mentioned above. GAC will be implemented in Oromia, Tigray and Amhara regions. The environmental and socioeconomic milieu of the intervention areas are characterized by high production potential but with significant limitations due to severe land and forest degradation, high agro-ecological variability and diverse farming systems, sedimentation to rivers, high population density and land fragmentation.

This ESMF document is prepared to enhance the positive impacts; avoid, and mitigate the negative environmental and social impacts that may arise from the implementation of sub-projects to be financed under some of the project components in the RLLP. It (the ESMF) is prepared by collecting primary and secondary data as well as compiling information through extensive review of relevant project documents including proclamations and guidelines at the Federal and Regional levels, environmental policies, laws, regulations; undertaking consultative discussions with project team members of the Project Coordination Unit (PCU) and other flagship programs and/or projects in the Ministry of Agriculture (MoA); consultations with legal experts at the Commission of Environment, Forest and Climate Change (CoEFCC.) and environmental and social regulatory experts at representative regional Bureaus. In addition, consultations with Woreda focal persons and local communities were held during a field visit to selected existing and newly added RLLP targeted Woredas and watersheds. The World Bank safeguards policies that Resilient Landscapes and Livelihoods Project (RLLP) triggers were also reviewed when preparing this ESMF. AGP, PASIDP, DRDIP, LFSDP, PSNP, CoEFCC (REDD+) and PCDP Environmental and Social Management Framework documents were also reviewed.

The RLLP has four major components with their own objectives: Component 1: Green Infrastructure and Resilient Livelihoods; Component 2. Investing in Institutions and Information for Resilience; Component 3. Rural Land Administration and use; and Component
4. Project Management and Reporting. Component 1 and 3 have range of activities including community access road construction, water harvesting structures, degraded forest rehabilitation and reforestation, gully rehabilitation, area closure, land mapping and registration, most of which may involve manipulation of landscapes and resources, and or affect the use rights (tenure rights) of people and/or their access rights to resources. These activities may cause some unforeseen negative environmental and social impacts. These impacts may include

[1] GAC woredas are those woredas that were supported by DFATD.

biodiversity loss, natural habitat and cultural resources destruction, soil erosion and sedimentation, restriction of access to resources, flooding, involuntary loss of land and displacement of people, pollution and prevalence of diseases.

Project activities, particularly those in agriculture (introduction of high value crops and use of pesticides, introduction of new varieties of crops, new fruit tree species and varieties, high yielding varieties) may increase the use of agrochemicals (insecticides, herbicides, fertilizers, etc.). Detailed mitigation measures are outlined in this document. This include, inter alia, integrated pest management (following the WBG EHS guidelines), practicing reduced and/or zero tillage (often known as “low till” or “no till”), as well as direct seeding and planting, to minimize damage to soil structure, conserve soil organic matter, and reduce soil erosion. Infringing on protected natural sites and critical habitats or areas with significant biodiversity (e.g. wetlands) will be avoided. As much as possible, apply the use of a variety of multipurpose and fast-growing indigenous tree species to avoid monoculture in afforestation/reforestation activities. Mitigation measures for the likely impacts of water harvesting activities include locating irrigation schemes where water supplies are adequate and the scheme will not conflict with existing human, livestock, wildlife or aquatic water uses; assessing ecology of disease carriers in the project area, and employ suitable prevention and mitigation measures, e.g. siting and orienting water works, fields and furrows to ensure adequate natural drainage of surface water. Component 2 and 4, are focused on capacity building and knowledge management, monitoring and evaluation, implementation of safeguard instruments, etc. and may not have any adverse environmental and social risks. Therefore, this ESMF is prepared to manage and mitigate the negative impacts arising from the first and third components.

The ESMF outlines procedures to be followed during the screening of sub-projects against any potential environmental and social impacts. The RLLP is a category B project and the activities may have positive or negative effects on biophysical and social environment. The positive impacts will contribute in creating resilient to the landscape through improving the rehabilitation of degraded areas and productivity of the agricultural landscape and thereby the livelihoods of the rural community and/or the vulnerable groups. At this stage of ESMF preparation, the specific sites have not been known and it is not time to establish an accurate and complete atmosphere of these impacts. However, site specific and less sensitive localized environmental and social impacts (e.g., pollution from agrochemicals, erosion, biodiversity loss, salinity, habitat destruction) may occur in the project implementation areas. As a result, the project is anticipated to trigger eight of the World Bank environmental and social safeguard policies (Environmental Assessment (OP 4.01); Natural Habitats (OP 4.04); Forests (OP 4.36); Pest Management (OP 4.09); Safety of Dams (OP 4.37); Underserved Peoples (OP. 4.10); Physical Cultural Resources (OP 4.11); and Involuntary Resettlement (OP 4.12) and these policies require adhering to appropriate environmental assessment procedures and steps to address all possible negative impacts.

In RLLP the environmental and social management process starts with the sub-project planning process during the identification of sub-projects by local communities based on their needs and priorities through a participatory watershed planning process guided by the Community Based Participatory Watershed Development Guidelines (CBPWDG), technical support from Development Agents (DAs) and Woreda experts. The DA will screen/design/plan subprojects applying a simple checklist as a format for fast track eligibility checking of identified sub-projects. This is done in consultation with the communities and kebele development committee at the early stages of subproject selection and prioritization phase. Once the checklist is approved at the kebele level, the project design/plan will then be sent to the Woreda Agriculture Office and/or the Woreda Technical Committee. The Technical Committee, depending on the scale, nature and type of subproject, will further screen the sub-projects. The Woreda Focal Person (WFP), woreda implementing office, and regional project support unit will ensure and document such procedures are properly followed. And a team led by experts from the Woreda Environmental regulatory body will review the screened subproject and the mitigation measures planned. If any design modifications are required, the environmental regulatory body passes recommendations and gives clearance and/or certificate of subprojects. The Woreda council will then approve plans based on the recommendations of the team. After approval, the plan document is referred to the regional Bureau of Agriculture (BoA) with all the accompanying environmental and social screening documents/files.

If sub-projects of any significant environmental concerns and subprojects having high and unknown impacts are included, then the plan document will be directed to the attention of the Zonal or Regional Environmental regulatory body. The Zonal or regional environmental regulatory body will make decisions if an Environmental and Social Impact Assessment (ESIA) is required for those subprojects or not. Based on ESIA outcomes, Zonal or Regional environmental regulatory body will recommend modifying the design, preparing environmental and social management plan to mitigate negative impacts OR reject/disapprove the project.

The RLLP Woreda Focal Persons will submit quarterly and annual performance reports to BoA, regional project coordination bureau. And the regional M&E specialist together with the environmental and social safeguard specialists will consolidate the woreda reports and submit the quarter and annual performance reports to the NPCU. Based on the regions report, the NPCU environmental and social safeguard specialists compile and prepare a report and submit to the development partners on quarterly bases including annual reports. Monitoring of environmental and social safeguard performance of the project will be conducted regularly. Performance monitoring will ensure that safeguards instruments are prepared and approved to the required standard and the proper implementation of ESMP, SA, RPF and GMGs. While the implementation of ESMP is done by the community at kebele level with the responsibility of the Woreda implementing offices, performance monitoring will be done by the RLLP-PCU

environmental and social safeguard specialists at national and regional level and other stakeholders. The results of the monitoring involve the monitoring compliance and effectiveness of the safeguards instruments, and the overall environmental, socio-economic and climate-related assessment of the Program's interventions. The monitoring will be done on an annual and quarter basis by the RPCU Specialists with support from the NPCU Environmental and Social Safeguards Specialists, M&E Specialist and WB's Environmental Safeguards, Social Safeguards and Social Development team. Quarterly and annual reviews workshops will be held at regional and national level with a view to enhance the positive performances of ESMF, SA, RPF and the Gender Mainstreaming Guideline identifying bottlenecks and gaps in implementing the ESMF and proposing solutions in addressing the gaps. Environmental and social auditing will be done by the RLLP concerned specialists (both federal and regional) and field verification by independent consultants to be recruited. This auditing will be conducted twice in the program life, i.e. during MTR and completion period of the project.

The Sustainable Land Management Program (Phase I and II) did a number of training and awareness creation at federal, regional, zonal, woreda, kebele and community level on ESMF and other safeguard instruments. However, there was a high turnover of staffs who were supporting the program at regional, woreda and kebele level who took the trainings, especially the environmental regulatory body experts, experts engaged on land administration, experts engaged in water resources, Development Agents and others. Besides, in the 18 GAC woredas capacity building works were not efficient and need to be started from zero and these woreda 's experts, implementing agencies and plat form members should come at equal pace with the other WB woredas in the implementation of safeguard activities. Due emphasis will be given for these 18 GAC woredas. Therefore, for the successful implementation of the ESMF, SA and RPF during RLLP implementation period, capacity building activities should be done in a systematic manner to have an environmentally sound and socially acceptable subproject that will address all the program beneficiaries. The capacity building works will give due emphasis to woreda and kebele level experts, DAs and community members focusing on the different safeguard instruments and the World Bank safeguard policies. Besides, awareness creation for the different platforms and community institutions (Technical Committee (TC), Steering Committee (SC), Water Users Associations (WUAs), Watershed Users Associations (WSUAs), Self Help Groups (SHGs)) at woreda and zonal level will be given. Technical assistance and backstopping support will be strengthened by federal and regional program coordination unit staffs in collaboration with other stakeholders including development partners.

The budget for the implementation of the ESMF including capacity building and trainings; administrative costs for specialists at federal and regional level; environmental and social safeguard auditing; annual and quarter review workshops; implementation of mitigation measures; experience sharing and exposure visits; monitoring and technical backstopping and support is estimated to be 1.882 million USD for the coming five years.

1. Introduction

1.1. Background

Ethiopia is a country located between the coordinates of 3 – 15^0 N Latitude and 33 – 48^0 E Longitude. Its areal coverage is estimated to be 1,127,000 km^2. The diverse climatic conditions in Ethiopia are a result of the combination of factors such as latitude, altitude, angle of the sun, distance from oceans or other water bodies, terrain and the like. Ethiopia's ecological system is very fragile and vulnerable to climate change, in part due to stress on natural resources. Agricultural production in the country is largely rain-fed and practiced by small-holder farmers, which is heavily affected by land degradation resulting in food insecurity and rural poverty. Within Sub-Saharan Africa, Ethiopia is considered as one of the countries seriously affected by different forms of land degradation and struggling to cope with and reverse the situation. The key challenges include soil degradation, deforestation and loss of biodiversity, water degradation, climate deterioration and land conversion, weak environmental management and enforcement capacity. Despite the efforts to reverse environmental degradation in the past many years, rampant degradation of natural resources continued to be a serious environmental problem in the country distressing land/agricultural productivity and slowing down economic progress. According to PIF document soil fertility depletion and erosion, rangeland degradation are already threatening the sustainability of arable agriculture and there is an urgent need to rehabilitate damaged areas and prevent further deterioration through better soil fertility management, introduction of soil conservation measures, reforestation and appropriate conservation agriculture methods (PIF, 2012).

FIGURE 1. The land seeking immediate intervention (seriously degraded area), photo 2017.

The country committed itself to renewed national efforts towards the reversal of land and natural resources degradation and this process attracted donor interest at the same time. A number of project initiatives have been launched to promote the sustainable land management agenda in Ethiopia, including the World Bank supported Sustainable Land Management

Projects (SLMP-I and SLMP-II) and Resilient Landscapes and Livelihoods Project (RLLP). Through a country engagement process, similar to other Sub-Saharan countries, Ethiopia has committed itself to the systematic removal of impediments and bottlenecks believed to have hindered wider dissemination and up-scaling of proven SLM technologies and systems.

FIGURE 2. Degraded land rehabilitated through various SLM practices (Tigray region, photo 2017).

Programs for SLM and for combating land degradation have complementary goals as demonstrated in the objective of the land degradation theme of the Global Environment Facility (GEF) forward program strategic plan to “maintain or improve flow of agro-ecosystem services to sustain food production and livelihoods”. A comprehensive landscape approach to SLM is needed to address the broad multi-faceted nature of land degradation across the range of agro-ecological and climatic zones in arid, semi-arid, sub-humid and humid areas of the world.

1.2. Purpose, objectives and principles of the ESMF

1.2.1. Purpose of the ESMF

The purpose of this ESMF is to: (1) serve as a safeguard framework; (2) examine the environmental and social impacts of sub-projects; (3) outline a procedure for environmental and social assessment of the proposed subprojects financed under the RLLP. The type and loca tion of the sub-projects are not identified at this stage and their impacts cannot be determined until project planning is started by communities. Thus, the ESMF outlines the principles, rules, guidelines and procedures to be followed during the screening of sub-projects against any potential environmental and social impacts at the community level. The document guides in designing and preparing appropriate measures and plans to reduce, mitigate and/or offset adverse impacts during preconstruction, construction or implementation and operational phases and enhance the positive outcomes caused as a result of the project interventions.

1.2.2. Objectives of the ESMF

- To establish clear procedures and methodologies for the environmental and social assessment, review, approval and implementation of mitigating the potential environmental and social impacts of investments to be financed under the project;
- To specify appropriate roles and responsibilities of the different implementers and stakeholders, and outline the necessary reporting procedures for managing and monitoring environmental and social concerns related to project investments;
- To determine the training and capacity building needs of the implementing institutions;
- To establish the budget required to implement the ESMF requirement.
- To ensure that the implementation of the RLLP, of which the subproject sites are unknown at this stage, will be carried out in an environmentally and socially sustainable manner.

1.2.3. Principles of the ESMF

The RLLP Environmental and Social Management Framework will be implemented based on the following, but not limited to, principles:

Principle one: Allow broad consultation of the communities in the identification and planning of subproject types in their localities depending on their prioritized challenges;
Principle two: Provide support to communities to develop their sub-project application to avoid or minimize environmental and social safeguards concerns;
Principle three: Provide support to regulatory institutions to review applications and determine if additional, more detailed environmental or social planning is required before applications can be approved;
Principle four: Provide support to communities, local authorities and extension teams in carrying out their respective roles by funding substantial training, information resources and technical assistance; and
Principle five: Provide fund for quarter and annual reviews for assessing compliance, learning lessons, training impacts, and improving future performance, as well as assessing the occurrence of potential cumulative impacts due to project funded and other development activities.

The key areas of the social concern are addressed in a separate Social Assessment study. The objectives of the SA study, therefore, are:

- To assess and document key socio-economic factors that require consideration;
- To identify vulnerable and historically underserved groups that may be excluded from the project benefit and be adversely affected as a result, and the necessary impact mitigating measures;

- To assess any potential adverse social impacts of the RLLP, and determine whether the project is likely to trigger the World Bank social safeguards policies;
- To recommend in the early stage of project preparation the appropriate measures towards addressing World Bank requirements on social safeguards that may be triggered by the project.

In addition, Resettlement Policy Framework (RPF) is prepared to address key social issues of the RLLP, such as land acquisition and valuation, entitlements and compensation; dispute resolution and grievance redress procedures in cases of involuntary or voluntary resettlements. The main objectives of the RPF include:

1) Establish the RLLP resettlement and compensation principles and implementation arrangements;
2) Describe the legal and institutional framework underlying Ethiopian approaches for resettlement, compensation and rehabilitation;
3) Define the eligibility criteria for identification of Project Affected Persons (PAPs) and entitlements;
4) Describe the consultation procedures and participatory approaches involving PAPs and other key stakeholders;
5) Provide procedures for filing grievances and resolving disputes; and
6) Present the key Process for restriction of access to natural resources and voluntary land donation.

1.3. Methodology used in the preparation of the ESMF

1.3.1. Document Review /Analysis

The Project Appraisal Document (PAD), ESMF, SA and RPF documents of SLMP I & SLMP-II were reviewed to gather information on the program components and sub-components; institutional arrangements used for the implementation of the project and the ESMF; the sub-project types and their anticipated potential environmental and social impacts and/or risks; the proposed mitigation measures and how these were designed to be implemented vis-à-vis the applicable safeguard standards and policies of the country and development partners. The information collected from the review was very helpful in putting mechanisms addressing the gaps identified during the preparation of this ESMF. The RLLP (PAD) and Project Concept Note (PCN) were also reviewed to understand the project components and sub-components, the institutional arrangement for the implementation of the project, and to identify the project components *vis-a-vis* the anticipated environmental and social impacts.

For the preparation of this ESMF and to collect information with regard to the environmental and social aspects of the project interventions, ESMF documents of Agricultural Growth Program (Phase I and II), Development Bank of Ethiopia (DBE), Development Response to Displacement Impact Project (DRDIP), Productive Safety Net Program (PSNP)-IV, Livestock and Fisheries Sector Development Project (LFSDP), Pastoralist Community Development Project (PCDP)-III and the National REDD+ Secretariat were reviewed. Accordingly, the procedures and steps of ESMF; the anticipated potential environmental and social impacts and their mitigation measures; roles and responsibilities of different stakeholders to their project; the methodologies employed in the reviewing and approval process of screened subprojects; and good lessons have been taken that are constructive to this document preparation.

A thorough review of the relevant environmental management policies, proclamations and guidelines in the country was made to take into account of these policies and laws during preparation of sub-projects and environmental and social management plans to address negative impacts caused from development projects. In addition, these documents, especially the proclamations and operational guidelines provide information on environmental and social management issues, the ESIA procedures on different environmental hazards (agricultural, industrial, road, etc.) and relevant institutions. The guidelines provide not only the applicable procedures but also suggest appropriate mitigation measures for some anticipated negative impacts. These are listed in this ESMF to serve as references for the preparation and implementation of Environmental and Social Management Plan (ESMP).

1.3.2. Consultation with key stakeholders

Consultation with SLMP Staffs: Meetings were held with the SLMP-II Project Coordination Unit staff members at the MoA/SLMP-PCU to discuss activities of the project components and sub-components, experience in the implementation of the ESMF during the last two phases of the project, the institutional arrangement for the implementation of RLLP, the Environmental and Social Management Framework (ESMF), the monitoring and review of project activities, capacity building needs and technical backstopping, the linkages of works within the program in the implementation of ESMF.

Consultation with experts of CoEFCC at National and Regional level: Consultations were held with the legal and policy experts at CoEFCC, and environmental regulatory experts of the SNNPRS, Gambella, Amhara and Benishangul Gumuz Environmental Protection and Land Administration Bureau, on applicable federal and regional environmental policies, applicable guidelines and ESIA procedures in liaison with the project interventions. Their views on the proposed project and its anticipated impacts, monitoring of the mitigation measures, the environmental management process and their linkages with the implementing project at regional level, the way the regulatory bodies give clearance and approval, steps of the ESMF,

and the roles of the different project partners at the Woreda and Kebele levels were discussed. In addition gaps observed during SLMP-II with regard to integration with the regulatory bodies monitoring and evaluation system was also discussed.

Consultations with Regional Environmental and Social Safeguard Specialists : Discussions were held with the Environmental and Social Safeguard Specialists of the six SLMP implementing regions. The main issues discussed were implementation status of the ESMF during SLMP-I and SLMP-II; major environmental and social positive and negative impacts of the subprojects; addressed and unaddressed impacts; challenges encountered at different stages of the project; technical capacity gaps and need assessment; the ESIA process; platform responsibility/commitment in ensuring safeguard activities; and institutional barriers on the procedures and application of the proposed guidelines, workload on SLMP woreda focal person to implement safeguard activity. Their views in addressing the identified gaps and suggested solutions to be considered in RLLP were forwarded during the discussion.

Consultations with other MoA programs safeguard specialists: Discussions were made with other projects and/or programs found in the MoA, among which AGP, DRDIP, PSNP (WB financed) and PASIDP (IFAD financed) are some to mention. Supportive comments, ideas and areas of concern for RLLP were collected. According to the discussions made with the specialists, the experiences of environmental and social safeguard activities, i.e. information on steps in identification and screening of subprojects, implementation of mitigation measures and grievance redress mechanism from their entire project point of view was collected. Based on this, the methods used to be employed and/or scaled up for RLLP and area of concern was included in this ESMF.

Consultations with Woreda Focal Persons in Selected Woredas: Discussions were held with the SLMP- II focal persons at two selected Woredas, namely Tanqua Abergele and Debay Telat Gin woredas of Tigray and Amhara regions, respectively. The discussions covered issues in sub-project identification and screening, major impacts of the SLMP-II activities at kebele and community level, the role of WTC and WSC in support of environmental and social safeguards, in designing and planning of mitigation measures, addressed and unaddressed impacts, capacity gaps, documentation of implemented activities, technical backstopping, monitoring and review of project activities, reporting of safeguard performance, encountered problems during implementation, issues need be improved in the ESMF (see questionnaires and checklists on Annex 11).

1.3.3. Consultations with local communities

Local communities, who will be the main beneficiaries of the project in each of the six RLLP implementing Regional States, were consulted to get their insight on the likely impacts of the

project with their possible mitigation options. In some of the selected existing SLMP-II woredas, small group discussions were held with local communities, KWT and CWT members including Kertoto CWS, Aftsawa micro watersheds of Gulo Mekeda woreda; Gereb Momona CWS, Adi Kelkel micro-watershed of Enderta woreda and Mayagazen CWS, Kotslila micro-watershed of Tanqua Abergele woredas of Tigray region and Gan Wuha CWS, Kechin Wenz micro watershed of Tach Gaynt woreda; Muga CWS, Sila micro- watershed of Debay Telat Gin woreda and Arefa CWS, Layifach micro-watershed of Bibugn woredas of Amhara region. Besides, from the newly targeted RLLP Woredas, community and public pre-consultation was made in 13 woredas, namely Endegagn, Tocha, Genna Bosa and Debub Ari woredas of SNNPRS; Dangila and South Mecha woredas of Amhara region; Assosa, Debati, and Yaso woredas of Benishangul Gumuz region; Lare and Jikawo woredas of Gambela region; Saesie-Tsaeda Emba and Hintalo Wajerat Woredas of Tigray region. The discussions reflected on issues regarding the participation and experience of the community members in watershed selection, their role in the planning, identification and implementation of NRM; potential environmental and social impacts and their experience in addressing these impacts; existence and role of the different platforms in mobilizing and leading the community and the various activities in managing natural resource. The key findings of the consultation process, their community views, concerns and recommendations are found in Annex 17. And the list of participants during the consultation process at community, kebele and woreda level is found in Annex 18 and 19.

2. Project Description

2.1. Overview of the Resilient Landscapes and Livelihoods Project (RLLP)

The SLMP-II was closed by the end of December 2018 and its follow-up project called RLLP to support SLMP is being prepared. The RLLP aims to create resilience to the treated landscape and improve the productivity and livelihoods through the provision of capital investments, technical assistance and capacity building at national, regional, woreda, kebele and community levels. The RLLP will build on the results of SLMP I & II and will also introduce measures to address climate change/variability related risks, minimize Green House Gas (GHG) emission reductions so as to meet the Growth and Transformation Plan (GTP) and the Climate Resilient Green Economy (CRGE) goals of the country. The results of the project will be measured by the landscape to be put under sustainable and climate resilient land management practices and the amount of total carbon sequestered per unit area and time. In line with the different investment experience on forest, climate-smart agriculture, household energy, land tenure, livelihood improvement, watershed management and landscape restoration, the new project, i.e. RLLP would provide large-scale coordinated financial support to the MoA and its acclaimed Sustainable Land Management Program to make a lasting impact at very large scale.

2.2. Project Development Objective (PDO)

With an essence to create resilience of livelihoods and building adaptive capacity to withstand climate change and extreme weather shocks, the Development Objective of the RLLP is " ***To improve climate resilience, land productivity and carbon storage and increase access to diversified livelihood activities in selected rural watersheds"***.

2.3. Project Target Beneficiaries

The Project would be implemented in 210 major watersheds/woredas (including the 135 watersheds that were supported by SLMP-I and II; 57 newly added woredas/watersheds; 18 woredas/watersheds supported by GAC) in the National Regional States of Amhara, Tigray, Oromiya, SNNP, Gambela, and Benshangul Gumuz. The RLLP will directly benefit some of Ethiopia's poorest citizens in the watershed/woredas it covered. With more than 87 percent of Ethiopia's poor living in rural areas, the operation will benefit some of the poorest, as they are the most dependent on the degraded land resources targeted by the project, and the most vulnerable to the climate shocks that good natural resource management and improved tenure security can mitigate – as proven through interventions under SLMP-II.

Accordingly, approximately 3.2 million individuals (645,000 rural households) on degraded land, facing land tenure and water insecurity are expected to be benefited from the Project. Of this number, 1,430,440 are female. Of the 645,000 rural households 541,800 are Male Headed Households and 103,200 are Female Headed Households. The indirect beneficiaries include: (i) communities adjacent to project intervention areas adopting SLM and Climate Smart Agriculture (CSA) practices through demonstration effects, as observed under SLMP-II; (ii) private sector participants and end-consumers in value chains targeted by the project; (iii) households outside project areas benefiting from the creation of land certification capacity at woreda and regional level; (iv) recipients of capacity building at all levels of government, as well as in national partner organizations; and (v) communities outside project areas benefiting from groundwater recharge, reduced flooding, and lower sediment loads, as a result of SLM interventions.

The project is considered innovative and transformative as it emphasizes on multi-sectoral landscape approach that supports GoE to coordinate efforts on land use, land management, and land administration. This approach will generate multiple benefits including contributions to, inter alia, productivity improvement, resilience to climate risks, enhancements to natural wealth and diverse livelihood opportunities, and water security – and ultimately poverty reduction and prosperity.

2.4. Project Components

The Resilient Landscapes and Livelihoods Project has four major components:

- Component 1:Green Infrastructure and Resilient Livelihoods;
- Component 2:Investing in Institutions and Information for Resilience;
- Component 3:Rural Land Administration and Use; and
- Component 4:Project Management and Reporting.

Component 2 and 4 may not pose adverse environmental and social risks during implementation. This ESMF is prepared mainly to highlight issues associated with and address environmental and social impacts arising from the implementation of sub-projects under Component 1 and Component 3.

2.4.1. Component 1: Green Infrastructure and Resilient Livelihoods

The objectives of this component are to support the restoration of degraded landscapes in selected micro-watersheds and to help build resilient livelihoods on these newly productive foundations in selected watersheds/woredas vulnerable to climate variability and change, recurrent drought and floods. This involves two specific types of activities: (i) those aimed at improving the implementation and impact of biophysical measures in degraded micro-watersheds (including improved livestock management and green corridors); and (ii) those activities focused on addressing the livelihood dimension among project beneficiaries (CSA, community infrastructure, household energy, private sector development). This will be achieved through (i) the implementation of sustainable soil and water conservation practices in line with Multi-Year Development Plans (MYDPs) in SLMP-II and newly identified watersheds;
(ii) support for the adoption of climate-smart agricultural practices in all project watersheds; and (iii) promotion of livelihood diversification and linkages to value chains in all project watersheds.

The objectives of this component will be achieved through the implementation of the following sub-components: (i) land restoration and watershed management; (ii) climate-smart agriculture; and (iii) livelihood diversification and connections to value chains.

Sub-Component 1.1: Land Restoration and Watershed Management

This sub-component will support restoration of degraded forest, pasture and woodlands that is communally owned, as well as privately-owned cultivated lands, through biophysical land and water conservation measures. The major activities in this sub-component (proven Sustainable Land and Water Management (SLWM) practices) include: soil and water conservation

infrastructure such as terraces, water harvesting trenches, check dams, small reservoirs, and other civil works; soil fertility and moisture management; assisted natural regeneration, enclosures plus livestock land-use rationalization, intercropping, low tillage, gully reclamation, establishment of grazing corridors, watering points and wells, and sylvo-pastoral management strategies.

Sub-Component 1.2: Climate-Smart Agriculture

Interventions under this sub-component will aim at enhancing the livelihood resilience of beneficiary households through Climate-Smart Agriculture (CSA) interventions in all eligible micro-watersheds assisted by the project. The improved adaptation of restored watersheds to variable rainfall patterns and adverse climatic events, combined with reduced degradation - related risks, will provide suitable conditions for beneficiaries to adopt improved, climate-smart farming practices and diversify and/or intensify their current production systems. The major activities in the sub-component are construction of water harvesting structures with water efficient irrigation methods, homestead development by promoting high value crops and multi-purpose fruit trees and forage tree planting, livestock improvement (e.g. small ruminant fattening, promotion of beekeeping and honey production etc.), promoting bio-fuel/biomass, biogas energy, promotion of fuel saving and efficient technologies, and feeder road construction. Thus, the project will invest in three of the five Climate Smart Agriculture (CSA) technology packages defined by MoA2:

- In-situ and ex-situ soil moisture management;
- Soil fertility and soil health improvement measures; and
- Crop development and management (agro-biodiversity) measures.

Sub-Component 1.3: Livelihood Diversification and Connection to Value Chains

This sub-component aimed at providing finance advisory services and investments to improve access to and implementation of income generating activities, strengthen value chains associated with SLM productive activities, and promote access to low carbon household energy.

A range of potential interventions have been identified including support for women-led enterprise development and vocational training, processing equipment and Community Storage Receipts Programs (CSRPs), facilitation of access to markets, technology and trade and a suite of household and smallholder low carbon energy solutions, such as solar water pumping for irrigation (where appropriate), biogas cook stove installations and other high - performing cook stove technologies.

[2] Ministry of Agriculture Sustainable Land Management Program, " *Climate Smart Agriculture-A Field Manual for Practitioners*", December 2016, Addis Ababa.

2.4.2. Component 2: Investing in Institutions and Information for Resilience

The objective of this component is to enhance institutional capacity and improve information for better decision-making in supporting resilient landscapes and diversified rural livelihoods in the project area. This component will provide technical assistance at the local level (woreda and kebele) to build local government capacity for (i) planning and managing SLWM interventions, and (ii) managing the land certification process. This component will also provide resources to manage the knowledge generated through these and other assessments of SLWM, and to communicate the lessons learnt to a broad audience, including local governments and communities, relevant research institutions and Government agencies, as well as Development Partners. This component's objectives will be achieved through the implementation of the sub-components:

Sub component 2.1 Capacity building, Information Modernization and Policy Development

The sub-component will support information modernization to coordinate data collection and information sharing at all levels and under all components of the project so that this information is well organized, properly documented and accessible. As part of this effort, a data management plan will be developed which specifies how all data used or created during the course of RLLP will be documented, stored and otherwise managed. In addition, the implementation of this sub-component will commence with reviewing of the environmental legislation including environmental policy of Ethiopia that relates to the use and management of Ethiopia's natural resources (soils, forestry, grassland, water, wildlife, etc.), in particular to the Water Resources Management Proclamation No.197/2000; the Water Resources Management Regulation No. 115/2005; the Rural Land Administration and Land Use Proclamation No. 456/2005; Forest Development, Conservation and Utilization Proclamation No.1065/2018. Manuals prepared by the ministry in general and the SLMP in particular will be used for further reference that serves more in the implementation of this sub component.

Sub component 2.2 Impact Evaluation, Knowledge Management and Communication

Project funding will focus on the evaluation of bio-physical impacts and CSA productivity gains, which will be conducted in coordination with a livelihoods impact evaluation to be led by the Gender Innovation Lab of the World Bank's Africa Region, financed separately. This sub component will also support the impact evaluation of land certification. The bio-physical impact evaluation will examine the response of the environment to SLWM interventions, considering parameters such as peak and base surface water flows, groundwater levels and recharge rates, sediment loads, and remotely sensed information on vegetation cover and soil moisture.

2.4.3. Component 3: Rural Land Administration and Use

The objective of this component is to strengthen land tenure and the land administration system in project areas, improving incentives for beneficiary communities to invest in sustainable landscape management. The component would support an on-going national program providing land certificates to all land holders, by enhancing rural land certification and administration as well as local level land use planning at watersheds or Kebeles assisted by the project. The component is subdivided into two sub-components targeted to achieve the overall objective of land administration and use. These are:

Sub-Component 3.1. Second Level Landholding Certification (SLLC)

The objective of this Sub-component is to provide security of tenure to smallholder farmers through SLLC as an incentive to increase the adoption of sustainable land and water management technologies and practices. This component will continue ongoing efforts to address the barrier to SLM by (i) improving the legal land tenure security of rural households and groups through land certification and administration, and (ii) expanding and enhancing local level land use planning and innovations in landscape certification models. The activities include provision of gender disaggregated geo-referenced land certificates to individual land users and geo-referenced land certificates for communal lands to the communities.

Sub-Component 3.2. Participatory Local level Land Use Planning

The main objective this sub component is to expand the preparation of local level land use plans for decision making on the best uses of the land and its resources for improved, alternative, sustainable and productive development at the grass root level. The sub-component would support the preparation of local land use plans for decision making on the best uses of the land and its resources for improved, alternative, sustainable and productive development at the grass root level. Delineating land use types at the local level would help to ensure that the choice of a particular use represents the optimal alternative ensuring sustainable use of individual plots.

Sub-component 3.3 National Rural Land Administration Information System (NRLAIS)

The objective of this sub-component is to provide security and usability of land information with enhanced data management functionality at Woreda level and opening opportunities to optimize land transaction processes that enhances the systematic storage and maintenance of the digital cadastral maps and registration information in an efficient, effective, spatially integrated and sustainable manner.

2.4.4. Component 4: Project Management and Reporting

The objective of this component is to effectively implement and report on project activities with due diligence and integrity. The component will finance the operational costs of the Project Coordination Units (PCUs) in MoA and Regional State Bureaus of Agriculture. These PCUs will carry out all fiduciary aspects of project implementation including financial management, procurement, environmental and social safeguards and M&E reporting.

3. Policy, Legal and Administrative Framework for Environmental and Social Management

3.1. The FDRE and Regional State Constitutions

The FDRE Constitution

The Federal Democratic Republic of Ethiopia (FDRE) constitution issued in August 1995 has several provisions, which have direct policy, legal and institutional relevance for the appropriate implementation of environmental protection and rehabilitation action plans to avoid, mitigate or compensate the adverse effects of development actions. Article 40 of the constitution proclaims that land and natural resources are commonly owned by the people of Ethiopia and shall not be subject to sale or other means of exchange. It stipulates the rights of Ethiopian farmers and pastoralists to obtain land for cultivation and for free grazing without payment and the protection against eviction from their possession.

In articles 43, 44 and 92 referring the rights for development, environmental rights and environmental obligations, the following are important provisions of the constitution:

- People have the right to improved living standards and to sustainable development, and consultation and participation regarding matters that may affect their wellbeing.
- People have the right to full consultation and to the expression of views in the planning and implementations of environmental policies and projects that affect them directly,
- All persons have the right to live in a clean and healthy environment,
- People have the right to commensurate monetary or alternative means of compensation, including relocation with adequate state assistance for persons who have been displaced or whose livelihoods have been adversely affected as a result of State programs
- The people and the state have common responsibility/obligation to protect the environment
- The state endeavors to ensure all people live in a clean and healthy environment
- The state shall ensure that the design and implementation of development projects will not damage or destroy the environment.

Regional states constitutions

Regional states have their own constitutions upholding the federal constitution in its entirety and constituting their regional particulars. All the regional state constitutions have addressed land and natural resources management and environmental protection. The regional states constitutions state that:

- The regional governments are entrusted to administer land and natural resources in the name of the people and deploy for the common benefit of the same;
- The regional governments and all citizens of the regions are responsible for the conservation of natural resources and the environment;
- Concerned communities shall be given opportunity to express their opinions in the formulation and implementation of policies in relation to the environment.

3.2. Relevant Environmental and Sectorial Policies of Ethiopia

Environmental Policy of Ethiopia:

The Environmental Policy of Ethiopia, approved in 1997, is aimed at guiding sustainable social and economic development of the country through the conservation and sustainable utilization of the natural, man-made and cultural resources and the environment at large. The policy lists specific objectives encompassing wide range of environmental issues to be addressed through the adoption of the policy. The overall policy goal is to improve and enhance the health and quality of life of all Ethiopians and to promote sustainable social and economic development through the sound management and use of natural, human-made and cultural resources and the environment as a whole so as to meet the needs of the present generation without compromising the ability of future generations to meet their own needs. The policy provides overarching environmental guiding principles to be adopted to harmonize the environmental elements in sectorial, cross-sectorial and other policies. It also clearly identified that deforestation, land degradation, and declining of agricultural productivity are key problems for environmental degradation in Ethiopia.

Ethiopian Water Resources Management Policy:

The overall goal of the policy is to enhance and promote all national efforts towards the efficient, equitable and optimum utilization of the available Water Resources of Ethiopia for significant socioeconomic development on sustainable basis. The policy aims to ensure access to water for everyone fairly and in a sustainable manner, protect water resources and sources, and promote cooperation for the management of river basins. Some of the objectives of the policy includes: development of the water resources of the country for economic and social benefits of

the people, on equitable and sustainable bases; and conserving, protecting, and enhancing water resources and the overall aquatic environment on sustainable bases.

Forest development, conservation and utilization policy and strategy:

The MoEFCC sets out a policy which gives due emphasis and precedence for local community in the development of forest resource. The policy stresses the participation of local communities in the management of, and sharing of benefits from, State forests. General objective of the policy is to conserve and develop forest resources properly so that there could be sustainable supply of forest products to the society (hence satisfying the demand) and contribute to the development of the national economy through the attainment of the national goals.

Biodiversity Conservation and Research Policy:

The biodiversity policy was approved in 1998 and it provides policy guidance towards the effective conservation, rational development and sustainable utilization of the country's biodiversity. The policy objectives accentuate public participation in biodiversity conservation, development and utilization, and also ensure that communities share from the benefit accrued from the utilization of the genetic resources and their traditional knowledge. The policy consists of comprehensive provisions on the conservation and sustainable utilization of biodiversity, and it underlines the requirements for implementers to adopt during planning and operational phase of projects and for those projects engaged in biological resource utilization to follow ESIA procedures.

Energy Policy of Ethiopia

The Ethiopian energy policy document (drafted in 1994) has encouraged the use of indigenous resources and renewable energy. The general objectives of the National Energy policy are:

- To ensure a reliable supply of energy at the right time and at affordable prices, particularly to support the country's agricultural and industrial development strategies adopted by the government.
- To ensure and encourage a gradual shift from traditional energy sources use to modern energy sources.
- To streamline and remove bottlenecks encountered in the development and utilization of energy resources and to give priority to the development of indigenous energy resources with a goal toward attaining self-sufficiency.
- To set general guidelines and strategies for the development and supply of energy resources.
- To increase energy utilization efficiency and reduce energy wastage.
- To ensure that the development and utilization of energy is benign to the environment.

3.3. Relevant Environmental Strategies

Ethiopia's Climate-resilient Green Economy Strategy:

The Government of Ethiopia has initiated the Climate-Resilient Green Economy (CRGE) initiative to protect the country from the adverse effects of climate change and to build a green economy that will help realize its ambition of reaching middle-income status before 2025. Ethiopia's green economy plan is based on the following four pillars:

- Improving crop and livestock production practices for higher food security and farmer income while reducing emissions;
- Protecting and re-establishing forests for their economic and ecosystem services, including as carbon stocks;
- Expanding electricity generation from renewable sources of energy for domestic and regional markets; and,
- Leapfrogging to modern and energy-efficient technologies in transport, industrial sectors, and buildings.

Climate Resilience Strategy for Water and Energy:

The Climate Resilience Strategy for Water and Energy has three main objectives: to identify the economic and social impacts of current climate variability and future climate change on water and energy in Ethiopia; to identify priority ways that the water and energy sectors can build climate resilience and reduce the impact of climate variability and climate change; and to map the necessary steps to finance and implement measures in the water and energy sectors to build climate resilience in Ethiopia and deliver an integrated Climate Resilient Green Economy. This strategy is important and directly relevant to the RLLP, where the project plans to scale up House Hold (HH) level RE and EE options in target areas under the income opportunities and resilient livelihoods component, with a focus on the benefit of this activity in empowering and strengthening women. This relates to catchment management and reducing deforestation and forest degradation.

Climate Resilience Strategy for Agriculture and forestry:

The country has recently released a resilience strategy document for Agriculture and Forestry which is directly relevant for the RLLP implementation. The strategy aims to identify the impact of both current weather variability and future climate change on Ethiopia ('challenge'), to highlight options for building climate resilience ('response') and to understand how these options can be delivered ('making it happen'). The document sets out a strategy to ensure Ethiopia's economic growth in agriculture is climate resilient. The strategy focuses on the sectors of responsibility covered by the two ministries, i.e. Ministry of Agriculture (including

crops and forestry) and Ministry of Livestock and Fishery (including livestock). These sectors are the most vulnerable to the impacts of climate change, and play a major role in Ethiopia's economy, contributing 43% of GDP, around 80% of employment and approximately 75% of export commodity value.

3.4. Proclamations and Environmental Guidelines

3.4.1. Proclamations

Environmental Protection Organs Establishment Proclamation, No. 295/2002

The proclamation was made to re-establish the Federal Environmental Protection Authority, Sectorial Environmental Units and Regional Environmental Protection Agencies. The former FEPA, MoEFCC (currently Environment, Forest and Climate Change Commission (EFCCCo) established by Proclamation No. 803/2013) is established to formulate policies, strategies, laws and standards, which foster social and economic development in a manner that enhance the welfare of humans and the safety of the environment, sustainable development projects and to spearhead in ensuring the effectiveness of the process of their implementation.

The Commission of Environment, Forest and Climate Change (the former MoEFCC), among others, has the powers, duties and responsibilities to:

- Coordinate measures to ensure that the environmental objectives provided under the Constitution and the basic principles set out in the environmental Policy of Ethiopia are realized;
- Prepare, review and update, or as necessary, cause the preparation of environmental policies strategies and laws in consultation with the competent agencies, other concerned organs and the public at large and upon approval, monitor and enforce their implementation;
- Coordinate actions on soliciting the resources required for building a climate resilient green economy in all sectors and at all governance levels as well as provide capacity building support and advisory services;
- Establish a system for the evaluation of investment projects submitted by their respective proponents by the concerned sectoral licensing organ or the concerned regional organ prior to granting a permission for their implementation in accordance with the environmental impact assessment proclamation;
- Formulate or initiate and coordinate the formulation of policies, strategies, laws and programs to which Ethiopia is a party and upon approval;
- Prepare programs and directives for the synergistic implementation and follow up of environmental agreements ratified by Ethiopia pertaining to the natural resources base, desertification, forests, hazardous chemicals, industrial waste and anthropogenic

environmental hazards with objective of avoiding overlaps, wastage of resources and gaps during their implementation in all sectors and at all governance levels;
- Liaise with competent agencies in the field of environmental protection and rehabilitation and support them in capacity development;
- Establish a system for environmental impact assessment of public and private projects, as well as social and economic development policies, strategies, laws, and programs, and
- Provide advice and support to regions regarding the management and protection of the environment.

Sectorial Environmental Units (SEUs): Every competent agency (sectoral) is required by the Proclamation No. 295/2002 to establish or designate an environmental unit that shall be responsible for coordination and follow up so that the activities of the competent agency are in harmony with this Proclamation and with other environmental protection requirements, i.e. do not cause due harm to the environment and community. The former MoEFCC (current CoEFCC) has given delegation to six federal Ministries for the review and approval of projects and subprojects matters related to environmental and social safeguards issues among which Ministry of Agriculture is the one.

Regional Environmental Agencies (REAs): The Proclamation No. 295/2002 decrees that each national regional state shall establish an independent regional environmental agency or designate an existing agency that shall, based on the Ethiopian Environmental Policy and Conservation Strategy and ensuring public participation in the decision -making process. Besides, Proclamation No. 299/2002 gives regional environmental agencies the responsibility to evaluate ESIA reports of projects that are licensed, executed or supervised by regional states and that are not likely to generate inter-regional impacts.

Regional Environmental agencies are responsible for: -

- Coordinating the formulation, implementation, review and revision of regional conservation strategies,
- Adopt and interpret federal level ESA policies and systems or requirements in line with their respective local realities;
- Environmental monitoring, auditing, protection and regulation of the implementation of projects;
- Establish a system for ESA of public and private projects, as well as social and economic development policies, strategies, laws, or programs of regional level functions;
- Ensuring the implementation of federal environmental standards or, as may be appropriate, and issue and implement their own no less stringent standards.
- Preparing reports on the respective state of the environment and sustainable development of their respective states and submits the same to the Authority and
- Administer, oversee and pass major decisions regarding impact assessment of:

- Licensing of project subprojects;
- Execution of project subprojects, and Projects likely to have regional impacts.

The institutional structure of environmental agencies at regional, zonal and woreda level varied from regions to regions. In some regions, the environmental organs are embodied within the Environmental protection and land use administration bureaus, whereas others are kept the same standalone structure with the national level, i.e., Environment, Forest and Climate Change Commission. For example, the institutional arrangement and naming of the regional environmental regulatory bodies are as follows: in Tigray - Bureau of Land Use Administration; in Amhara - Environment, Forest and Wildlife Development Protection Authority; in Oromia - Environment, Forest and Climate Change Authority; in SNNPRS - Environmental Protection and Forest Authority; in Gambella - Environment, Forest and Climate Change Bureau. In all the arrangements, the roles and responsibilities of the local environmental organs are the same.

Environmental Impact Assessment Proclamation, No. 299/2002

The Environmental Impact Assessment Proclamation was decreed in December 2002 in order to make ESIA a mandatory procedure for projects to be undertaken by the government, public or private entities that require environmental impact analysis. The Proclamation elaborates on considerations with respect to the assessment of positive and negative impacts and states that the impact of a project shall be assessed on the basis of the size, location, nature, cumulative effect with other concurrent impacts or phenomena, trans-regional context, duration, reversibility or irreversibility or other related effects of a project. Based on directives or guidelines pursuant to this proclamation, projects will be categorized as:

- Projects that are not likely to have negative impacts, and thus do not require environmental impact assessment; and
- Projects those are likely to have negative impacts and thus require environmental impact assessment.

As per the procedures in the proclamation, a proponent is required to undertake a timely environmental impact assessment, assess the possible adverse impacts of the proposed project, and propose the means of mitigation, and shall submit the study report to the relevant body (Federal or regional Environmental regulatory body) for review and decision. It is also a requirement that ESIA reports be prepared by an expert that meet the requirements specified under any directive issued by the Authority (regional/federal).

Jurisdictions in the Proclamation: The regional environmental agency in each region shall be responsible for the evaluation and authorization or any environmental impact study report and the monitoring of its implementation if the project is not subject to licensing, execution and supervision by a federal agency and if it is unlikely to produce trans-regional impact.

Rural land Administration and Use Proclamation, No. 456/2005

The main aim of the Proclamation is to conserve and develop natural resources in rural areas by promoting sustainable land use practices. In order to encourage farmers and pastoralists to implement measures to guard against soil erosion, the Proclamation introduces a Rural Land Holding Certificate, which provides a level of security of tenure. The former MoA is tasked with implementing the Proclamation by providing support and co-coordinating the activities of the regional governments. Regional governments have an obligation to establish a competent organization to implement the rural land administration and land use law. Accordingly, the REPAs are responsible for rural land administration. The Proclamation states that if a land, that has already been registered, is to be acquired for public works or for investment, compensation commensurate with the improvements made to the land shall be paid to the land use holder or substitute land shall be offered. The Proclamation imposes restrictions on the use of various categories of land, for example wetland areas, steep slopes, land dissected by gullies, etc.

Environmental Pollution Control Proclamation, No. 300/2002

The aim of the proclamation is to control and manage possible causes of environmental pollution from hazardous substances, waste and any other forms of pollutants that pose serious environmental, social and health threats. The proclamation has important provisions on environmental standards, inspection procedures, offences and penalties, etc. In its provision to control pollution, the proclamation states that, among others,

- No person shall pollute or cause any other person to pollute the environment by violating the relevant environmental standards,
- The Authority or the relevant Regional environmental agency may take an administrative or legal measure against a person who, in violation of law, releases any pollutant to the environment.

Pesticide Registration and Control Proclamation, No. 674/2010

To minimize the adverse effect of pesticide use to human beings, animals, plant and the environment, the country has enacted Pesticide Registration and Control Proclamation (No. 674/2010). The proclamation aims to regulate the manufacture, formulation, import, export, transport, storage, distribution, sale, use and disposal of pesticide.

This Proclamation:

- Covers agricultural, household, public health, and industrial pesticides;
- Provides registration and control responsibilities to the Ministry of Agriculture;
- Seeks to promote safer pesticide handling and use in the country;

- Requires that all pesticides should be registered based on demonstrated product effectiveness and safety for humans, non-target organisms and the environment;
- Prohibits importation of highly hazardous, severally restricted or banned pesticides (including most Organo-chlorines); and
- Obliges that all pesticides must display labels that meet specific Ministry of Agriculture label requirements.

Ethiopian Water Resources Management Proclamation, No. 197/2000

The proclamation is decreed to ensure that the water resources of the country are protected and utilized for the highest social and economic benefits of the people of Ethiopia, to follow up and supervise that they are duly conserved, ensure that harmful effects of water are prevented, and that the management of water resources is carried out properly. It proclaims that all water resources of the country are the common property of the Ethiopian people and the state. It has provisions on general principles of water use and management, inventory of water resources, professional engagement in water resource management and supply. Among other articles, the proclamation clearly indicates the requirements on water bank management and prevention of harmful effects on water resources in the articles 24 and 25 of the proclamation.

The supervising body (the ministry), in collaboration and in consultation with the appropriate public body may:

- Delimit the boundaries of the banks of certain water bodies;
- Prohibit clearing and cutting trees or vegetation and construction of residential houses within the delimited banks of water bodies.

The appropriate public bodies shall, before allowing or causing the founding of towns or villages, request the supervising body for technical advice to prevent or avoid damages, adverse impacts or accidents which may occur as a result of floods and other factors related to water.

3.4.2. Relevant Guidelines and Directives

Environmental and social impact assessment guidelines and directives

The former FEPA (MoEFCC) has published series of environmental and social impact assessment guidelines for the different sectors outlining the key issues, principles, procedures and processes to be adopted and adhered to avoid and/or mitigate potentially negative environmental and social impacts during project planning, implementation and operation by government, public and private entities. Some of the guidelines are generic and applicable in different sectors and there are also sector specific guidelines prepared for key environmental and social issues to adhere during the ESIA analysis in those specific sectors.

Environmental Impact Assessment Guideline, May, 2000

The guideline provides the policy and legislative framework, the general ESIA process and key sectorial environmental issues, standards and recommendations for environmental management in key sectors such as agriculture, industry, transport, tannery, dams and reservoirs, mining, textiles, irrigation, hydropower and resettlement projects.

Environmental and Social Management Plan Preparation Guideline, Nov. 2004

The guideline provides the essential components to be covered in any environmental management plan (e.g., identified impacts, mitigation measures, monitoring, capacity building, etc.) and structured formats for mitigation measures, monitoring and institutional arrangements. Similar guidelines for the different sectors include the following:

- Environmental and Social Impact Assessment Guidelines for Dams and Reservoirs, 2004
- Environmental Impact Assessment Guideline for Fertilizer, 2004
- Guidelines for Social, Environmental and Ecological Impact Assessment and Environmental Hygiene in Settlement Areas, 2004
- Environmental Impact Assessment Guidelines on Irrigation, 2004
- Integrated Environmental and Social Impact Assessment Guidelines Livestock and Rangeland Management, 2004
- Environmental Impact Assessment Guideline For Mineral and Petroleum Operation Projects, December 2003
- Environmental Impact Assessment Guideline On Pesticides, May 2004
- Environmental Impact Assessment Guidelines on Road and Railway, 2004
- Environmental Impact Assessment Guidelines on Forestry, 2004.

A Directive Issued to Determine Projects Subject to Environmental Impact Assessment, Directive No.1/ 2008

The directive was issued to identify and list out those investment projects subject to mandatory Environmental Impact Assessment. The regions are entitled to issue similar directive to their own specific cases based on these directives. Extensive list of project types requiring ESIA are provided in this directive.

3.5. Relevant Legal and Institutional Framework

Some of the laws, legislations, regulations and local rules governing the use of land and other assets in Ethiopia are presented in the following five sections:

Political Economy and Governance in Ethiopia

Land rights in Ethiopia do not explicitly provide private property rights. After the Proclamations No. 31/1975 and 47/1975, ownership of land was vested in the State, and Ethiopian citizens were given various forms of use-rights (usufruct) over land and other resources. Accordingly, the 1995 Constitution Article 40(3) recognizes land as a common property of the Nations, Nationalities, and Peoples of Ethiopia and prohibits sale or any other exchange of land.

The 1995 Constitution Article 40(7) reiterates and furthers this poin t by stating, “Every Ethiopian shall have the full right to the immovable property he builds and to the permanent improvements he brings about on the land by his labour or capital. This right shall include the right to alienate, to bequeath, and, where the right to use expires, to remove his property, transfer his title, or claim compensation for it.” Regional states are responsible for administering land, enacting law that is in conformity with the provisions on environmental protection and federal utilization policies (Proclamation No. 89/1997 and Proclamation No. 456/2005 Article 17(1)). Furthermore, Proclamation No. 89/1997confirms and details the Constitutional principle that holding rights on land can be assigned to peasants and pastoralists, and that these are to be secured from eviction and displacement. The1995 Constitutions Articles 40(4) and 40(5) provide for free land without payment for farmers and pastoralists.

Property and Land Rights in Ethiopia

Land acquisition and property rights are defined in Article 40(8) of the 1995 Constitution, which empowers the Government to expropriate private property for public purposes subject to payment in advance of compensation commensurate to the value of the property. Under Proclamation No. 455/2005, purchases of land and other assets are established in detailed procedures and time limits where land could be acquired after a request is received from the proponent along with compensation.

The power to expropriate landholdings for a development project belongs to a woreda (rural local government) or urban administration (Proclamation No. 455/2005 Article 3). The implementing agency is required to provide written notification, with details of timing and compensation, which cannot be less than 90 days from notification (Proclamation No. 455/2005 Article 4). The implementing agency is responsible for gathering data on the land needed and works, and sending this to the appropriate officials for permission. It is also required to compensate affected landholders (Proclamation No. 455/2005 Article 5)

Acquisition and Valuation of land and other assets

Land valuations are often done at the woreda and urban administration levels. These local administration units establish valuation committees to value private properties (Proclamation No. 455/2005). In case of publicly owned infrastructure with a designated Right-Of-Way

(ROW), the owners of the structures within the ROW would assess the value of properties to be removed. However, the law does not take into account depreciation values. The landholder is entitled to be compensated for the property on the basis of replacement cost. Permanent improvements to the land, equal to the value of capital and labour expended (Proclamation No. 455/2005 Article 7), are specified as valid basis for determining replacement value.

Assets will be broken down into components to assess value (Directive No. 135/2007). Components for building costs include cost per square meter. Crops are subdivided into seasonal crops and perennial crops, and calculated based on yield per square meter of land multiplied by price per kilogram. Trees could be cut and used by owner plus payment of compensation for loss of continued income. The cost of machinery, labour for improvement, and any infrastructure as part of the improvement will be compensated based on current costs. Property relocation is based on the cost to relocate property given that it is not damaged while being moved. The amount of compensation for loss of land that is used for grazing or production of grass is based on the area of land and the current price per square meter. (Note: more detailed instructions for compensation are included within Directive No. 135/2007.)

Further, assets will be classified as movable and immovable. For movable assets, compensation will be paid for inconvenience and other transition costs (Proclamation No. 455/2005 Article 7(2)). Urban immovable assets include residential houses, business installations, institutional structures, stores, fences and public service providing installation. In rural areas, they include seasonal crops, perennial fruit trees, timber trees and other cash crops.

For losses that cannot be easily valued or compensated in monetary terms (e.g. access to public services, grazing areas, water points, fishing ponds, etc.), an attempt will be made to establish access to equivalent and culturally acceptable resources and earning opportunities (Proclamation No. 455/2005 Article 7(2)).

Compensation will be in an amount sufficient to reinstate displaced people to their economic position prior to displacement; the regionally relevant administration is required to give another piece of land to any person who lost his land in favour of a public project (Proclamation No. 455/2005). The assessment of compensation does not include the value of the land itself because land is a public property and not subject to sale in Ethiopia.

The local and federal governments have different roles in compensation. The woreda and urban administrations are responsible that compensation is paid and giving rehabilitation support to the extent possible, and maintain data regarding properties removed from expropriated landholdings (Proclamation No. 455/2005 Article 13). The Ministry of Agriculture with coordination of concerned Regional Bureau has a duty to ensure there is compliance with Proclamation No. 455/2005 at the regional level, to provide technical and capacity building

support in implementation at the regional level, and prepare the valuation formulae (Proclamation No. 455/2005 Article 12).

Entitlements and Compensation

The people of Ethiopia are given the right to improved living standards and sustainable development and the right to be consulted with respect to policies and projects affecting their communities (1995 Constitution Articles 43(1) and 43(2)). Additionally, all international agreements and relations by the State must protect and ensure Ethiopia's right to sustainable development (1995 Constitution Article 43(3)). Lastly, the 1995 Constitution Article 44 guarantees the right to a clean and healthy environment. The 1995 Constitution Article 40(8) provides that "without prejudice to the right to private property, the State may expropriate private property for public use with the prior payment of adequate compensation." Th e words "prior" and "adequate" are in line with the Universal Declaration of Human Rights. This manifests rights to citizens for basic services and programs, including facilities to guarantee education, health, and housing. Persons who have been displaced or whose livelihoods have been adversely affected by a State program are provided, under the 1995 Constitution Article 44, to some form of compensation for their loss including relocation expenses.

Dispute Resolution and Grievance Redress Procedures

If misunderstandings and disputes arise between the principal parties (e.g. local government bodies and affected parties) involved in the resettlement and compensation process, the preferred means of settling disputes is through arbitration (Proclamation No. 455 /2005). The number and composition of the arbitration tribunal may be determined by the concerned parties. The regular court having jurisdiction within the region may also be involved in implementation and compensation of resettlement if the administrative organ to hear land grievances has not yet been established (Proclamation No. 455/2005 Article 11(1)). Similarly, if the landholder is not satisfied with the decision of the compensation grievance review committee, the case may be referred to the High Court (Regulation No. 51/2007).

3.6. Relevant and applicable International Conventions ratified by Ethiopia

Ethiopia has ratified several international/multilateral environmental conventions and many of the principles and provisions in those conventions have been well addressed in the national environmental policies and regulations. Some of these conventions, which are also relevant for RLLP, include the following:

Cartagena Protocol on Bio-Safety to the Convention on Biological Diversity: Aims to ensure the safe handling, transport and use of living modified organisms (LMOs) resulting from

modern biotechnology that may have adverse effects on biological diversity, taking also into account risks to human health.

Convention on Biological Diversity: This convention aims to conserve biological diversity, promote the sustainable use of the components of biological diversity, and ensure fair and equitable sharing of the benefits arising out of the utilization of genetic resources.

Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters, Done at Aarhus, Denmark, On 25 June 1998.

Kyoto Protocol to the United Nations Framework Convention on Climate Change: Legally binds developed country Parties to emission reduction targets.

United Nations Convention to Combat Desertification: Aims to combat desertification and mitigate the effects of drought in countries experiencing serious drought and/or desertification, particularly in Africa, through effective action at all levels, supported by international cooperation and partnership arrangements.

UN Framework Convention on Climate Change: Provides a framework for international cooperation to combat climate change by limiting average global temperature increases and the resulting climate change, and coping with its impacts. The objective of this convention is to stabilize greenhouse gas concentrations in the atmosphere at a level that will prevent dangerous interference with the climate system.

Stockholm Convention on Persistent Organic Pollutants: Aims to eliminate or restrict the production and use of Persistent Organic Pollutants (POPs).

Convention for the Protection of the World Cultural and Natural Heritage Paris : Requires state parties to recognize that the duty of ensuring the identification, protection, conservation, presentation and transmission to future generations of the cultural and natural heritage situated on its territory, belongs primarily to that State. It will do all it can to this end, to the utmost of its own resources and, where appropriate, with any international assistance and co-operation, in particular, financial, artistic, scientific and technical, which it may be able to obtain.

Sustainable Development Goals and Land Degradation Neutrality: The United Nations have set 17 Sustainable Development Goals (SDGs) to guide the future global development agenda. One of the 17 targets aims to “protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss” (UNDP, 2015).

The Rotterdam Convention (formally, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade:

Promotes shared responsibilities in relation to importation of hazardous chemicals. The convention promotes open exchange of information and calls on exporters of hazardous chemicals to use proper labeling, include directions on safe handling, and inform purchasers of any known restrictions or bans. Signatory nations can decide whether to allow or ban the importation of chemicals listed in the treaty, and exporting countries are obliged to make sure that producers within their jurisdiction comply.

3.7. Applicable World Bank Safeguard Policies Triggered by RLLP

The Resilient Landscapes and Livelihoods Project has been assigned as an EA category of B, for the potential social and environmental impacts on humans and sensitive areas (wetlands, forests, natural habitats, etc...) are less adverse, site specific, few if any of them are irreversible. The ESMF will be required to comply with not only the relevant national policy and legal frameworks but also with the applicable environmental and social safeguard policies of the World Bank. The Bank classifies the proposed project into one of three categories, depending on the type, location, sensitivity, and scale of the project and the nature and magnitude of its potential environmental impacts. Environmental and Social safeguard policies triggered by RLLP, especially for Component I and III of the project, are listed in the table 1 below.

TABLE 1. World Bank safeguards policies triggered by RLLP

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

According to the classification of the World Bank, projects are classified as follows:

Category 'A' projects: The project is likely to have adverse environmental impacts that are diverse, sensitive and unprecedented affecting broader area than implementation sites. A full ESIA is always required for projects that are in this category, and for which impac ts are

expected to be ′adverse, sensitive, irreversible and diverse with attributes such as pollutant discharges large enough to cause degradation of air, water, or soil; large-scale physical disturbance of the site or surroundings; extraction, consumption or conversion of substantial amounts of forests and other natural resources; measurable modification of hydrological cycles; use of hazardous materials in more than incidental quantities; and significant involuntary displacement of people or other significant social disturbances. EA for a Category A project examines the project's potential negative and positive environmental impacts, compares them with those of feasible alternatives (including the "without project" situation), and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental performance.

Category 'B' Projects: The potential adverse environmental impacts on humans and sensitive areas (wetlands, forests, natural habitats, grasslands, etc...) are less adverse, site specific, few if any of them are irreversible. Even though an ESIA is not always required, some environmental analysis is necessary and Environmental and Social Management Plan (ESMP) needs to be prepared with recommended measures to prevent, minimize, mitigate or compensate for adverse impacts. Typical projects include renewable energy; irrigation and drainage (small-scale), rural water supply and sanitation, watershed management or rehabilitation projects, maintenance, or upgrading of projects (small-scale), rather than new constructions.

Category 'C' Projects: There are no or minimal adverse environmental and social impacts. Such projects may not need ESIA other than screening. Typical projects include education, family planning, health, nutrition, institutional development, technical assistance, and most human resource projects. Such projects will not directly cause disturbance of the physical environment and biological components and do not need environmental assessment.

Environmentally, the RLLP is categorized as B project in which significant adverse environmental and social impacts are not expected to occur due to the nature of the proposed subproject activities. The project will trigger Environmental Assessment (OP/BP 4.01) predicated on the assumption that there could be potential environmental risks and negative social impacts associated from the implementation of Green Infrastructure for Resilient Watersheds (component I) activities, whose scope, nature and boundaries are not yet known but are likely to involve civil works involving rehabilitation and new construction; and social impacts caused from tenure rights of component III. However, since most of the component one activities are focused on creating resilient to landscapes, rehabilitation of degraded lands, livelihood improvement, they will have more positive environmental and social impacts and the potential negative impacts will be minimal and should be addressed with mitigation measures.

Natural Habitats OP/BP 4.04: This policy is triggered by any project (sub-project) with the potential to cause significant conversion (loss) or degradation of natural habitats (protected or unprotected ecologically valuable habitats), either directly through construction or indirectly through human activities induced by the project. The natural habitats are land and/or water areas where the biological communities are formed largely by native plant and animal species, and human activities have not essentially modified the primary ecological functions. Natural habitats have important biological, social, economic, and existence value.

The policy will be triggered because sub-projects in RLLP may have some adverse impacts on wetlands, protected areas, conservation sites, and critical ecosystems. Sub-projects involving significant conversion of natural habitats or if an environmental assessment indicates that a proposed sub-project would significantly convert or degrade natural habitats, the proposed sub-project will not be eligible for financing under RLLP.

Pest Management OP 4.09: The policy requires safe, effective, and environmentally sound pest management. In Bank financed agricultural operations, pest populations are normally controlled through IPM approaches such as biological control, cultural practices, and use of crop varieties that are resistant or tolerant to pests. The Bank may finance the purchase of pesticides when their use is justified under an IPM approach. However, purchase of pesticides must be in accordance with Recommended Classification of Pesticides by Hazard and Guidelines to Classification (WHO, 1994/95). During selection, the following criteria must be applied: Pesticides (i) should not have adverse human health effects; (ii) should be effective against the target species; (iii) should have no/minimal effect on non-target species and the natural environment; (iv) should not lead to the development of resistance in pests.

The policy will be triggered by the RLLP activities, even though RLLP funds won't be used to manufacture, or directly purchase or distribute agrochemicals. However, in the course of agriculture and irrigation related activities (introduction of high value crops and use of pesticides, introduction of new varieties of crops, new fruit tree species and varieties, high yielding varieties) may demand the use of agrochemicals and inorganic fertilizers (insecticides, herbicides, fertilizers, etc.). The project promotes the use of IPM where it refers to a mix of farmer-driven, ecologically based pest control practices that seek to reduce reliance on synthetic chemical pesticides. It involves (a) managing pests (keeping them below economically damaging levels) rather than seeking to eradicate them, (b) relying, to the extent possible, on nonchemical measures to keep pest populations low; and (c) selecting and applying pesticides, when they have to be used, in a way that minimizes adverse effects on beneficial organisms, humans, and the environment. Therefore, an Integrated Pest Management Plan needs to be prepared as part of ESMP prior to the start of subprojects, if environmental and safety hazards are identified or expected from the use of pesticides as indicated in the guideline in Annex 10.

Underserved people OP/BP 4.10: The policy requires the interventions of the project should include measures to (a) avoid potentially adverse effects on the historically underserved Peoples (b) when avoidance is not feasible, minimize, mitigate, or compensate for such effects. Therefore, RLLP will engage in a process of free, prior, and informed consultation. The Social assessment is made in all the six regions including Gambela and Benishangul Gumuz where these underserved people are found. Based on the assessment report, RLLP targets some of the woredas and the interventions may pose some undesirable impacts on these peoples. Therefore, to avoid/mitigate the impacts the policy is triggered by the project, i.e. RLLP.

Physical Cultural Resources OP/BP 4.11: the policy requires countries to avoid or mitigate adverse impacts from development projects on physical cultural resources. The physical cultural resources refer to movable or immovable objects, archaeological and historical sites, historic urban areas, sacred sites, grave yards, burial sites, structures, paleontological, historical, architectural, religious, aesthetic, or others that have unique natural, social and cultural significance.

The policy is triggered by the RLLP because the small-scale infrastructure sub-projects involve access road construction, small scale dam construction, irrigation, and other similar infrastructure, which may possibly affect physical and cultural resources. The necessary steps of public consultations, engagement of cultural or religious leaders, local authorities need to be conducted before decision on project is made.

Involuntary Resettlement OP/BP 4.12: the policy on involuntary land acquisition aims to avoid or minimize involuntary resettlement where feasible, exploring all viable alternative project designs; assist displaced persons in improving their former living standards, income earning capacity, and production level, or at least in restoring them; encourage community participation in planning and implementing resettlement; and provide assistance to affected people regardless of the legality of land tenure. The policy covers any loss of land or other assets resulting in relocation or loss of shelter; loss of assets or access to assets; loss of income sources or means of livelihood whether or not the affected people must move to another location. When the policy is triggered, a Resettlement Action Plan must be prepared. An abbreviated plan may be developed when less than 200 people are affected by the project. In situations, where all the precise impacts cannot be assessed during project preparation, provision is made for preparing a Resettlement Policy Framework. The Resettlement Action Plan /Resettlement Policy Framework must include measures to ensure that the displaced persons are informed about their options and rights pertaining to resettlement. The displaced persons are 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.

Under RLLP, activities related to afforestation and reforestation sub-projects may not necessarily cause large scale involuntary land acquisition since such projects will be implemented on communal lands. However, such activities may trigger this policy during enclosure of areas for rehabilitation and natural regeneration since it restricts access and also may result in relocation of few numbers of households outside of the project areas.

Forests OP/BP 4.36: the policy aims to reduce deforestation, enhance the environmental contribution of forested areas, promote afforestation, reduce poverty, and encourage economic development. The policy applies to Bank financed investment projects: i) that have or may have impacts on the health and quality of forests; ii) that affect the rights and welfare of people and their level of dependence upon or interaction with forests; iii) that aim to bring about changes in the management, protection, or utilization of natural forests or plantations under public, private, or communally ownership. The Bank does not finance projects that involve commercial logging, significant conversion or degradation of critical forest areas and related habitats.

Under RLLP, the forest related activities will have positive impacts because activities are on reforestation, rehabilitation of degraded forests land and communal lands. Community infrastructure such as access roads and irrigation infrastructures may pose some negative impacts if forests are found in those sub-project sites. Management plans with mitigation measures will be prepared to avoid or reduce such impacts. If there are projects likely to cause significant conversions of forests, they will not be financed under the RLLP.

Safety of dams (OP 4.37): No new or rehabilitation of large dams are anticipated. There will possibly be of small dams (less than 4.5 meters height) construction for water harvesting structures and may not require special procedures to follow. Based on experience in Ethiopia, a dam less than 4.5-meter-high is considered as a small dam. Therefore, for the construction and operation of small dams, relevant guidelines will be used to protect people, property and the environment from harmful impacts and risks. Since RLLP will promote the construction of a dam less than 4.5 metres, the project triggers OP 4.37 of the World Bank.

The RLLP will therefore use the FAO ‘Manual on Small Earth Dams, a guide to siting, design and construction’ as a good practice. In addition, the guideline for small dam construction prepared by the Ministry of Agriculture will be used to ensure safety of small dams and the guideline is attached in Annex 13.

Projects on International Waterways OP/BP 7.50: the policy applies to any river, canal, lake, or similar body of water that forms a boundary between, or any river or body of surface water that flows through, two or more states. It also includes any tributary or other body of surface water (any bay, gulf, strait, or channel) bounded by two or more states or, if within one state, recognized as a necessary channel of communication between the open sea and other states and

any river flowing into such waters. The policy applies to hydroelectric, irrigation, flood control, navigation, drainage, water and sewerage, industrial, and similar projects that involve the use or potential pollution of international waterways. The policy recognizes prior riparian states agreements/arrangements and calls for notification of riparian states by parties that proposes to undertake project that affects international waters.

Activities under Component 1 of the RLLP are aimed at better watershed and pastureland management, afforestation and reforestation, reduction of forest degradation due to the use of Renewable Energy (RE) and Energy Efficient (EE) technologies, improving livelihoods of the smallholder farmers through various IGAs, biodiversity conservation as well as climate smart agriculture. These activities will contribute to reducing soil erosion and rejuvenate degra ded landscapes hence lesser siltation of rivers and streams in the targeted watersheds. None of the project activities will, therefore, adversely change the quality or quantity of water flows to the other riparian and tributaries or any other international waterway and no actual works will be financed on or along the river system. Based on the assumption that investments under the project are unlikely to affect the overall hydrological balance of any of the international waterways or tributaries, this policy will not be triggered under the RLLP.

4. Baseline Data on Environmental and Social Conditions of RLLP Regions

Ethiopia is a country hosting very diverse ecosystems and habitats ranging from desert to afro alpine ecosystems in its huge altitudinal gradient. Most of the country's landscape is fabulous; rich in water resources and fertile soil for agriculture. Even though the country is rich in biodiversity resources, both its highlands and lowlands are among the thirty-five biodiversity hotspot regions of the world, implying its biodiversity resources (and its natural resources in general) are threatened by degradation or already degraded (WLRC, 2016). The country has a long history of coping with extreme weather events. Rainfall is highly erratic and typically falls in the form of intensive convective storms spawned by the country's varied topography. Over the past three decades it has experienced countless localized drought events and seven major droughts. Future climate variability and change are expected to accelerate already high levels of land degradation and soil erosion, increase vulnerability to droughts and floods, and negatively impact agricultural productivity. Over the past 15 years Ethiopia has achieved substantial development progress, with the poverty headcount falling from 44.2 percent to 23.5 percent from 2000-2015. However, these gains are vulnerable to climate change: more than 87% of the poor live in rural areas and are dependent on rainfed agriculture.

Land degradation in the form of soil erosion, sedimentation, depletion of nutrients, deforestation, and overgrazing - is one of the basic problems facing farmers in the Ethiopian highlands, and this limits their ability to increase agricultural production and reduce poverty

and food insecurity. Land degradation in Ethiopia has proceeded at an alarming rate, and will be increasingly aggravated by the impact of climate change. Conservative estimates suggest that climate change will reduce agricultural crop productivity in Ethiopia by 5 -10 percent by 2030. The highlands of' Ethiopia contain one of the largest areas of ecological degradation in Africa. From 1981 to 2003, 296,812 km2 (29.7 million ha) of land has been degraded, affecting a population of 20.65 million (Bai et al. 2008).

The RLLP will be implemented in different agro-ecological and administrative regions characterized by different regimes of rainfall, temperature, growing periods, socioeconomic and biophysical environments. The project will be implemented in 135 (the already existing SLMP-I and II and 18 GAC supported) and 57 newly added Woredas/watersheds in six of the regions, namely Oromia, Amhara, Tigray, SNNP, Gambella and Benishangul Gumuz. Majority of the areas are located in typically highland agro-climatic zones (in *Dega* or high altitude and *dry Woina Dega* or mid-altitude) with cereal crop-based or mixed crop-livestock faming systems, high altitude and high rainfall, high potential productivity and moderate to severe land degradation, longer growing periods and high population density. There are also some woredas which are located in the lowland agro-climatic zones where farming is crop-livestock mixed or annual/perennial crop-livestock mixed farming system is practiced.

The environmental and socioeconomic milieu of the intervention areas are characterized by high production potential but with significant limitations due to severe land degradation, high agro-ecological variability and diverse farming systems, high population density and land fragmentation. Those areas with potential access to markets to maximize return from agricultural production, development potential for surface and ground water resources to increase production; and areas with critical importance for the protection of vital economic infrastructures from on-going or potential erosion-sedimentation problems will be selected for intervention.

The planning and implementation of the sub-project activities will be guided by relevant documents of the MoA and the program (SLMP): the Project Appraisal Document (PAD); Project Implementation Manual (PIM); the Environmental and Social Management Framework (ESMF); Social Assessment (SA); Resettlement Policy Framework (RPF); Gender Mainstreaming Guideline (GMG); the Community Based Participatory Watershed Development Guidelines (CBPWDG, under revision by MoA); and Exit Strategy and Performance Assessment for Watershed Management (ESPAWM): A Guideline for Sustainability.

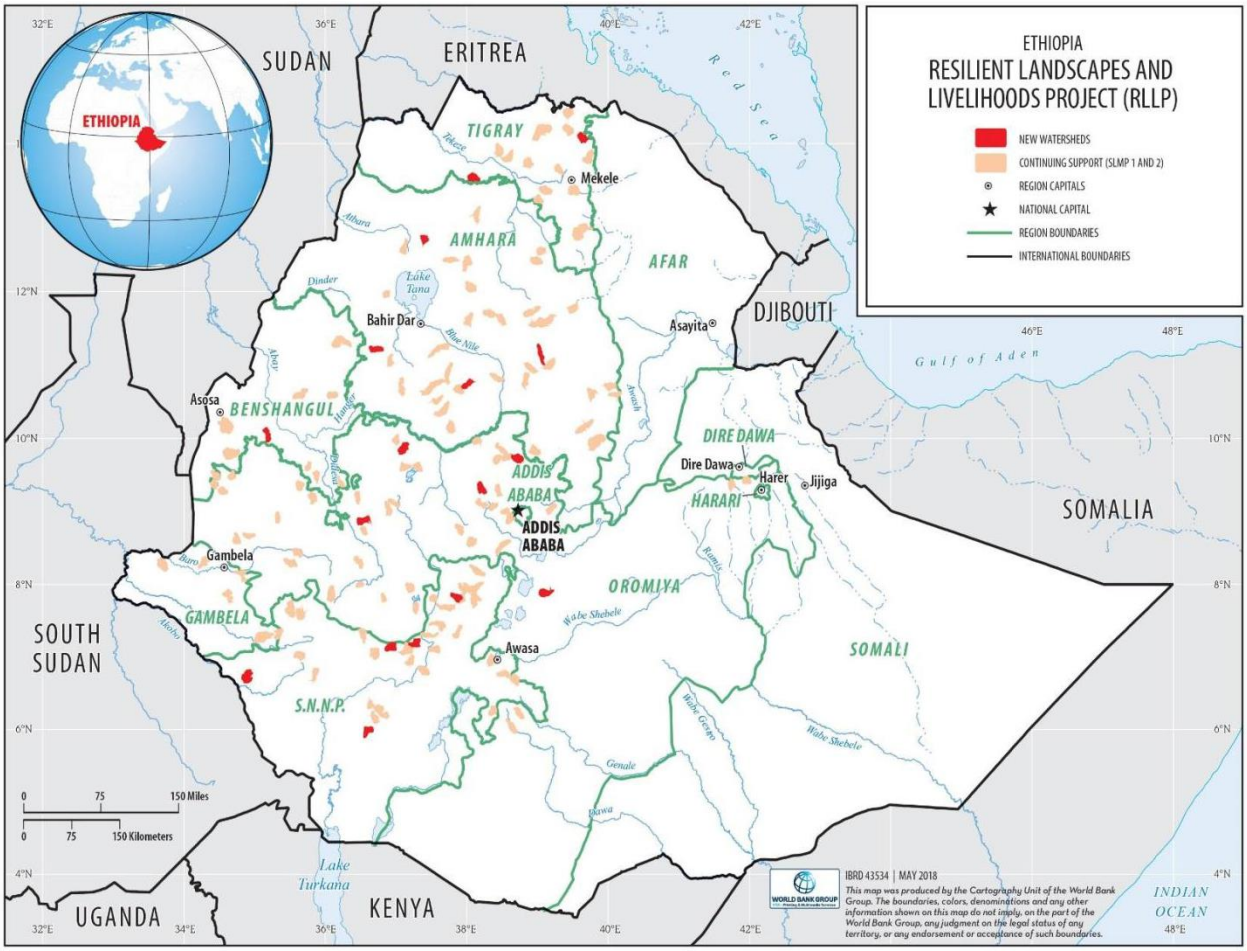

FIGURE 3. Location map of the RLLP Watersheds/woredas

4.1. Physical Environment

Climate

The lowlands of RLLP regions are characterized by high temperature and low precipitation, whereas the highland parts enjoy suitable temperatures and ample rainfall. In general, mean annual temperature in the six regions varies from less than 10$_0$c in high altitudes to over 30$_0$c in tropical lowlands. The amount, duration and intensity of rainfall in RLLP regions also vary considerably. The annual rainfall in the regions ranges from 303 -2,553 mm.

Soil and Geology

The major types of soil in RLLP region include Nitosols, Vertisols, Cambisols, Acrisols, Luvisols, Lithosols, Aluvisols, Arenosols and Regolsols, most of which carry high agricultural potentials. However, soils on the highlands of the regions have been subjected to serious

erosion due to human activities (deforestation, over cultivation, and poor farming practices). The Precambrian, Palaeozoic, Mesozoic, and Cenozoic rocks are the three main geologic formations found in the RLLP regions. Additionally, the Proterozoic rock formation is found in Tigray Region.

4.2. Socio-Demographic Characteristics

4.2.1. Southern Nations, Nationalities and Peoples Regional State (SNNPRS)

(a) Demographic and Economic Features

South Nations Nationalities and Peoples Regional State (SNNPRS) covers an area of 111,000 km2, and accounts for 10% of the total area of the country. The region is home to more than 56 ethnic groups. SNNPR is located in the southern and south-western parts of the country. It shares borders with the neighboring counties of Sudan in the west and Kenya in the south. In the northwest, the region borders with Gambella Regional State and with Oromia Regional State in the east and north.

According to the Central Statistics Agency (CSA), 2013 national population projection data of all regions from 2014-2017, SNNPR has a total population of 17,837,005 (8,843,499 males and 8,993,006 female). 15,130, 000 (84.8 %) of the population are rural inhabitants, and 2,707,000 (15.2%) urban dwellers. This region has an estimated average population density of 141 persons per square kilometer.

The region has undulating topography, and is dissected by the Omo river basin into western and eastern parts. The elevation ranges from 376 to 4207 m.a.s.l, the lowest part being Lake Rudolf in South Omo and the highest being Mount Goge in North Omo. About 56% of the total area of the region lies below 1500 m.a.s.l, and is largely categorized as hottest low land, *Kolla*. The rest 44% is found in the temperate climatic zone. The mean annual rainfall of the region ranges from 500 to 2200 mm, its intensity, duration and amount increases from south to northeast -northwest. The mean annual temperature ranges from 15^0C to 30^0C.

The larger portion of the Region is cultivated land (35%), followed by forest land (21%), and grazing land (14.9%). Agriculture is still the single most important economic activity of the Region. The land holding of peasants is generally very small and the average land holding is less than one hectare per household. Livestock production is the region's major economic activity, followed by enset and coffee production, fisheries, irrigation, and eco-tourism. Teff, wheat, maize and barely are the main crops grown in most of the areas in the region. RLLP will be implemented in 44 (existing 31 and newly added 13 woredas) selected woredas/watersheds of SNNPRS and lists of the woredas are found in the table 1 below. SNNPR has five national

parks (Mago, Nechsar, Omo, Chebera Churchura and Maze), and two wild life reserves (Chewbahir and Tana) (PASIDP, ESMF 2016).

TABLE 2. SNNPRS existing and newly added RLLP targeted woredas

Existing woredas- (WB- I & II) (SLMP-I and II)		Newly added woredas- (WB – III) (RLLP-SLMP-III)
Adyo	Geta	Bursa
Alicho Wuriro	Gesha	Endegagn
Angacha	Hawassa Zuriya	Shey Bench
Arbegona	Gumer	Debub Ari
Basketo	Ginbo	Ezha
Boloso Bombe	Semen Bench	Debub Bench
Bule	Gibe	Bita
Chena	Geze Goffa	Gombora
Hulbareg	Mirab Azerinet	Tocha
Kindo Didya	Muhurna Akilil	Melekoza
Konta	Oyda	Gena Bosa
Loma	Semen Ari	Kindo Koysha
Mareqa	Soro	Jewata
Masha	Tambaro	
Mehinit Goldia	Wensho	
Yem		
31		**13**

(b) Ethno-Religious Features

As ethnically the most diverse region of the country, SNNPR is inhabited by about 56 ethnic groups with their own distinct languages, cultures, beliefs, geographical locations and norms and value systems. These varied ethnic groups belong to the Omotic, Cushitic, Semitic, and Nilo-Sahara linguistic families. In order of population size, the ten largest ethnic groups in the region are Sidama, Wolayta, Gurage, Hadiya, Gamo, Kaffa, Gedeo, Kembata, Kullo, and Goffa. The major religious groups in the region are Protestants, Orthodox Christians, Muslims, traditional worshipers, and Catholics.

4.2.2. Oromia National Regional State

(a) Demographic and Economic Features

With a total land area of approximately 353,000 km2, Oromia is the largest region accounting for about 34.3% of the country. Oromia is bounded by the country's all regional states except Tigray. Oromia also shares common borders with the neighboring countries of Sudan and

Kenya. According to the 2007 national census, the region has an estimated population of 27. 2 million, the largest of all the nation's regional states. More than 87% of the people of Oromia live in rural areas while 13% reside in urban areas.

The topography of Oromiya Region varies from high rugged mountain ranges, undulating plateaus, panoramic gorges and deep incised river valleys, and rolling plains, with altitudes ranging from less than 500 m.a.s.l. to over 4500 m (Mt. Batu being the highest peak at 4607 m). The prevailing climatic types in the region may be grouped into 3 major categories: the dry climate, tropical rainy climate and temperate rainy climate. The dry climate has mean annual temperatures of 27°C to 39°C, and mean annual rainfall of less than 450 mm. The hot semi-arid climate mean annual temperature varies between 18°C and 27°C, with a mean annual rainfall of 410-820 mm with noticeable variability from year to year (PASIDP, ESMF 2016).

The economy of Oromia Regional State depends on agriculture, which contributes about 66% of the regional GDP and provides an employment opportunity for more than 89% of the regional population. Mixed farming dominates the livelihood of the region. Oromiya accounts for 51.2% of the crop production, 45.1% of the area under temporary crops and 44% of the total livestock population of Ethiopia. Coffee is the main cash crop in the region. The major crops grown in the region are coffee, maize, wheat, barley, teff, sorghum, peas, bean and oil seeds. The average land holding size per household in the rural areas is 1.14 hectares, compared to the national average of 1.01 hectares. 24% of the population is engaged in non-farm activities (compared to the national average of 25%). RLLP will be implemented in 62 woredas/watersheds (SLMP-I, SLMP-II & GAC existing and newly added 17 woredas) of Oromia Regional State.

TABLE 3 . Oromia region existing and newly added RLLP targeted woredas

Exiting woredas (WB- I & II) (SLMP-I and II)			Existing GAC woredas	Newly added woreda (WB- III) (RLLP-SLMP-III)
Abay	Sebeta Awi	Wanchi	Ambo	Tiyo
Abote	Begi	Warajarso	Bedele	Hetosa
Adaa Berga	Gimbi	Welmera	Didessa	Munesa
Amuru	Gimbichu	Woliso	Guto Gida	Ziway Dugda
Ana Sora	Gumay		Nejo	Dugda
Boji Dirmaji	Haromaya		Sokoru	Girar Jarso
Degem	Hawa			Meta Robi
Dendi	Horo			Tole
Ejere	Jimma Arjo			Akaki
Gachi	Kersa			Boji Chokorsa
Kuyu	Kersa			Borecha

Exiting woredas (WB- I & II) (SLMP-I and II)			Existing GAC woredas	Newly added woreda (WB- III) (RLLP-SLMP-III)
Lalo kille	Kondala			Leka Dulecha
Mana	Seyo			Jardega Jarte
Mettu	Sibu Sire			Shebe Senbo
Nopa	Sigmo			Dale Sadi
Omo Nada	Tiro Afeta			Dale Wabera
Sasiga	Uraga			Dama
Sayo				
39			**6**	**17**

(b) Ethno-Religious Features

Twelve percent of the population in the region account for different non-Oromo ethnic groups (Amhara, Hadiya, Sidama, etc.). Broadly speaking, there are five main sub-groups of Oromo. The Western Oromo live mainly in the Wollega area and are settled agriculturists. The Northern Oromo live in Shoa and some areas of Wollo and are more integrated with the Amhara culture. These are generally bilingual, speaking both Amharic and Oromifa. Some pockets of Northern Oromo are also found as far away as in Tigray. The Southern Oromo consist of smaller sub-groups without regional cohesion, and most are pastoralists leading a semi-nomadic lifestyle. The Eastern Oromo live in East and West Harerge zones including in the towns of Harari and Dire Dawa. The Borana make up the fifth Oromo sub-group inhabiting the southern most parts of Ethiopia along the common border with Kenyan. Forty-eight percent of the population in region are adherents of Islam, followed by 30% Orthodox Christians, 18% Protestants, 3% traditional believers, 0.5% Catholics, and 1% others.

4.2.3. Tigray National Regional State

(a) Demographic Features

Tigray National Regional State accounts for a total land area of 53,000 km_2, consisting of six administrative zones and 35 woredas. It shares borders with Eritrea in the north, Afar and Amhara national regional states in the east and the south, and Sudan in the west. According to CSA, 2013 national population projection data from 2014 -2017 reported that the region has a total population of 4,960,003 (2,444,000 males and 2,516,003 female). The regional average land holding is estimated to be 0.5ha/household. 26 woredas/watersheds of Tigray are selected for the implementation of RLLP (20 existing SLMP-I, SLMP-II & GAC woredas and 6 newly added woredas).

TABLE 4. Tigray region existing and newly added RLLP targeted woredas

Existing woredas (WB I & II) (SLMP-I and II)		Existing GAC woredas	Newly added woredas (WB- III) (RLLP-SLMP-III)
Adwa	Endemehoni	Asgede Tsimbla	Tselemti
Ahferom	Kola Tembein	Laelay Maichew	Mereb Leke
Atsbi Womberta	Medebay Zana	Ofla	Hawzien
Degua Tembein	Naedier Adet	Raya Alamata	Kilteawlalo
Enderta	Raya Azebo	Tahetay Maichew	Saesie Tsaeda Emba
Ganta Afeshum	Seharti Samre	Werie Leke	Hintalo Wajerat
Gulomekeda	Tanka Abergele		
14		**6**	**6**

Altitudes range from 500 meters up to 3,900 meters above sea level. It is situated between 12 ^{0} 15' N and 14^{0}57' N latitude and between 36^{0}59'E and 40^{0} E longitudes with an estimated area of 53,638 km2. The mean annual rainfall for the region ranges from 600 mm in the north -eastern part to 1,600 mm in the woredas lying in the western part. Temperature ranges between 16^{0}C and 20^{0} C in the eastern and central highland part while in the lowlands of the western zones it is 38 to 40^{0}C. In the region, farm yields are generally lower in the middle highlands because of lower soil fertility and erratic rainfall. The staple crops in western lowlands of Tigray are sorghum, maize, teff, barley and wheat. Tigray is home to typical Ethiopia's grain species, notably different varieties of wheat and barley adapted to shorter or longer rainy seasons.

(b) Ethno-Religious Features

The density in Tigray Region in this time was 116 persons /square kilometer. Other ethnic groups in Tigray consist of Amhara (1.63%), Irob (0.71%), Afar (0.29%), Agaw (0.19%), Oromo (0.17%) and a Nilo-Saharan-speaking Kunama (0.07%). In the region, 95.6% of the population are Orthodox Christians, 4% Muslims, 0.4% Catholics and 0.10% Protestants.

4.2.4. Amhara National Regional State

(a) Demographic and Economic Features

The Amhara National Regional State covers a total land area of approximately 154,000 km^{2}. The regional average landholding is 0.3 ha/household. According to the CSA, 2013 national population projection data from 2014-2017, the region has a total population of 20,018,988, out of which 84% live in rural areas. Even if more than 15 soil types are found in the region, leptosols, followed by Vertisols and Cambisols exist predominantly. Under RLLP 54 woredas/watersheds of the region are targeted for the implementation. (40 existing SLMP-I, and II & GAC woredas and 14 newly added woredas). Detail woreda lists in the table 5 below.

TABLE 5 . Amhara region existing and newly added RLLP targeted woredas

Existing woredas (WB- I & II) (SLMP-I and II)			Existing GAC woredas	Newly added woredas (WB-III) (RLLP-SLMP-III)
Alefa	Ensaro	Menz	Dessie Zuria	Enarjina Enawga
Antsokia	Fagita Lakoma	Mirab	Wogera	Farta
Artuma	Gazgibla	Misrak	Legambo	Guna Begemidir
Bibugn	Gonji Kolela	Sayint	Dewa Chefa	Gonji Kollela
Baso Liben	Gozamin	Sekota	Baso Werana	South Mecha
Borena	Gubalafto	Tach Gaynt	Hulet Eju Enebse	Quarit
Bure	Janamora	Tenta		Dangila
Chilga	Jabitehnan, Dega Damot Dembecha,	Wadla		Fedi
Debay	Kewet			Gonder Zuriya
Delanta	Lay Gaynt			Lay Armachiho
Dewe Harewa	Machakel			Mekdela
Ebinat	Meqet			Angolelana Tera
Enebsie	Misrak Este			Berehet
				Dawunt
34			**6**	**14**

The climatic condition of the Region is divided into temperate (Dega), subtropical (Woina Dega) and arid (Kola) agro-climatic zones, constituting 25%, 44% and 31% of the total area of the region, respectively. Mean annual rainfall of the Region varies from 700 mm to over 2,000 mm and the temperature range is between 10^0C and 26^0C. Most of the region is on a highland plateau and characterized by rugged mountains, hills, valleys and gorges. Hence, the region has varied landscapes composed of steep fault escarpments and adjoining lowland plains in the east, nearly flat plateaus and mountains in the center, and eroded landforms in the north. Most of the western part is a flat plain extending to the Sudan lowlands. The high population growth rate of the region has led to severe land shortages and rapid natural resource degradation.

Cereals, pulses, and oilseeds are the major crops grown in the Amhara. Principal crops include teff, barley, wheat, maize, sorghum and millet. Pulses include horse beans, field peas, haricot beans, chickpeas and lentils. The region also has large livestock resources.

(b) Ethno-Religious Features

Other ethnic groups include the Agaw/Awi (3.46%), Oromo (2.62%), Kamant (1.39%), and Argoba (0.41%). Of the total population of the Region, 82.5% are Orthodox Christians, 17.2% Muslims, 0.2% Protestants and 0.1% others.

4.2.5. Gambella National Regional State

(a) Demographic and Economic Features

Gambella Regional State has a total land area of 29,782.82 km2, with a total population of 396,000 (207,000 males and 189,000 female) according to the CSA, 2013 national population projection data for 2014-2017. Of these, 68.7% inhabit in rural areas while 31. 3% live in urban areas. The region is located in the south-western part of Ethiopia, bordering with Oromia Regional State in the north and east, SNNPR in the south and east, and Benishangul-Gumuz in the north. The Region also borders the Republic of South Sudan in the south and Sudan in the west. The altitude of Gambela region ranges between 300 and 2,500 m.a.s.l. Ago-ecologically, the region is predominantly lowland (kola), with a few midlands (Woina Dega).

The average annual rainfall of the region varies according to the different altitudes. While areas with 400 - 500 m.a.s.l of the western part receive 900 mm - 1500 mm/annum, areas over 2,000 m.a.s.l (eastern part) receive average rainfall ranging from 1,900 to 2,100 mm/annum. Accordingly, the average temperature is 17.5^{0}C – 27.5^{0}C and the mean annual rainfall is 900-2200mm. The majority of the population of the region lives in rural areas where their livelihood is based on sedentary agriculture (crop based, livestock based and agro-forestry based) in which the region's economy is predominantly dependent. The region is endowed with abundant natural resources of expansive land and water which are the main source of livelihoods of the people. Gambella Region is endowed with vast natural resources.

The main habitats of Gambella Region are forests, woodlands, swamps and rivers. Out of the total area 25% of the land is covered with forest. The region is very rich in water sources especially availability of five major rivers, namely, Baro, Akobo, Itang, Gillo and Alwero Rivers that are also trans-boundary makes the region a water tower. The RLLP will be implemented in 9 woredas of the regions (including the existing 6 woredas of SLMP-I and II).

TABLE 6 . GAMBELA region existing and newly added RLLP targeted woredas

Existing woredas (WB I & II) (SLMP-I and II)		Newly added woredas (WB-III) (RLLP-SLMP-III)
Abobo	Mengeshi	Lare
Gambela	Itang	Jikawo
Godere	Mekuey	Dima
6		3

(b) Ethno-Religious Features

The region is a home of five indigenous ethnic groups. The major ethnic groups are the Nuer (46%), Agnuwa (21%), Majenger (7%), Komo (3%), and Opo (3%). Gambella is also a host region for people who migrated there at different times, locally called highlanders, accounting for 20% of the population. The dominant faiths in the region are Protestant, Orthodox Christian, traditional belief, Islam, Catholic, and others.

4.2.6. Benishangul-Gumuz National Regional State

(a) Demographic and Economic Features

According to the CSA, 2013 national population projection data from 2014-2017 accounts for a total of 50,380 km2, with a total population of 975,998 (495,000 males and 480,998 female). Of these, 80.63% live in rural areas. The region is located in the western part of Ethiopia, sharing borders with Gambella, Amhara, and Oromia regional states, and the Republic of South Sudan. Benishangul-Gumuz National Regional State has an altitude ranging from 600 up to 2,000 m.a.s.l and has topography dominated by river valleys which join the Abay River before it enters the Sudan.

The climate of the region is generally favorable for crop and livestock production, but agricultural remains at subsistence level mainly due to lack of experience, low technology, and underdeveloped infrastructure. The region has climatic condition of 85% Kola (Hot climate), 10% Woina Dega (Semi – Temperate) and 8% Dega (Temperate) climatic conditions. It is endowed with rich natural resources, including fertile land, water, forest, minerals, and fish. Abundant water resources are available in the region. Abay River and most of its major tributaries flow across the region that can be used for irrigation. Benishangul-Gumuz National Regional State is endowed with a variety of natural resources. Over 50% of the land is covered with natural forest, which also has commercial value. RLLP targets 15 woredas/watersheds of the region (including the 11 existing SLMP-I and SLMP-II woredas).

TABLE 7. Benishangul Gumuz region existing and newly added woredas

Existing woredas (WB I & II) (SLMP-I and II)			Newly added woredas (WB-III) (RLLP-SLMP-III)
Bambasi	Belogiganfoy	Homosha	Debati
Agalometi	Bullen	Kemashi	Oda
Assosa	Dangur	Mao and	Assosa
Pawii	Wombera		Yaso
	11		**4**

(b) Ethno-Religious Features

The major ethnic groups in Benishangul-Gumuz are Berta (25.9%), Gumuz (21.1%), Shinasha (7.5%), Mao (1.8%) and Komo (0.96%). Other groups include Amhara (21.3%), Oromo (13.3%), and Agaw-Awi (4.2%). In the region, 45.4% of the populations are Muslim, 33.3% Orthodox Christians, 13.53% Protestant, 0.6% Catholic and 7.09% practicing traditional beliefs.

5. Potential environmental and social impacts and mitigation measures

The proposed RLLP project is a landscape management, livelihood improvement and capacity building project, which will implement various interventions that will have a direct impact on the biophysical and human environment. The project is, primarily aimed at enhancing the positive impacts but may have some negative impacts which may occur at different stages of the project cycle (mainly during implementation and operation) due to improper design and implementation. The ESMF is prepared to ensure that the implementation of the RLLP will be carried out in an environmentally sound and socially acceptable manner. It provides a framework to enable communities (with the help of DAs and woreda experts) to screen sub projects and take institutional measures to address adverse environmental and social impacts. The environmental and social management intervention is intended to maximize positive impacts and ensure sustainability of the project by avoiding, minimizing and/or mitigating the negative impacts through appropriate mitigation measures.

5.1. Positive Impacts

Component I of the project, i.e. Green Infrastructure and Resilient Livelihoods focuses on degraded landscape rehabilitation through proven physical and biological conservation structures (bunds, terraces, water harvesting trenches, check-dams, small reservoirs, and other civil works; soil fertility and moisture management; assisted natural regeneration; enclosures plus livestock land use rationalization, intercropping, minimum tillage, gully reclamation, grazing corridors, watering points and wells, sylvo-pastoral strategies, etc...), afforestation and reforestation on communal and private lands. In principle, the positive impacts of the program are the basis of justification for the preparation of the program. The environmental and social impacts of the component-I of the RLLP are undoubtedly positive because the project activities are intended to scale up proven sustainable land and water management practices by rural smallholders and communities in large watersheds vulnerable to climate variability and change, recurrent droughts and floods, and land degradation. Generally, the RLLP is expected to create positive impacts on the local environment and the community, in the short, medium and long terms as it is listed in the table 8 below.

TABLE 8 . Positive social and environmental impacts of component I and III

Component/ sub component	Positive social impacts	Positive environmental impacts
1. Component 1. **Green Infrastructure and Resilient Livelihoods**. 2. Sub components are • Land Restoration and Watershed Management, • Climate-smart Agriculture • Livelihood Diversification and Connection to Value Chains,	• Farm and landscape productivity will be improved; • Local livelihoods will be diversified and improved; • Adaptive capacity of local communities will be improved by promoting climate smart agriculture; • Food security will be improved through better crop yields, managed agricultural resource base; • Increase income of the local community, create job opportunity (employment opportunity) for landless community members; • Reduce farmer's economic loss; • Improves access to a number of non-timber forest products for household needs like grass; • Enhance ecosystem service for the local community; • Creates additional job for cook-stove producers and improve their income • Reduce exposure to indoor air pollution especially to women and children, • Increase productivity of livestock; • Secure sustainable household income, • participation of stakeholders (private and government) in the value chain will increase, • Reduce the burden of women by reducing the time for fuel wood gathering and by reducing the time & energy for fetching water from long distance, • Communities will be able to sustain and improve their livelihoods	• Important habitats and biodiversity will be restored at the landscape level, • Critical ecosystems will be rehabilitated and ecosystem goods and services will be revitalized; • Increase crop diversification and agricultural practices will be improved; • Local climate will be regulated and carbon sequestration will be increased; • Carbon sequestration will increase and GHG emission will be reduced; • improved soil fertility and yields, • soil conservation, erosion control and water conservation, • Improves environmental conditions by increasing vegetation cover, • enhance biodiversity conservation; • Lower environmental contamination, • The different SWC practices help to hold soil in place during and after harvest of farm crops. This allows for ground moisture levels to remain regular, reduces soil degradation and erosion; • increase crop yields by enriching soil fertility and reduce the pollution from (synthetic) fertilizers • Reduce pressure on fragile ecosystems and the available resources; • Emissions from livestock will reduce; • Trees planted on physically treated farm and communal lands will serve

Component/ sub component	Positive social impacts	Positive environmental impacts
	without damaging the NTFP resources, water sources or ecosystems. • Improve access to reliable lighting and reduce in indoor air pollution due to soot or particulate matter typically associated with the combustion of firewood and charcoal, from kerosene lamps, which resulting health benefits with respect to respiratory and eye diseases;	as wind break, feed for livestock and improves soil fertility, • Reduce deforestation and forest degradation in areas where non-renewable biomass is used as a source of fuel, which implies that the demand for firewood and charcoal is reduced.
Component 3. **Land Administration and Use** • Second Level Landholding Certification, • Participatory Local Land Use Plan, • National Rural Land Administration Information System,	• Increase productivity of agricultural land; • Creates a sense of ownership to the land holder; • Reduce conflict between different key actors on land resource, • Improves the investment on the land.	• Help reduction of deforestation due to conversion of forest land into other land use. • Make sustainable and long-term land improvement and management practices

5.2. Potential negative impacts and mitigation measures

Some of the project interventions may have some localized but less sensitive, site specific and perhaps reversible environmental and social impacts if appropriate measure is not done and if such impacts are not considered regarding their locations or during the design of the sub-projects. The types of sub-projects which include those related to construction and maintenance of water harvesting structures (e.g., ponds, storage tanks); construction of community access roads; roadside flood harvesting/drainage systems; diversion canals, small dams; area closures; reforestation and afforestation in communal and private lands might require land acquisition and affect the ecosystem services of the local environment. The following table 9 outlines the likely negative impacts associated with RLLP activities and mitigation measures.

TABLE 9. Likely negative impacts and mitigation measures

Activity	Likely negative impacts	Mitigation measures
Community forestry practices (afforestation or re-forestation activities) such as green corridors, tree planting activities	• Loss of natural areas, important habitats, biodiversity, • Unsustainable forest production, • Pollution of surface waters and habitats, • Monoculture plantation, • Conflicts over land tenure and use (legal or illegal), • Conflict over forest development benefit sharing,	• Provide for intercropping, agro-forestry and other measures that will accelerate the flow of benefits to, and support of, a range of local people, • Avoid infringing on protected natural sites, watersheds and Critical wildlife habitats or areas with significant biodiversity (e.g. wetlands), • Leave existing grass/shrub cover on lands that are very steep or have shallow soils, • As much as possible, use a variety of multipurpose and fast-growing indigenous tree species to avoid monoculture, • Draw upon local cultural knowledge and values in planning and operating the forest, • Adapt imported technology (e.g. erosion control, forest management and harvesting) to local conditions, rather just adopt it, • Select sites where the benefits from the new forest can help reduce illegal or unsustainable uses of nearby forests, • Avoid areas of fragile or unstable soils/slopes, • Avoid any project activities within 20-40 meters of streams, ponds, etc. unless they are for rehabilitation and conservation of the riparian zones, • Avoid existing land use areas that are economically productive or important for subsistence or traditional livelihoods, • Consider use of already cleared or barren lands for tree planting, • Consider sites currently used unsustainably (e.g. agriculture, grazing), • Plan and operate the forest to ensure an equitable distribution of benefits to all community members, and to not exacerbate economic disparities within the community, • Use techniques such as bunding to strengthen control of surface water flows and erosion, and enhance infiltration, • Leave vegetated strips along roadsides, and reseed disturbed areas, • Retain existing tree and grass/shrub cover, and harvest selectively, sustainably and carefully, where down-slope water supply is a critical concern
Crop development and management (Access to better performing crops)	• Physical and chemical degradation of soils may result from unsuitable management techniques, such as use of inappropriate machinery or earthworks associated with annual crop preparation and infrastructure development.	• Practice reduced and zero tillage (often known as “low till” or “no till”), as well as direct seeding and planting, to minimize damage to soil structure, conserve soil organic matter, and reduce soil erosion. • Consider contour and strip planting, terracing, intercropping with trees, and grass barriers in sloping areas. • Minimize soil compaction, damage, or disturbance by

Activity	Likely negative impacts	Mitigation measures
practices	• Chemical degradation of soil may result from insufficient or inappropriate use of mineral fertilizers, failure to recycle nutrients contained in crop residues, and failure to correct changes in soil pH that result from long-term use of nitrogen fertilizers and excessive use of poor-quality water, resulting in salinization. • Soil erosion may result from poor crop cover after land preparation and lack of soil conservation structures on sloping land planted with annual crops, • Increased use of pesticides,	using appropriate land preparation machinery at the right time of year. • Consider a crop rotation program to maintain the soil coverage during the year. • Manage soil organic matter by returning crop residues or adding compost and manures whenever available and economically viable. • Consider erosion management practices (e.g., contour and strip planting, terracing, discontinuous trenching, intercropping with trees, and grass barriers) in sloping areas. • Cultivate crops that are suited or adapted to the local climate and soil conditions and adopt good agronomic practices to optimize crop productivity • Recycle and/or incorporate organic materials (e.g., crop residues, compost, and manures) to replenish soil organic matter and improve soil water-holding capacity whenever available and economically viable. • Minimize the use of pesticide3s by implementing a pest and disease early-warning system, by using biological pest and disease control methods, and by implementing control measures before outbreaks require large-scale control. The following steps should be considered and documented in an integrated pest/vector management plan: • Identify the main pests affecting crops in the region, assess the risks to the operation, and determine whether a strategy and capacity are in place to control them. • Where possible, apply early-warning mechanisms for pests and diseases (i.e., pest and disease forecasting techniques). • Select resistant varieties and use the cultural and biological control of pests, diseases, and weeds to minimize dependence on pesticide (chemical) control options. • An effective IPM regime should: o Identify and assess pests, threshold levels, and control options as well as risks associated with these control options. o Rotate crops to reduce the presence of insects, disease, or weeds in the soil or crop ecosystems. • Support beneficial bio-control organisms—such as insects, birds, mites, and microbial agents—to perform biological control of pests (e.g., by providing a favorable habitat, such as bushes for nesting sites and other original vegetation that can house pest predators and parasites). • Favor manual, mechanical weed control and/or

[3] A guideline for integrated pest management is developed based on WB policies and EHS guidelines

Activity	Likely negative impacts	Mitigation measures
		selective weeding. • Consider using mechanical controls—such as traps, barriers, light, and sound—to kill, relocate, or repel pests. • Use pesticides to complement these approaches, not replace them.
Community access roads	• Loss of natural areas, important habitats, biodiversity • Increased soil erosion leading to sediment in runoff and, possibly, gully formation • Induced population movements and natural resource exploitation activities, due to improved access (e.g. conversion of forest to pasture, or of sustainable land use tounsustainable, short-cycle cropping; illegal or unsustainable hunting • Creation of stagnant water in construction borrow pits and quarries, and on road sides, that breed disease carriers • Disruption of natural surface and subsoil drainage patterns, especially in flood-prone or wetland areas • Increased runoff from road surface,	• A void infringing on Protected natural sites and Critical habitats or areas with significant biodiversity (e,g. wetlands) • Assess ecology of disease carriers in road corridor, and employ suitable mitigation measures (e.g. proper drainage of construction areas and road sides, effective road maintenance) • Avoid areas of soil, slope or geological instability, unstable river crossing sites • Use surface drainage controls and mulch on vulnerable surfaces and slopes • Minimize soil compaction and time that soil surfaces are exposed • Provide adequate surface drainage control for both construction and operation
Small scale (Household level) animal husbandry practices	• Introduction of diseases to humans and contamination of water supplies for human use by animal manures and urine, • Pollution and environmental disruption from inappropriate use of agrochemicals, • Greenhouse gas emission • Degradation of vegetation due to overgrazing, • Excess harvesting of fodder and forage resources, • Decrease in favored fodder species and increase in inedible weedy species, • Increased soil erosion due to degradation of vegetation, • Animal paths scarring hillsides and triggering erosion, sediment-laden runoff and, possibly, gully formation, • Soil compaction diminishing infiltration,	• Collect and store manure for composting and later application to fields, • Keep manure and urine away from household areas and water bodies, • Consider using a bio-gas system, • Provide protective clothes to minimize danger to field workers applying agrochemicals, • Consider integrated pest management, • Limit animal numbers, • Control length of grazing time and succession of use on areas, • Rotational grazing, • Development of dry-season grazing areas and grazing reserves, • Mix animal species to maximize use of vegetation resources • Reseed and produce fodder • Use cut-and-carry feed from elsewhere • Restrict animal access to unstable areas (e.g. by fencing-off critical slopes) • Use soil erosion control measures (e.g. reforestation, reseeding of grasses, land preparation, terracing) • Use biological pest controls before chemical controls to

Activity	Likely negative impacts	Mitigation measures
	• Increased muddiness of surface water courses due to soil disturbances from grazing and increased soil erosion, • Contamination of surface and ground waters and negative effects on wildlife, vegetation, crop yields, aquatic ecology by agrochemicals used to control pests and diseases, • Contamination of water supplies from leaching or runoff of animal urine and manures,	reduce adding toxic residues to the environment • Choose agro-chemicals that are species specific, with short active period and low impact on other plants. • Choose appropriate spraying measures and timing to minimize water pollution, • Fence off water bodies from grazing animals
Water harvesting structures	• Conflicting demands on surface or groundwater supplies, • Conflict between the beneficiaries over water usage • Creating habitats in canals and ditches for disease carriers such as mosquitoes and snails responsible for spreading diseases such as malaria and schistosomiasis • Spreading infection and disease through the inappropriate use of irrigation canals for water supply, bathing or human waste disposal, • Health effects from improper storage, handling, use or disposal of agrochemicals (pesticides, herbicides), • Waterlogging, • Salinization, • Erosion, • Reduced quality of surface and ground waters receiving excess irrigation water or drainage (nutrients, agrochemicals, salts and minerals).	• Locate and size irrigation schemes where water supplies are adequate and the scheme will not conflict with existing human, livestock, wildlife or aquatic water uses, especially during dry seasons ' so that withdrawals do not exceed "safe yield" from groundwater resources, • Ensure effective community organization for equitable distribution of water, • Encourage crops with lower water demands, • Assess ecology of disease carriers in the project area, and employ suitable prevention and mitigation measures, e.g.: Site and orient water works, fields and furrows to ensure adequate natural drainage of surface water. Use lined canals and pipes to discourage vectors. Avoid unsuitable gradients, and creating stagnant or slowly moving water. Construct straight or only slightly curved canals, • Provide/ensure alternate facilities for domestic water supply; bathing and human waste disposal, • Provide education and training for farmers and other complicity members on: • Irrigation health risks, • Efficient use of irrigation water, • Mulch exposed soil surfaces to reduce evaporation, • Flush irrigated land regularly, • Cultivate crops having high tolerance to salinity, • Design and layout of furrows appropriately, • Avoid unsuitable gradients, • Install sediment traps in fields and canals to capture sediment for return to fields, • Minimum tillage, contour cropping, terracing and other methods of conserving soil moisture, • Follow Soils mitigation measures(above) to minimize risks of waterlogging and salinization, • Use agro-chemicals appropriately, • Prevent surface drainage of fields into nearby water bodies (streams, ponds, etc.)
Water harvesting/	• Loss of productive land (e.g. agriculture, grazing, forestry),	• Consider alternatives to a new dam and· reservoir, for example: Upgrading and renovating existing water

Activity	Likely negative impacts	Mitigation measures
Check dams	• Reduction of water available to downstream water users, • Creating habitats for disease carriers such as mosquitoes and snails, • Increases in water-related diseases such as malaria, schistosomiasis	supply and irrigation systems. • Alternate locations and/or dispersed, • smaller dams in less sensitive areas, • Ensure that downstream water users (e.g. water supply, irrigation; livestock watering) are partners in planning the dam and mitigation measure, • Assess the ecology of disease carriers in the watershed, • Employ suitable prevention and mitigation measures, including education of local people and construction workers, • Ensure all construction sites, borrow pits and· quarries are properly drained, • Finish and manage reservoir margins for proper drainage, • Monitor disease and public health indicators, during and after construction, and take corrective measures (e.g. education, medical) as needed.

In some cases, the project activities may rely on voluntary land donation (VLD). The procedure should include trying to avoid by finding other alternatives, changing design or location or otherwise if the land holders are willing/agree to donate the land (VLD) the activity will be implemented. During implementation of VLD if it is household/family land consultation with family members (including spouses) must be made and family must be aware that refusal is an option; If the land is communal land individuals using or occupying the land must be identified and consulted to minimize the risk of settlers and local communities losing their livelihood due to the land donation decision.

If the land that may be donated is household/family land the proportion of the land must not exceed 10% of the total land holding of the donor and must not be the donor's main source of income; this is not significantly affect the donors' livelihood. Moreover, VLD should not occur if it requires physical relocation, loss of structures or fixed assets on affected portion of land. A formal statement or minutes for all consultation and discussion with the land holders, their interest and agreed actions including schedule should be signed and documented at kebele and woreda MoA offices and should be reported for enhanced transparency.

6. ESMF Process for RLLP Subprojects

This section presents subproject environmental and social screening procedures, approval, implementation and reporting systems in RLLP. The environmental and social management planning and implementation under RLLP will be guided by the following principles:

- The project planning process will be made in consultation with communities in a participatory manner and they have the opportunity to prioritize needs. Participation in the community projects will be entirely voluntary.
- The design of sub-project activities will be guided by technical guidelines such as the Community Based Participatory Watershed Development Guideline which incorporates specific design procedures to avoid or minimise adverse impacts and encourage positive environmental effects.
- Project planning and implementation should integrate appropriate Environmental and Social Management Principles.
- Identified sub-projects by the communities will be screened, vetted and adopted in the Kebele watershed management plan on the basis of selection criteria and screening designed to eliminate projects with major or irreversible environmental or social impacts (as stated in the procedures below). Sub-projects with special environmental and social concern (subprojects of high and unknown impacts) will be directed to the attention of the technical body at the regional level.
- Approval at regional level will involve the Regional Environmental Regulatory body or its equivalent (as different regions have different agencies responsible for environmental protection) which has the right to decline a project on environmental or social grounds, OR to conduct an assessment of likely impacts prior to approval.
- Special attention will be given to the impacts of small-scale irrigation projects, water harvesting structures, and community roads which involve land/asset acquisition and where their level of impact is high and unknown during subproject identification and planning. Such types of sub-projects will be notified to the zonal and/or Regional environmental regulatory or any other delegated body. The zonal or Regional regulatory body will decide whether an ESIA is required or not. Following such ESIA, the regulatory body may modify the project, recommend a management plan, or disapprove the project.
- Project implementation will be supervised and monitored at Kebele and Woreda levels. The DAs, with assistance as deemed necessary from the Woreda, will ensure that the specified mitigating measures are implemented.

6.1. Subproject Screening Process

Screening is the process of determining if (a) a project requires ESIA or ESMP and (b) the level at which the assessment should occur. Screening of sub-projects can only be carried out after the specific site and location for the sub-project is identified. Conducting field visit to the sub-project site and develop understanding of the biophysical and socio-economic environments including the rural setting around the project site is essential to appraise how the sub-project activities are environmentally sound and socially acceptable. The aim of the screening form in Annex 2 to 5 is to assist in identifying potential impacts based on field investigations in the area

of the subproject site. The screening mechanism seeks to focus on those sub-projects with potentially significant adverse environmental and social impacts or whose impacts are not fully known. Thus, appraisal of the subproject site/environment and having adequate level of information about future subproject activities is quit essential to anticipate and identify the magnitude of potential impacts which is necessary to carry out the screening exercise.

The outcome of the screening process results that subprojects are categorized as either A, B or C and ensure to address environmental and social issues outlined in this ESMF and SA/social management plan and RPF. Then documentation of the screening report will be done both at kebele and woreda level and should be submitted to the relevant department of the regional/zonal bureau of environment and forest with a request for approval. After approval, copies of the screening documents will be documented at kebele DA office, Woreda office of Agriculture and woreda environment regulatory body.

6.2. Responsibilities in the subproject screening and approval process

The primary responsibility to conduct the screening of sub-projects rests on the project implementing bodies at Woreda and kebele levels and the regional PCU is responsible for facilitating in implementing the RLLP ESMF procedures. The woreda and zonal FPs and regional safeguard specialists will be responsible for the project initiation process by properly preparing and submitting the screening report to their respective responsible officers or departments for review and approval. The woreda focal person will be supported by members of the technical committee of the Woreda (OR implementing agency) and by the Kebele Development Agents in conducting the environmental and social screening of sub-projects. Before submitting the environmental and social screening checklists to the woreda environment regulatory body for approval, it will be checked and approved internally by the Woreda Technical Committee Team and Steering Committee. The woreda/Zonal Bureau of Environmental regulatory body will review the screening report and will:

a. Accept the document - with conditions relating to implementation if required- for sub projects which do not require ESIA;
b. Accept the document with required guidance and/or recommended amendments for proceeding to a scoping step; or
c. Reject the document with comments as to what is required to submit as an acceptable screening report.

In addition to that, in 2015 it was agreed with the Ministry of Finance of the Government of Ethiopia (GoE) that (i) no World Bank (WB) funded projects will knowingly be implemented in the GoE's Commune Development Program (CDP) sites, and (ii) that any geographic overlaps with Bank-financed operations will be subject to the Alignment of Operations (AOP)

Checklist—to screen for availability of basic services provided by the CDP. The objective of the AOP checklist is to help the development partners Task Teams proactively manage the operational interface between the Government of Ethiopia's CDP and Bank-financed projects or sub-projects in, or in the vicinity of the CDP sites. This program is implemented in regions of Gambela and Benishangul Gumuz, where RLLP will be implemented. However, if there is a live Commune Development Program being undertaken in RLLP target areas of these two regions, federal and regional environmental safeguard and social development experts together with woreda focal persons and other experts should collaborate and check the viability of all CCs located within or in proximity to the target woredas.

The different steps used in subproject screening and appraisal process with the proposed roles and responsibilities of entities are depicted in the Table-10 below.

TABLE 10 . Outline of roles and responsibilities for the ESMF implementation at different levels

Activity	**Lead Role for preparation and/or implementation**	**Lead role for review, approval & monitoring**
Identification of subprojects and completion of screening using the eligibility checklists (Annex 1),	DAs, CWT, KWT communities with the support of woreda concerned experts	WTC, Woreda Environmental regulatory body
Further screening of subprojects against environmental and social compliance	Regional safeguard experts/ZFP or by the WTC, depending on the level of environmental and social risks of subprojects	Regional or Woreda Environmental regulatory body
Subproject review, approval and clearance,	Woreda Environmental regulatory body, WTC,	Environmental regulatory body, WSC,
ESIA; ESMP, PESIA or RAP preparation,	WTC, WoANR, Independent consultant or regional or federal level safeguard experts,	Regional or Woreda Environmental regulatory body
Implementation of ESIA, ESMP and RAP,	Regional PCU, WTC and Steering Committee + KWT & Stakeholders (e.g. Contractor + Regulatory Authorities), Woreda and regional IAs,	NPCU, RPCU, WSC, WTC,
Monitoring and evaluation of the implementation of ESMP and RAP.	Regional PCU, Woreda technical committee and Steering Committee + KWT & Stakeholders (e.g. Contractor + Regulatory Authorities), Woreda and regional IAs,	NPCU, RPCU, WSC, WTC
Annual Audit,	RPCU, environmental regulatory body	NPCU, RPCU, regional environmental regulatory body, DPs
Quarter and Annual ESMF Report (Annexes 9),	Regional and Federal safeguard and/or M & E specialists; Woreda and regional Implementing Agencies (IAs)	WTC, ZTC, WSC, RSC, NPCU.

6.3. Procedure to be followed in subproject screening and approval

Sub-projects selected by communities have to be checked by Development Agents whether the identified sub-projects fall into the categories that are not eligible to be financed under RLLP. Such sub-projects may include (1) those that may cause damage to physical and cultural resources; (2) those that may involve construction of reservoir dams that are above 4.5 meters height; (3) those that may potentially affect the quality or quantity of water or a waterway shared with other nations; (4) those that require involuntary land acquisition; (5) those that require physical relocation of people, (6) those that require restriction of access to assets; (7) those that affect underserved people and vulnerable groups etc. The project design/plan will then be sent to the Woreda Technical Committee. The technical committee members, which are led by the Natural Resource Process Owner (case team) including experts from the Woreda concerned sectoral offices, will further screen those eligible sub-projects.

The Woreda environmental regulatory body gives decision based on the screening result of the subprojects (done by WTC). This regulatory body will review and give clearance and/or approval with the possible recommendations for any design modifications are required. The Woreda council approves plans based on the recommendations from the environmental regulatory body expert.

If sub-projects of any significant environmental concerns are included, then the plan document will be directed to the attention of woreda and/or zonal delegated environmental regulatory body. Such cases are rare since the project does not involve construction of large dams, canals and roads. The delegated environmental body will make decisions if ESIA is required for those sub projects or not. Based on ESIA outcomes, regional environmental regulatory body will recommend modifying the design, preparing Environmental and Social Management Plan to mitigate negative impacts or reject/disapprove the project.

As discussed above, the same procedure will be used for proactively managing the interface between the Government of Ethiopia's Commune Development Program (CDP) and Bank-financed projects. A procedure (AOP checklist and accompanying explanatory note is attached in Annex-6) is prepared to check the viability of CCs so as to enable RLLP identify non -viable CCs in advance and avoid financing sub-projects, in such sites. The procedure is simple and is designed to be embedded within this regular Environmental and Social Management Frameworks (ESMF) and/or other safeguards instruments (RPF, SA, and ESIA) already in use by such sub-projects.

The ESMF will involve the following steps and/or procedures in subproject screening:

Step (i): Subproject identification and eligibility check

(a) Guidance for the DAs

The screening process will be conducted in consultation with the communities and kebele development committee at the early stages of subproject selection and prioritization phase. It is done by applying a simple checklist developed and used by DAs as a format for fast track eligibility checking of identified sub-projects (Annex 2). Sub-projects that are not eligible under RLLP can be reviewed and checked by DAs at the Kebele against any of the features mentioned in the checklist provided in Table 11 below.

TABLE 11 . Checklist for sub-project eligibility screening at keble level by DAs

	Yes	No
Will the sub-project:		
Cause involuntary displacement of people or social disturbances, involuntary loss of assets? The Bank does not provide specific categorization criteria relating to OP 4.12, Involuntary Resettlement. Generally, projects with significant resettlement-related impacts should be classified as Category A. Application of judgment is necessary in assessing the potential significance of resettlement-related impacts, which vary in scope and scale from project to project. Projects that would require physical relocation of residents or businesses, as well as projects that would cause any individuals to lose more than 10 percent of their productive land area, often are classified as Category A. Scale may also be a factor, even when the significance of impacts is relatively minor. Projects affecting whole communities or relatively large numbers of persons (for example, more than 1,000 in total) may warrant classification as Category A, especially for projects in which implementation capacity is likely to be weak.		
Involve removal or conversion of forests and other natural resources? Natural forests are forest lands and associated waterways where the ecosystem's biological communities are formed largely by native plant and animal species and where human activity has not essentially modified the area's primary ecological functions. A project with the potential for significant conversion or degradation of natural forests is classified as Category A.		
Disrupt the quality or quantity of water in a waterway shared with other nations?		
Cause degradation of critical natural habitats? Cause any large-scale physical disturbance of the site or the surroundings		

	Yes	No
Will the sub-project:		
The project is classified as Category A if the screening indicates the potential for significant conversion or degradation of critical or other natural habitats. ***Significant conversion*** is the elimination or severe diminution of the integrity of critical or other natural habitats caused by a major, long-term change in land use or water use. Significant conversion may include, for example, land clearing; replacement of natural vegetation; permanent flooding; drainage, dredging, filling, or channelization of wetlands; or surface mining. Conversion can result directly from the action of a project or through an indirect mechanism (e.g., through induced settlement along a road). *Degradation* is modification of a critical or other natural habitat that substantially reduces the habitat's ability to maintain viable population of native species.		
Involve land use changes such as drainage of wetlands and cultivation		
Affect physical and cultural resources (historical, religious, archaeological sites and monuments)? Physical Cultural Resources, as defined under OP 4.11, are movable or immovable objects, sites, structures, groups of structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. A project that will likely have significant adverse impacts on PCR is classified as Category A.		
Involve construction of dams more than 4.5 meters high?		
Likely to use pesticides or other agro-chemicals? Projects that include the manufacture, use, or disposal of environmentally significant quantities of pest control products are classified as Category A. Environmental significance takes into account the impacts, including benefits, on human health.		
Cause any loss of biodiversity? Check threats to biodiversity, for example habitat loss, degradation and fragmentation, invasive alien species, overexploitation.		
Affect any vulnerable group or underserved people? Disadvantaged or vulnerable refers to those who may be more likely to be adversely affected by the project impacts and/or more limited than others in their ability to take advantage of a project's benefits. Such an individual/group is also more likely to be excluded from/unable to participate fully in the mainstream consultation process and as such may require specific measures		

	Yes	No
Will the sub-project:		
and/ or assistance to do so. This will take into account considerations relating to age, including the elderly and minors, and including in circumstances where they may be separated from their family, the community or other individuals upon whom they depend.		
Have any potential direct or indirect impacts on commune centers or on the people in a CC (because it is located inside a CC or close enough to a CC) ;		

If sub-projects have any of the above features, those with 'Yes' responses will be considered as not eligible and have to be rejected unless the features can be avoided by change of design or change of location. On the other hand, if the answer is "no" just proceed to the next step.

(b) Further screening of sub projects (Guidance for woreda TC)

Once the subprojects are designed at Kebele level and sent to woreda, they should be further screened by Woreda TC (subjected to the type of subproject need to be screened) led by the Natural Resource Case team. This step helps to identify subprojects of environmental and social concern. The screened subprojects by WTC will, then be reviewed by the woreda environmental regulatory body concerned environmental expert. The Woreda environmental regulatory body expert follows two steps (desk review and field appraisal) to appraise subprojects that are screened by DAs and WTC and sent to Woreda for further analysis. The desk review is reviewing the application, screened subprojects with their concern, and aligned with the associated safeguard instruments. The field appraisal is conducted when the environmental regulatory body expert feels that (a) the DAs and WTC have not thoroughly considered all potential adverse effects of the subproject, (b) whether ESMP is prepared or not, and finally (c) to identify that subproject which require special attention and environmental concern are listed separately. After carrying out desk review and field appraisal, the Woreda environmental regulatory body or delegated regulatory body gives Environmental and Social Clearance (ESC) to the Woreda IAs to which the type of subproject is subjected for.

The subprojects should not be financed and implemented by the Woreda IAs unless ESC is obtained from the Woreda environmental regulatory body or regulatory office. The finance section/unit of the Woreda should not process any payment without ESC letter is attached with the request for payment. For sub-projects labeled as 'subprojects of high or unknown environmental and social concern' proceed to the next step (step ii).

Step (ii): Screening of sub-projects that require special attention and environmental and social concerns (Guidance for WTC & Environmental regulatory expert)

Eligible sub-projects are further screened for potential impacts and environmental and social concerns by the Woreda Technical Committee at the Woreda Agriculture Office to be led by the woreda environmental regulatory body expert. The following checklist can be used by the team for screening and the format indicated in Annex 3 & 4 can be used for reporting.

TABLE 12 . Screening sub-projects requiring special attention

	Yes	No
Will the sub-project:		
Involve use of agro-chemicals?		
Involve land acquisition?		
Involve loss of assets or access to assets on the land?		
Cause displacement of people?		
Incorporates dams more than 4.5 meters?		

Agricultural sub-projects may introduce high value crops and new varieties, which may require introduction and increased use of agro-chemicals including pesticides and fertilizers. If the sub-projects have any of the above features ('Yes' answers), the Woreda Environmental regulatory body expert notifies the Woreda Technical Committee OR Implementing Agency (With special reference to the type of subproject implementing agency) to make sure that the necessary procedures and guidelines are followed in the Environmental and Social Management Plan, i.e. IPMP and RAP are incorporated.

Similarly, some community and SWC structures, land rehabilitation, community access road construction, water harvesting structures, gully treatment and afforestation/reforestation … might involve land acquisition, loss of assets or access to assets; and when such cases happen RLLP proposes to rely on Voluntary Land Donation (VLD). The procedure should include trying to avoid by finding other alternatives, changing design or location or otherwise if the land holders are willing/agree to donate the land (VLD) the activity will be implemented. During implementation of VLD (a) if it is household/family land consultation with family members (including spouses) must be made and family must be aware that refusal is an option; (b) if the land is communal land individuals using or occupying the land must be identified and consulted to minimize the risk of settlers and local communities losing their livelihood due to the land donation decision.

The RPCU safeguard specialist together with the regional Bureau of Agriculture and concerned sector experts will provide technical support in the preparation of Pest Management and Resettlement Action Plans for WTC and the Implementing Agencies. Then, sub-projects have to be screened for any potential environmental and social concern and can be screened using the checklist shown below. Annex 4 can be used for reporting purpose.

TABLE 13 . Checklist for screening sub-projects of environmental and social concern

	Yes	No
Will the sub-project:		
Be located in forest priority areas and cause destruction of habitats?		
Instigate soil erosion and flooding?		
Cause disturbance to ecologically sensitive areas?		
Be located close to national parks and protected areas?		
Cause pollution of surface and ground water and pollute the soil?		
Cause breeding of disease vectors (malaria) due to standing water at quarry site, water storage structures and canals?		
Cause indoor air pollution due to misuse of energy technologies?		
Involve area enclosures and loss of access?		
Be located close to cultural heritage, historical and religious sites?		
Cause erosion and sedimentation into international waterways?		
Involve draining of and/or disturbance to wetlands?		
Cause community and individual health problem due to improper site selection, design and construction of toilets?		
Affect underserved people, vulnerable groups, and ethnic minorities?		
Cause involuntary land acquisition and resettlement/physical relocation?		
Cause voluntary land acquisition and resettlement/physical relocation?		

If the sub-project has any of the above listed features (with 'Yes' answers), try to avoid the impacts by modifying the design in order to address the concern. Otherwise, the sub-project should be tagged as '**sub-project of environmental and social concern**'.

For such subprojects, i.e. sub-projects of environmental and social concern, a checklist of potential impacts and level of adversity shown in Table 14 can be used to judge if the sub-projects should be modified to avoid, minimize/mitigate the impacts or should be referred for further environmental and social analysis because of complex or unknown impacts. The table can be used by checking/ticking (☞) the approximate degree of adversity (none, low, medium, high and unknown). Once the checklist is filled, count the number of potential impacts marked as None, Low, Medium, High and Unknown. The table below helps (i) to determine what to do after filling the impact rating checklist and (ii) to describe further actions need to be taken at this stage before proceeding to the next level based on the results. The format indicated in Annex 4 can be used for reporting purposes.

A Guiding Note prepared for SLMP-II to identify and rate subprojects can be used for RLLP as well. This guiding note, "*issue of addressing Moderate and Significant Environmental and Social Impacts for SLMP-II Subprojects",* is found in Annex 7.

TABLE 14 . Checklist of potential impacts and level of adversity for sub -project screening

For sub-projects with no impact (All impact rating becomes 'None')	These subprojects should also be labeled as **subprojects of no environmental and social concern'.** Approval by Woreda or Regional EFCCA
For sub-projects with low, medium and/or one high impact	These subprojects should also be labeled as '**subprojects of medium environmental and social concern'.** Incorporate potential mitigation measures into the design of the subprojects. ESMP should be prepared. Refer to the potential mitigation measures listed for each potential impact in this ESMF.
Subprojects cause more than one high potential impact plus more than two unknown impacts	These subprojects should also be labeled as '**subprojects of high environmental and social concern'** because changing the design may not avoid the anticipated adverse impacts. ESMP should be prepared and/or additional assessment (partial ESIA) may be required.
Subprojects where it is difficult to predict the potential impacts, i.e., subprojects which have two or more unknown potential impacts.	These subprojects should also be labeled as '**subprojects of unknown environmental and social concern**' because of the many unpredictable potential impacts. ESMP should be prepared and/or additional assessment (partial ESIA) may be required.

Those sub-projects with no potential adverse impacts can be directly approved. For those sub-projects likely to have low to moderate impacts may be modified if suitable mitigation measures are incorporated into the design by Woreda experts (Woreda technical team). Then environmental and social clearance will be given by the woreda environmental regulatory body and return to the implementing office at woreda level. Mitigation measures can be referred from this ESMF, Social Management Plan (SMP), RPF, and from Annex 8 and/or from the Community Based Participatory Watershed Development Guideline (MoA, 2005). Those sub-projects likely to have 'high' adverse impacts and 'unknown' impacts should be tagged as 'sub-projects of environmental and social concern' before referring the plan for approval.

It should be clear that impacts caused as a result of the project interventions are not the only listed above. Depending on the scale, area and level of significance of impacts it may vary. For further reference on potential impacts and mitigation measures of the sub-project types, it is advisable to use the different environmental guidelines prepared by the former FEPA and listed elsewhere in this document.

Step (iii): Notification of sub-projects of Environmental and Social Concern: Guidance for the Woreda Council and BoA

The Woreda Council consolidates plans and forwards the same to the Zonal or Regional BoA and RPCU together with the list of sub-projects that are tagged as of 'environmental and social

concerns'. The Zonal or Regional BoA then notifies the Regional Environmental regulatory body and the latter together with the RPCU environmental and social safeguard specialist identify those sub-projects of environmental and social concern and requests for review to determine whether full ESIA is required or not and forwards the outcome of the review to the concerned Implementing Agencies (IAs).

Step (iv): Review of notified sub-projects: Guidance for the Bureaue of Regional EFCC

The regional environmental regulatory body experts conduct review of the sub-projects taking into account that most sub-projects may not necessarily need a full scale ESIA since RLLP is a category B project; those sub-projects tagged as 'sub-projects needing special attention' are already identified following the special procedures and guidelines referred in Annex 7.

The Review of notified subprojects report to the BoA should include (i) the decision on each sub- project whether an ESIA is required or not, (ii) if an ESIA is required, the recommended scope of the ESIA clearly indicating the aspects to be seriously addressed, the skills required and duration of the ESIA, (iii) A detailed ToR for the ESIA expert (consultant), (iv) if an ESIA is not required, include guidance on special needs such as technical guidelines and an environmental management plan on any of the sub-projects. The Checklist for ESIA ToR is attached in Annex 12.

The regional Environmental and Social Safeguard Specialist should advice the concerned implementing agency on the following points:

1. Communicate the decisions for each of these subprojects of environmental concern with regard to the need or not of a full ESIA,
2. If a full ESIA is required, the regional and/or federal Environmental and Social Safeguard Specialists advice the concerned implementing agency to define the scope with emphasis on the required skills, areas of focus and duration of ESIA. In other words, the regional and federal Environmental and Social Safeguard Specialists should provide the Terms of Reference in case an ESIA is required. Alternatively, the implementing agency may prepare the terms of reference to carry out the ESIA. The regional and federal Environmental and Social Safeguard Specialists may give technical support on this case. The implementing agency should submit the terms of reference to the regional environmental regulatory body for review of the ToR. Incorporating its comment, the regional Environmental regulatory Bureau return the ToR without delay to the implementing agency to carry out the ESIA.
3. If an ESIA is not required, the regional Environmental and Social Safeguard Specialists should provide the concerned implementing agency with guidelines in connection to

technical matters, and Environmental and Social Management Plan (ESMP). The concerned implementing agency should prepare and submit the ESMP to the regional Environmental regulatory body for review and approval. The regional environmental regulatory body review and give environmental and social clearance as soon as possible in order to avoid the delay in the implementation.

Just like woreda level desk review and field appraisal, the regional environmental regulatory body should follow the same procedures, desk review and field appraisal, to appraise subprojects submitted to it and which require full ESIA.

Step (v): Environmental and Social Management Plan (ESMP) and Social Management Plan

The ESMP should include both environmental and social management measures and it should be based on the result of screening and technical information about the proposed subproject (i.e. the type, scale, and extent of the subproject). An Environmental and Social Management Plan (ESMP) consists of the set of environmental and social negative impacts, mitigation, monitoring, and institutional measures to be taken during implementation and operation phases to eliminate these adverse impacts, offset them, or reduce them to acceptable levels. The plan also includes the actions needed to implement these measures. The RLLP is a category 'B' project and sub-projects may not require a full scale ESIA. However, environmental and social management plan might be an appropriate instrument to prevent, minimize, mitigate or compensate for adverse impacts.

Moreover Social Management Plan (SMP) which includes identified social adverse impacts, mitigation measures, responsible implementing body and required budget (social assessment report) should be followed to avoid, minimize and or mitigate adverse social impacts with special focus on underserved people and vulnerable group. The impacts and the measures identified in the ESMP and SMP should be consistent with the findings of the screening results and with the subproject type, scale and design. It also serves as a pertinent instrument to guide the subproject proponents and other implementers to implement effective mitigation measures, design, and conduct sound environmental and social monitoring program.

Step (vi): Conducting an ESIA: Guidance for the Woreda environmental regulatory body office

The Woreda environmental regulatory body office together with the WTC is responsible for ensuring that the required ESIA is conducted, in liaison with the BoA and with the support from the environmental regulatory body. The ESIA can be conducted by a team of experts drawn from the zonal/Woreda sector offices (or the zonal/Woreda implementing agencies) supported by the Woreda Environmental regulatory body focal person. In this case, zonal and

woreda experts have to be given the necessary trainings on safeguard policies, relevant international and national policies, ESIA procedures and guidelines before the ESIA is done. OR the ESIA can be conducted by a national consultant to be hired by the Regional Bureau of Agriculture licensed by CoEFCC/BoREFCC. The cost of conducting the ESIA should be covered from the budget earmarked for the implementation of the ESMP of the subproject for that particular RLLP implementing woreda.

The ToR for the ESIA should be prepared by experts from offices of the implementing agencies and reviewed by environmental regulatory body experts together with the review report. The ESIA report should consist of description of the sub-project (with location), the environmental baseline, social assessment, the anticipated impacts, mitigating measures, and recommendations for implementation and monitoring of the mitigating measures.

Step (vii): Reviewing the ESIA Report: Guidance for Bureau of Regional EFCC

The main purpose of the review is to examine and determine the completeness and quality of the ESIA and ESMP for decision making purpose and consider its implications for RLLP projects/subprojects implementation. The ESIA report will be submitted to the Regional environmental regulatory body through the BoA, i.e. through the Regional Project Coordination Unit. The Regional environmental regulatory body will review the ESIA report and makes decision by approving the sub-project, recommending re-design, or rejecting the sub-project. ESIA report reviews should be done in the given time frame (shortest possible time) to avoid delays in project implementation. The result of the review has to be communicated to the BoA or RPCU as soon as completed. Two decisions can be made based on the ESIA of the RLLP subprojects: -

1. If the ESIA is in conformity with the applicable Operational Policies of the World Bank and the environmental and social guidelines of Ethiopia, the subprojects will be granted an environmental and social clearance;
2. On the other hand, if the ESIA does not fulfill the Banks Environmental and social requirements and the country's environmental guidelines, the subproject will be rejected. In such a case, the Federal MoEFCC will carry out Environmental and Social Audit and include these new findings as a condition for environmental clearance of the subproject.
3. And also, the RPCU/IAs should not implement the subprojects unless they get environmental and social clearance from the regional environmental regulatory body.

The ESIA document has to be also submitted to the WB for review and no-objection.

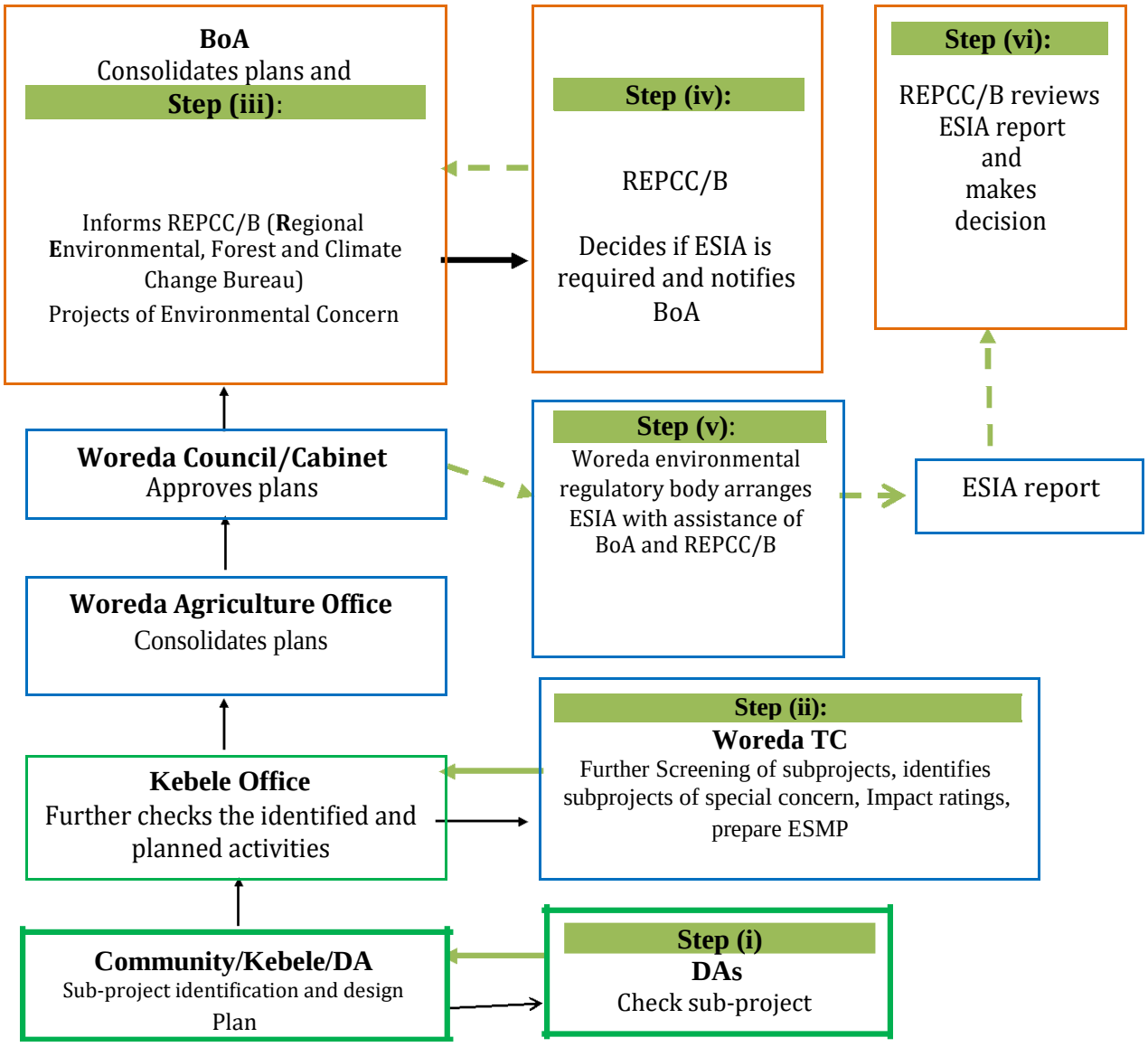

FIGURE 4 . Flow of the environmental and social management process

Keys on colors and flow of activities:

- Kebele level
- Woreda level
- Region level
- Flow of project activity plan
- Flow of screening
- Flow of review decisions.

The ESMP process in steps (i) and (ii) must be conducted for all sub-projects in RLLP while the steps from (iii) to (viii) should be conducted only for sub-projects needing special attention and those of environmental and social concerns.

6.4. Disclosure of Subproject Information

In compliance with the Government of Ethiopia EIA proclamation no. 299/2002 and guidelines, and the World Bank safeguard policies (OP/BP 4.01), public consultation on, and disclosure of RLLP safeguards instruments are mandatory. The borrower initiates such consultations as early as possible. Before the RLLP subprojects gets approval (before initiation of physical works), the proponent will prepare Environmental and Social Management Plans (ESMP), IPMP, ESIA and/or RAP, as required, and make available for public review at a place accessible to local people and in a form, manner and language they can understand. The borrower consults project-affected groups about the project's environmental and social aspects and these plans and reports, takes their views into account before approval. The general public should also participate and be consulted at all levels of environmental and social assessments including eligibility checks, screening, scoping, impact identification and rating. The instruments will be available at the relevant institutions at all levels and be publicly disclosed both in country and at the World Bank's Info Shop.

7. RLLP ESMF Implementation Arrangement

7.1. Institutional arrangements of the RLLP

The implementation of the RLLP activities and the environmental and social safeguard will take place through the existing government institutional structures from the federal to the local or community level which require for the full-fledged implementation of the ESMF. This will follow suit of both the SLMP I and SLMP-II implementation structure.

FEDERAL: the overall coordination and implementation of the project will be facilitated by the Federal Ministry of Agriculture (MoA) in collaboration with other relevant Ministries (e.g., MoFEC, MoWIE, CoEFCC etc.). The MoA will use the organization structure and institutional arrangements established to coordinate all Resilient Landscapes and Livelihoods Project financed by the Government and development partners. The RLLP has its own National Steering Committee (NSC) and will use an independent and full responsible National Technical Committee (NTC) which existed for SLMP II. The RLLP Project Coordination Unit (RLLP-PCU) within the MoA is the core unit that coordinates the project activities. The MoA is responsible for the day-to-day program management, preparation of annual work plan and progress reports, monitoring/supervision of overall implementation progress; evaluation of program impacts, financial administration, procurement of goods and services.

The NSC has high level representations from the MoA, MoFED, MoWIE, CoEFCC, EIAR and BoAs of the RLLP regions. The Committee is chaired by the State Minister for Natural Resource and Food Security Sector in the MoA and will be responsible for (a) establishing policy guidelines and providing overall supervision for project implementation; (b) approving the annual federal and regional work plans and budget, and the annual procurement plan; and (c) reviewing the annual implementation performance report to be prepared by the RLLP Support Unit; and overseeing the implementation of corrective actions, when necessary.

The NTC is composed of senior technical staff from MoA, MoFEC, MoWIE, CoEFCC and EIAR. Representatives from the development partners who are supporting RLLP are members of the committee. The NTC is responsible for providing technical advice to the MoA on coordination and synergies, technical issues of the RLLP and other similar projects, on the quality of project implementation reports, special study documents on policy, guidelines, documentation of best practices, and M&E reports.

The RLLP-PCU will be led by an appointed senior technical staff as National Project Coordinator at MoA. The unit will be responsible for the day-to-day management of RLLP and will be responsible for (a) preparation of consolidated annual work plans and progress reports;
(b) monitoring and supervision of overall implementation progress and evaluation of project impacts; (c) financial administration; and (d) procuring goods and services.

REGIONAL: Implementation will be led by the Bureau of Agriculture (BoA). BoA will use regional coordinator recruited for RLLP and it will be responsible for approving annual work plans and progress reports from the Woredas. The reports would then be submitted to the RLLP-PCU. A Regional Steering Committee (RSC) will be formed from heads of relevant sectors to provide guidance and leadership at the regional level. The RSC will meet on quarterly bases to review performance, to endorse the quarterly progress reports and to provide necessary guidance on project implementation, and to endorse the annual plan at the beginning of the fiscal year.

WOREDA AND KEBELE: On-the-ground the implementation of the project will be undertaken jointly by Woreda office of Agriculture through the Woreda Technical Committee (WTC), the Kebele Watershed Team (KWT), and communities. The WoANR will assign an independent Focal Person who will take the lead responsibility in the overall implementation of the program. The WTC and KWT will assist communities in: (i) developing annual work plans and budgets for submission to the Regions for endorsement and integration into the Regions' work plans and budgets; (ii) facilitating community participation in watershed planning and rehabilitation; (iii) training; (iv)monitoring and evaluation; (v) dissemination of innovations in RLLP.

7.2. Implementation arrangements for environmental and social safeguards

The Environmental and Social Safeguards (ESS) is one of the program support section of the Resilient Landscapes and Livelihoods Project (RLLP) with the aim to ensure that subprojects to be implemented are not only technically, economically and financially viable, but are also environmentally friendly and socially acceptable for the sustainable of the project investments. For the attainment of the Development Objective of the project in general and that of the environmental and social safeguard activities in particular, the institutional arrangement should have the following structure:

National Project Coordination Unit (NPCU) – The NPCU shall recruit/hire one Environmental and one Social development Specialist who are expected to work closely with regional safeguard specialists, zonal and woreda focal persons assigned in each of the RLLP implementing regions. The environmental and social safeguard specialists (each one) shall consolidate all compliance and performance monitoring reports collected from the six regions. Above all, they will assist in monitoring and closely following up of the effective implementation of the Environmental and Social Management Framework (ESMF), Social Assessment (SA), Resettlement Policy Framework (RPF), Gender Mainstreaming Guideline (GMG) and GRM. And also they provide the required technical backstopping; review subproject and activity plan, design, cost, and baseline documents to ensure environmental factors and mitigations are incorporated; prepare monthly and annual work plan; organize annual and monthly review programs; collect and consolidate progress report and send the consolidated report to development partners on a quarter bases.

Regional Project Coordination Unit (RPCU): The RPCU will designate/recruit one environmental and one social development (including social safeguard, gender and livelihood) specialist who will follow the overall implementation of the ESMF, SA, RPF, GMG and GRM at woreda, kebele and community level and who shall undergo training in environmental and social safeguards aspects of subproject preparation, review and approval. He/she will closely work with the regional infrastructure specialists of the region during the planning and construction time in order to avoid the late occurrence of impacts on the environment and the community. He/she will collect the performance of safeguard activities from the woreda; undergo a detail analysis on the quality of reports, and the implementation of mitigation measures on a specified period of time. He/she will review the subprojects referred to the region for ESIA together with the regulatory institution or delegated regulatory body of the region. A consolidated plan will be sent to the national project coordination unit through the M&E unit of the project and a separate standalone report to the NPCU safeguard specialists.

Zonal Focal Person of the Project: The RLLP at zonal level is led by a steering committee. The Focal person at the zonal level is responsible, also, for the overall coordination and monitoring of the environmental and social safeguard activities at woreda level. He/she will compile and consolidate quarter and annual reports submitted by the woredas and will send to the RPCU. He/she will facilitate the implementation of the review process for those subprojects sent to zonal environmental regulatory body for ESIA purpose. And support woredas in properly directing the steps while conducting the ESIA by own human resources at woreda level and/or by a consulting firm licensed by the MoEFCC or other international entities entrusted for the purpose.

Woreda Focal Person of the Project: The woreda focal person is responsible for coordinating the different stakeholders in the planning and implementation of the RLLP activities at grass root level, kebele and community level. He/she supports kebele Development Agents in the identification and screening of subprojects. However, for high and medium risk subprojects (SSI or other types or agricultural related activities, rural road construction, small dam construction, water supply, animal husbandry, area closures, etc.) he/she should request support from safeguards experts either at Zonal or regional levels after screening results. He/she will follow the implementation of mitigation measures that are planned in the ESMP. Besides, he/she will play a significant role in facilitating the WTC members to play their respective roles in designing the anticipated potential environmental and social impacts and the mitigation measures subjected to their concerned sector offices. He/she prepare and submit a consolidated report on the performance of the environmental and social safeguard activities along with the M&E.

Kebele level implementation: Identification and initial environmental and social screening of subprojects of the RLLP starts from community and kebele level which are eligible for funding. KWT and CWT at kebele and community level, respectively, are responsible to follow up and monitor the implementation of the Environmental and Social Management Framework including the timely performance of ESMP. Development Agents at kebele level (Natural Resource Management, Crop Development, Livestock Development, Irrigation and/or others) have the responsibility to ensure the overall implementation of the ESMF, SA, RPF and GMG.

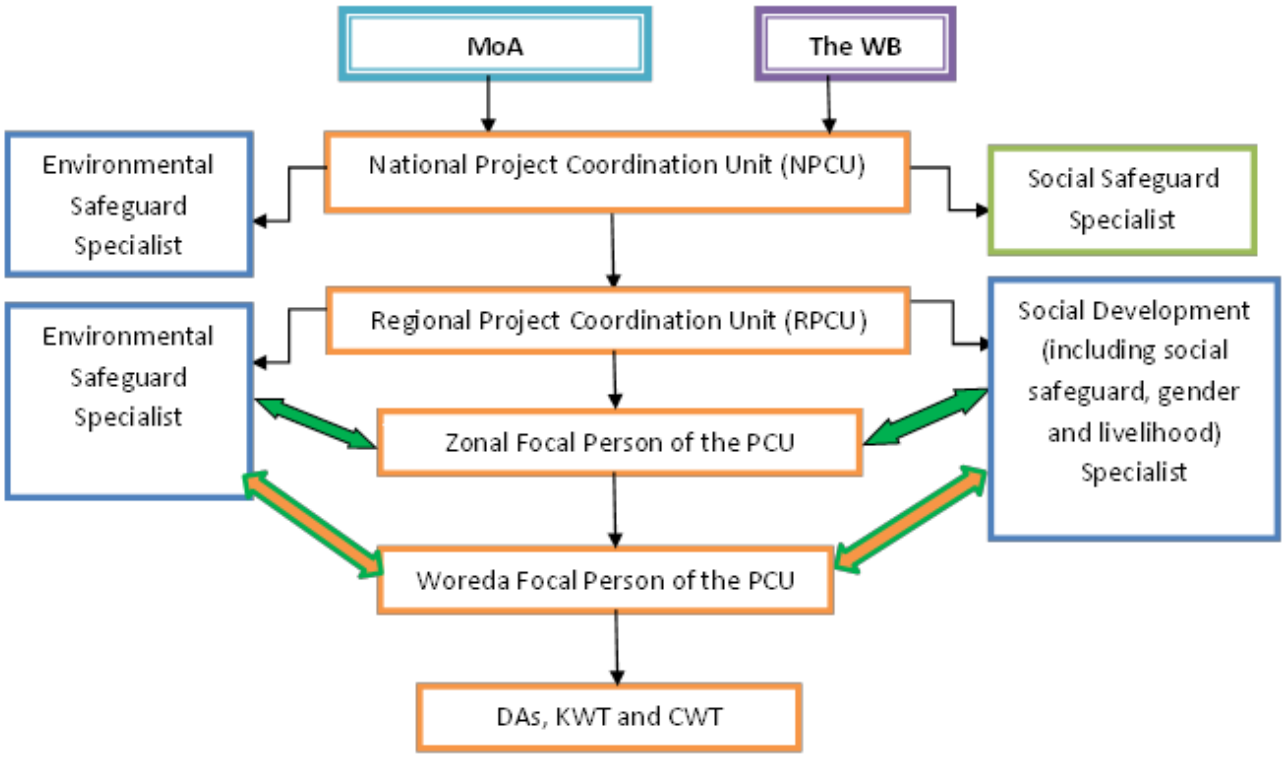

FIGURE 5 . Institutional arrangement for environmental and social safeguards

8. Training and Capacity Building for Safeguards Compliance

For effective implementation of the ESMF, it is necessary to provide capacity building and technical backstopping to experts of different implementing and stakeholder institutions at regional, zonal, woreda and community levels. Capacity building is critical in the implementation of RLLP environmental and social safeguards. Capacity building includes both human and material resources. Human resource capacity building enables implementers and stakeholders of RLLP to equip with the understandings, skills and access to information, knowledge and to achieve the required objectives of RLLP safeguard instrument documents, i.e. ESMF, RPF, SA, GMG and GRM. Implementers and collaborators need to know the basics of social and environmental issues of RLLP through sustainable capacity building through training and material support such as preparations and distributions of relevant documents. During the last two phases of SLMP (SLMP- I and II), a number of trainings and awareness creation sessions were done at different level on ESMF, SA, GMG, GRM & other safeguard instruments, WB Safeguard policies and others. However, in some of the DFATD (now GAC) woredas, there was no trainings conducted for the different stakeholders at woreda, kebele and community level. Therefore, the training for these GAC woredas will get due concern and efforts will be made to bring these woredas experts similar to the other woredas which got

training during the last program periods. The required human power for environmental & social safeguard specialists are mentioned somewhere in this document with the duties and responsibilities. Trainings including long and short-term trainings, workshops, and seminars, on different aspects of environmental and social issues of the implementation of RLLP will be further strengthened. The specialists both at national and regional level will be equipped with the necessary office equipment, Laptops and Desktops and others.

In addition, technical backstopping and support at regional, zonal, woreda and community level will be strengthened for the successful implementation of ESMF, SMP, GMG and GRM. The technical backstopping includes need assessment for the next training programs, assessment of effectiveness of trainings conducted during the previous years, monitoring of the implementation of mitigation measures, utilization of the different steps of checklists, and others. This will be done on quarterly bases. The technical assistance will also be done during JISM twice a year together with the different stakeholders and development partners. The technical support and implementation of ESMF procedures will be done in the GAC woredas (the 18 woredas) with a detail plan and budget.

The type of trainings, list of trainees and number of training days are explained in Annex 14 and the total cost for training and capacity building activities can be referred from table 15.

9. ESMF Implementation Monitoring and Evaluation

9.1. Implementation monitoring and support

After approval of subprojects (i.e., after getting clearance of the safeguard instruments) by the woreda and/or regional Environment regulatory body, the recommended mitigation measures will be implemented at the community or woreda level with the support of the regional Agriculture Bureau. With the support from the Woreda experts, the DA will be responsible for the effective implementation of the mitigation measures at any stage of the project operation (before construction, during construction or after construction) as specified in the management plan. The regional safeguard specialist, to be hired at the beginning of the project, will monitor the overall ESMF, SA, RPF, GMG and GRM implementation. In fact, the safeguard specialist has to support or carry out the screening of projects at the different stages of the project planning, mainly at the Woreda level.

The safeguard specialists from the RLLP-PCU will closely work with the Woreda Agriculture Office Natural Resource Management expert, RLLP focal person and an expert from Woreda environmental regulatory body. The experts, either as a team or individually, will inspect the implementation of the mitigation measures. During inspections, the expert will verify that the proper procedures are being followed in screening of the RLLP activities and in the

implementation of the mitigation measures in the Woreda. They also make field observations to inspect that no negative environmental impacts are taking place anywhere in the project area. Where such impacts may occur, the experts (mainly the Woreda environmental regulatory body expert) will provide advice on further actions and this will be communicated to the safeguard specialist at the RLLP-PCU.

The implementation, monitoring and supervision of the ESMF, SA, RPF,, GMG and GRM activities in general is a joint task of the RLLP-PSU (through the safeguard specialist), the BoA and the Regional environmental regulatory body. The three bodies will jointly monitor the effective implementation of the mitigation measures in avoiding or minimizing adverse impacts. The design of the process monitoring and reporting procedures need to be prepared in parallel with the preparation of the activity plan for the RLLP project. It should be made ready before the commencement of the implementation of the project activities.

9.2. Performance monitoring

The results monitoring plan has two components: i) monitoring of the compliance, effectiveness of the ESMF, SA, RPF, GMG and GRM and application of the recommended standards; ii) impact monitoring, i.e., measuring the biophysical and socio-economic impacts of the RLLP project. The M&E system of the RLLP, which will be facilitated by the RLLP-PCU, will provide the required information for results monitoring. Purpose of result monitoring is (i) to support compliance with safeguard policies, (ii) to identify the occurrence of any unforeseen safeguard issues, (iii) to determine lessons learnt during project implementation, (iv) to provide recommendations for improving future performance, and (v) to provide an early warning about potential cumulative impacts.

Performance monitoring requires that:

- The various safeguards instruments (ESMP, ESIA, PMP, RPF, GMG,) have been prepared to the required standard, within the required timelines;
- The safeguards instruments have been reviewed and approved by the responsible entities;
- Environmental and social mitigation measures have been/are being implemented and that mitigation measures are effective;
- The community is participating in all stages of the environmental and social management and monitoring processes;
- Relevant Federal, Regional, Woreda and Kebele level officers have been trained in accordance with the capacity building proposals;
- Reports are prepared and delivered as required.

9.3. Environmental and Social Monitoring Indicators

A number of environmental monitoring indicators and parameters can be used to track the performance of the ESMF of RLLP. The goals of environmental and social monitoring indicators include (i) to verify the accuracy of the environmental and social impact predictions; (b) to determine the effectiveness of measures to mitigate adverse effects of projects on the environment and the community; (iii) to determine whether interventions have resulted in dealing with negative impacts; (iv) to verify the required capacity building activities have been done in the identification, planning and implementation of the environmental and social impacts of the project.

Some of these indicators and parameters include:

1. Number, sex and type of target groups participated on the ESMF, SA, and RPF training and awareness creation program;
2. Inclusive, free and prior community participation and consultation;
3. Documentation of community consultation in planning, implementation and monitoring;
4. Maintaining of ecosystem services through the adoption different afforestation, reforestation and rehabilitation of degraded lands and SWC Practices;
5. Number and percentage of subprojects for which environmental and social issues are integrated into the project cycle;
6. Environmental and social screening checklist filled or not;
7. Environmental and Social Management Plan (ESMP) was prepared or not;
8. Environmental enhancement and adverse impact mitigation measures mentioned in Environmental and Social Management Plan have been incorporated and considered during project planning, design and site selection;
9. Social adverse impact identified and mitigation measures mentioned in Environmental and Social Management Plan, Social Management Plan with in SAR and RPF have been incorporated and considered during project planning, design and site selection;
10. Compensation effected according to the agreement made;
11. Implementation of the mitigation measures identified and planned in the ESMP, SMP, RPF;
12. Fair benefit share of project investment;
13. Establishment and functionality of GRM;
14. Environmental consequences as a result of places for collection of construction materials (quarry sites, borrow pits);
15. Increase in landslide, soil erosion and slope instability due construction of subprojects;

16. Impact on water quality and disruption of natural water courses, drainage work and its consequences;
17. Documentation at woreda concerned offices and DA offices;
18. Impact on critical natural habitats, forests and ecological sensitive areas;
19. Conflict in water use right between the upstream and downstream water user community during water source selection (check whether balance is done or not, sufficient water is allocated for both community and ecological services);
20. Conflict in water use with in targeted group for water use;
21. Developed resource use and management bylaws;
22. Documentation of community consultation both the upstream and downstream including their opinions;
23. Water quality is suitable or not for irrigation and/or drinking purpose, quantity of water supplied as per the demand; regular supply of water as per the capacity of the irrigation project;
24. Water logging and salinity problem because of mis management of irrigation subprojects;
25. Impact in the form of pollution to the environment due to RLLP interventions (disposal of construction materials or wastes and its environmental and social consequences);

9.4. Safeguards compliance reporting

In view of the significant nature of the impacts of some of the activities of RLLP, a robust system of compliance monitoring and reporting should be in place. Quarter and annual reports should be prepared and pass the hierarchy from Woreda, zonal, regional and to federal levels. The Regional and Federal PCU Environmental and Social Safeguard Specialists are normally required to report quarterly and annually on the performance of the subproject activities during the preceding quarter and year, respectively. Procedurally, the report of environmental and social safeguard and other RLLP activities sent by woreda FPs will be consolidated at regional level by PCU M&E specialists with the support of the RPCU safeguard specialists. These quarter and annual reports should capture the experience with implementation of the ESMF, RPF, SA and GMG procedures. The purpose of the reports is to provide (i) A record of the subproject transactions; (ii) A record of experience and issues running from quarter -to-quarter/year-to-year throughout the subproject that can be used for identifying difficulties and improving performance; and (iii) Practical information for undertaking an annual review.

The reporting formats proposed to be filled by Woreda FP, zonal focal person and regional Environmental safeguard and Social development specialists are set out in Annexes 9a, 9b and 9c. At Woreda level, quarter and annual report form (Annex 9(c) will be completed by NRM expert and/or WFP of the project implementing body. The objective of the report is to provide a

feedback on the activities of and observations on the implemented RLLP subprojects and their compliance with the environment and social over the review period in the Woredas. Similarly, at regional level, quarter and annual report form will be completed by regional M&E and safeguard specialist of PCU to provide a feedback on the activities of and observations on the implemented RLLP subprojects over the review period in the region. The regional environmental and social Safeguard Specialist will prepare quarter and annual reports based on the Woreda report including his/her accomplishment report by filling the report format (Annex 9(b), and submit it to the RPCU M&E team and a standalone report to federal RLLP-PCU. At the federal level, the quarterly and annual report form (Annex 9 (a)) will be collected from the M&E team and after completion; the Environmental Safeguard Specialist and the Social Safeguard Specialists of federal RLLP-PCU will check the regional report and submit a consolidated report with the necessary narration to the NPCU-M&E Case team and standalone report to Development Partners. The objectives of the report are 1 st. to consolidate and summarize the feedback from the regions; 2nd. to assess the overall progress of the RLLP subprojects at the national level and see the performance of regions; and 3rd. to give feedback to regions on their performances.

9.5. Environmental and social auditing/review

Environmental and social auditing is defined as "a systematic, periodic, documented and objective review of project activities related to meet environmental requirements". It has been universally accepted as one of the components of Environmental and Social Management Plan (ESMP) and should be undertaken after construction, during operation, and upon the completion of the project decommissioning as well in the entire life of the project. It is a process that enables an organization to assess and demonstrate its social, economic and environmental benefits and application of appropriate mitigation measures. The audit/review involves evaluation to identify compliance of social and environmental aspects of projects (to applicable compliance requirements) and identify implementation gaps, along with related corrective actions. The objectives of environmental and social auditing are twofold, 1 st. Assess the compliance of implementation to project safeguard instruments with regard to the intermediate environment and social impacts of the wider RLLP interventions, and 2 nd Assess the occurrence of, and potential for, cumulative impacts due to project-funded and other development activities. This enables to improve decision making and ensure that the project is environmentally sound, socially acceptable and economically feasible.

One of the issues of reviewing is the review of the performance of environmental and social safeguard works annually and quarterly. The annual reviews are intended to be used by project management to improve procedures and capacity for integrating natural resources and environmental/social management into project operations. The reviews will also be a principal

source of information to Bank supervision missions. Annual reviews of the project and the implementation of the ESMF will be conducted at the end of each year facilitated by the RLLP-PCU. The review will require two to three weeks depending on the regional performance of the environmental and social safeguards. The objectives of the annual reviews include (i) Assess project performance in complying with ESMF procedures, gaps identified, lessons learnt, and improve future performance, and (ii) Assess the occurrence of, and potential for, cumulative impacts due to project-funded and other development activities.

It is necessary that the audit/review should be conducted by an independent entity (local consultant). The compliance assessment and performance review reports, which will be produced by the independent review body, will be used as a monitoring and review tool to track ESMP results. The annual review report should be delivered to project management (region and federal), to each woreda office responsible for appraisal, approval and implementation of subprojects and to the Bank as well. In the review process, the RLLP-PCU and the Regional environmental regulatory body will play the lead role in coordinating the process with the key stakeholders. The principal output is a review report that entails the methodology, summarizes the results, and provides practical recommendations.

On the other hand, environmental and social audit can be conducted by the regulatory body, which is the environmental protection authority/agency, at various level. However, it can be carried out by the safeguard specialists of the PCU and verification can be done by an independent local and/or international consultant hired by the Development Partners (DPs). For the effective performance, the safeguard specialists of the federal and regional PCU, Woreda and zonal Focal persons, and other relevant exerts at woreda level, and Development Agents at kebele level should receive relevant environmental and social auditing trainings.

10. Grievance Redress Mechanism

10.1. 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.

10.2. Grievance Redress Mechanism in RLLP

Grievance Redress Mechanisms (GRMs) can be an effective tool for early identification, assessment, and resolution of complaints on projects. Grievance Redress Mechanisms (GRMs) are institutions, instruments, methods, and processes by which a resolution to a grievance is sought and provided. It is a way to receive, assess or review and resolve complaints that may arise from the RLLP-supported activities. Understanding when and how a GRM may improve project outcomes can help both project teams and beneficiaries improve results. An adequate social and environmental impact assessment process is essential to the success of a grievance redress mechanism. The goals of GRM are (i) open channels for effective communication, (ii) demonstrate that RLLP is concerned about community members and their well-being, (iii) mitigate or prevent adverse impacts on communities caused by RLLP projects activities, (iv) improve trust and respect, and (v) promote productive relationships.

In Sustainable Land Management Program, the activity plans had been originating from communities and adding up to kebele, woreda, regional and federal levels. Since they are the primary beneficiaries of the project, they have been encouraged to participate fully in all aspects of the project including problem/need identification, preparation, work planning, implementation, monitoring, operation and maintenance. Therefore, the planning process followed a bottom-up approach to lay foundation for all of the interventions and to ensure sustainability. In addition to avoid/minimize and mitigate current and potential adverse impacts of the implementation; activities are screened and checked for negative impacts using checklists prepared for the same purpose and compliance of safeguard instrument and corrective measures are taken. Since the whole process has been participatory and transparent, the occurrence of complaint is very rare. Even though the existence of complaints was minimal, a functional GRM document which serves as a guideline was prepared after consultation with participants from regional, zonal and woreda natural resources, land administration, and regional PSU experts and a mechanism has been put in place by the project to address unforeseen events. Therefore, a transparent Grievance Redress Mechanism (GRM) with credible process has been established in all project watersheds.

The GRM guideline includes the procedures, focal persons, and time frame at each level of administrative hierarchy. Awareness creation training was given to responsible woreda experts of stakeholder offices, Development Agents (DA). Communities are aware of the mechanism (their rights, where to apply) and any person within targeted watershed who had complaints

regarding the activities of the project during preparation/designing, implementation and operation phases had access to the mechanism and get responses. According to SLMP 2 experience; common cases of complaints are targeting for IGA, targeting for SWC activities on communal land and payment is not according to my work. Therefore as the mechanism already operational in SLMP 2 watersheds will continue to serve the same purpose in newly added woredas during the implementation of RLLP.

The MoA/RLLP National PCU in collaboration with concerned regional and woreda (Bureau of Agriculture and Natural Resources, and Woreda Agricultural Office) will make the public aware of the GRM through awareness creation forums, training and capacity building. Contact details in support of the Mechanism will be publicly disclosed and posted in the offices of concerned woreda offices, Kebele administration, kebele development centers/agriculture office and Farmers Training Centers (FTC). These will also be incorporated in the RLLP information materials (e.g. reports, magazines, brochures, flyers and posters).

The MoA/RLLP NPCU in collaboration with its regional and woreda counter parts will strengthen the established GRM that allows any person, who has complaints regarding the activities of the RLLP, to raise issues, feedback and complaints about the effects of RLLP activities implementation/performance. Complaints can be communicated in written form using the standard complaint form to community watershed team. All received complaints and responses given should be documented and copies sent to kebele watershed team.

At community watershed team level unresolved complaints (if the complainant is not satisfied) will be brought to traditional grievance redress institution (depending on specific locality) and investigated and resolved. Complaints unresolved at traditional grievance redress institution level (if the complainant is not satisfied) will be brought to kebele watershed team and investigated and resolved. All received complaints and responses should be documented and copies sent to community watershed team and woreda agricultural office. Complaints unresolved at kebele watershed team level (if the complainant is not satisfied) will be brought to woreda agricultural office. At woreda level, all received complaints which were unresolved at kebele watershed team level will be reviewed by the woreda agriculture office and sent to woreda steering committee for investigation and final decision. Detail annexed in GRM guideline but the application form for GRM at community level is in Annex 15.

11. Anticipated cost for safeguards compliance in RLLP

The anticipated cost for successful management of environmental and social safeguards issues is presented in detail in table 15 below. The budget for mitigation measures implementation will depend on the plan to be submitted from the regional concerned coordination units talking

into account of the existing plans of the types of subprojects to be financed by the project. However, during planning of the different interventions of component I of the project (access roads, water harvesting structures, etc.) mitigation costs should be included in the design cost and therefore, it is not included here. The implementation budget includes those proposed for capacity building in the form of trainings and equip with goods and materials to staff of PCU and other stakeholders at all levels, annual review workshops, technical support and backstopping, awareness creation to kebele and community members, environmental and social auditing, monitoring and evaluation activities and others.

The total cost estimated is about 1.886 million USD for the coming five years. The budget stands open for revision and improvement as and when needed by the RLLP-PCU

TABLE 15. Budget proposal for ESMF implementation of RLLP

Table 1: RLLP Costs of the environment and social safeguard (US$)	PY1	PY2	PY3	PY4	PY5	Total
2.4 Safeguards Management	**518,092**	**273,380**	**492,786**	**347,862**	**254,380**	**1,886,500**
2.4.1 Capacity Building: Trainings and Awareness	**170,656**	**98,000**	**160,406**	**149,482**	**10,000**	**588,544**
2.4.2 Goods and Office equipment	**67,056**					**67,056**
2.4.1.1 DSA for Regional and federal staff of the program						
2.4.1.2 DSA and other logistics for regional and zonal stakeholders training (BoA, CoEFCC, BoWE, Bo Youth and Women, etc.)						
2.4.1.3 DSA for Woreda experts who will cascade to Kebele (WoA, environmental regulatory body, WoWE, WoLE and etc. training)						
2.4.1.4 DSA for field works of from Woreda (WTC,WSC, other experts training) including consultation, participation, and awareness creation to kebele level for						
2.4.1.5 Awareness creation to SC at woreda and zonal level						
2.4.1.6 Logistics & stationeries at regional, zonal and district level						
2.4.1.7 Round trip transport fee						
2.4.1.8 Monitoring and evaluation training at federal, regional and woreda level						
2.4.2 Monitoring, technical support, and supervision of the implementation of ESMF, SA (SMP), RPF, GRM by RLLP NPSU and NTC members (Operating cost)	**95,880**	**127,880**	**127,880**	**117,880**	**112,880**	**582,400**
2.4.2.1 Logistics (Air ticket, Fuel, maintenance and others) at all level						
2.4.2.2 Stationery (Lump-sum)						
2.4.2.3 DSA for Supervision of ESMF, SA, RPF and GRM performance						
2.4.3 Experience sharing	**54,500**	**37,500**	**54,500**	**70,500**	**21,500**	**238,500**
2.4.3.1 Within regions						
2.4.3.2 In other best performing regions						
2.4.3.3 Logistics (fuel and car rent) for the experience sharing (Lump sum)						
2.4.4 Exposure visit to foreign countries	**90,000**		**90,000**			**180,000**
2.4.5 Periodic monitoring, annual review, auditing and participate in the JISM (Lump	**40,000**	**10,000**	**60,000**	**10,000**	**110,000**	**230,000**

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13. Annexes

Annex 1. Definitions of terms

- **Biodiversity**: the variability among living organisms from all sources including, inter alia, terrestrial marine and aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species, and of ecosystems.

- **Compensation**: Common compensation issues include (a) whether compensation is at replacement cost; (b) compensation eligibility; (c) the efficiency of its delivery to the affected people; (d) indirect costs/charges against compensation; (e) compensation for public property and private businesses.

- **Critical natural habitats:** Are a subset of both natural and modified habitat that deserves particular attention. These habitats include 1st. highly threatened or unique ecosystems, 2nd. Areas protected by government (e.g. parks, World Heritage Sites) or by tradition (e.g. sacred groves), sacred forests; *or* 3rd. Areas having biodiversity of significant social, economic, or cultural importance to local communities; *or 4th.* Areas critical for rare, vulnerable, migratory, or endangered species as listed in the IUCN Red List of threatened species or under national law.

- **Displaced Persons:** The people or entities directly affected by a project through the loss of land and the resulting loss of residences, livelihoods, other structures, businesses, or other assets.

- **Environmental and Social Impact Assessment (ESIA**): A tool used to identify and assess the potential impacts (be it positive or negative) of a proposed project (or activity), evaluate alternatives, and formulate appropriate mitigation, management and monitoring measures (generally in the form of an environmental and social management plan).

- **Environmental and Social Management Plan (ESMP)*:*** An action plan that addresses how, when, who, where and what of the environmental and social mitigation measures aimed at optimizing benefits and avoiding or mitigating adverse potential impacts of proposed operation or activity. It encompasses mitigation, monitoring, rehabilitation and contingency plans.

- **Environmentally/Ecologically sensitive areas:** are places that have special environmental attributes worthy of retention or special care. Besides, they are critical to the maintenance of productive and diverse plant and wildlife populations. Some of these environmentally sensitive areas are home to species which are nationally or regionally significant, others are important in a more local context. Examples include

rare ecosystems, habitats for species at risk and areas that are easily disturbed by human activities, wetlands, lakes, flood and land slide prone areas, rivers, etc.

- **Forest:** Land spanning at least 0.5 ha covered by trees, attaining a height of at least 2 m and a canopy cover (or equivalent stocking level) of more than 10% or trees with the potential to reach these thresholds in situ in due course. Forest may consist of either closed forest formations or open forest; and includes areas normally forming part of the forest area that are temporarily unstocked as a result of human intervention - but that are expected to revert to forest.

- **Grievance Redress Mechanism**: The processes established under RLLP to enable property owners and other displaced persons to redress issues related to acquisition, compensation, or benefits sharing, other aspects of RLLP.

- **Involuntary**: for purposes of this policy reference to RLLP, "involuntary" means actions that may be taken without the displaced person's informed consent or power of choice.

- **Land Acquisition**: The process of acquiring land under the legally mandated procedures of eminent domain.

- **National Park:** An area designated to conserve wildlife and associated natural resources to preserve the scenic and scientific value of the area which may include lakes and other aquatic areas.

- **Natural Habitat:** Land and water areas where (i) the ecosystems' biological communities are formed largely by native plant and animal species, and (ii) human activity have not essentially modified the area's primary ecological functions and species composition.

- **Protected Area:** An area set aside for the conservation and management of wildlife and their habitat.

- **Resettlement Action Plan (RAP)**: It is the planning document that describes what will be done to address the direct social and economic impacts associated with involuntary taking of land. The scope and level of detail of the Resettlement Action Plan vary with the magnitude and complexity of resettlement".

- **Resettlement Policy Framework (RPF)**: The RPF establishes resettlement objectives and principles, organizational arrangements, and funding mechanisms for any resettlement operation that may be necessary during project implementation.

- **Resettlement**: in RLLP context, covers all direct economic and social losses resulting from land taking and restriction of access, together with the consequent compensatory and remedial measures. Resettlement is not restricted to its usual meaning-physical

relocation. Resettlement can, depending on the case, include (a) acquisition of land and physical structures on the land, including businesses; (b) physical relocation; and (c) economic rehabilitation of displaced persons (DPs), to improve (or at least restore) incomes and living standards.

- **Social Management Plan (SMP)**: is the operational plan prepared on the basis of the RLLP Social Assessment (SA) and the related in depth consultation with the affected underserved people and vulnerable groups to seek their support for the RLLP. The RLLP sets out measures to ensure that (a) underserved people and vulnerable groups affected by the RLLP receive culturally appropriate social and economic benefits and
  (b) any potential adverse effects are avoided, minimized, mitigated, and/or compensated.

- **Stakeholders:** A broad term that covers all parties affected by or interested in a project or a specific issue—in other words, all parties who have a stake in a particular RLLP issue or initiative. These may encompass persons or groups who are affected by or can affect the outcome of the RLLP project. These can include affected communities, local organizations, NGOs/CSOs and government institutions. Stakeholders can also include politicians, commercial and industrial enterprises, civil society organization, academics, religious groups, national social and environmental public sector agencies and the media. Further, stakeholders could be viewed as primary and secondary. Primary stakeholders are those most directly affected—in resettlement situations, the population that loses property or income because of the project and host communities. Other people who have an interest in the project—such as the project authority itself, the beneficiaries of the project (e.g., urban consumers for a hydro-power project), and interested NGOs are termed secondary stakeholders.

- **Voluntary land donation for community projects**: In some of the RLLP projects, communities may agree to voluntarily provide land in exchange for desired community benefits. The RPF does not apply if people or communities make *voluntary* land donations in exchange for benefits or services related to the project as long as that is properly documented and could be accessed for verification. Further, arrangements for voluntary land donation are expected to involve no physical displacement or significant adverse impacts on incomes (or they are expected to include community-devised mitigatory mechanisms acceptable to those affected). The RPF defines “minor impacts” as loss of less than 20 percent of an individual’s holdings.

- **Wetlands**: Areas of marsh, fen, and peat land, or water, whether natural or artificial, permanent or temporary, with water that is static or flowing, fresh brackish or salt, including areas of marine water the depth of which at low tide does not exceed six meters (RCB, 1997).

Annex 2: Sub-project eligibility checklist for DAs at the Kebele level (form 1)

Sub-project:_____ Woreda: _____
Kebele: _____ Name of Community Watershed _____
Date: _____Signature: _____

Will the sub-project:	Yes	No
Cause large-scale physical disturbance of the site or the surroundings		
Cause involuntary land acquisition/loss of assets/property or loss access to assets		
Cause significant voluntary land acquisition		
Cause physical relocation of people; or social disturbance		
Involve removal or conversion of substantial amounts of forests and other natural resources		
Affect the quality or quantity of water or a waterway shared with other nations		
Cause degradation of critical natural habitats		
Affect physical and cultural resources (historical, religious, archaeological, sites and monuments)		
Involve construction of dams more than 4.5 meters		
Affect any vulnerable group or underserved people		
Cause loss of biodiversity		
Have any potential direct or indirect impacts on CC or on the people in a CC (because it is located inside a CC or close enough to a CC)		

Recommendations:

Sub-project is not eligible and rejected: ☐

Sub-project is eligible and approved: ☐

Persons/DAs who did the eligibility check:

1. _____
2. _____
3. _____

Screening approved by/ Kebele Office of Agriculture/Kebele Administrator:

Name…….…. Position: ……..Signature: …….. Date: ……..

Reasons for rejection:

1. _____
2. _____
3. _____

Annex 3: screening checklist for sub-projects needing special attention (form 2) - guidance for woreda TC and woreda environmental regulatory body focal person

Sub-project: _____ Woreda: _____

Name of Community Watershed _____ Responsible person/expert who did the screening: _____

Date: _____ Signature: _____

	Yes	No
Will the sub-project:		
Involve use of agro-chemicals		
Involve land acquisition?		
Involve loss of assets or access to assets on the land?		
Cause displacement of people?		
Incorporates dams of more than 4.5 metres height		
Have any potential direct or indirect impacts on CC or on the people in a CC (because it is located inside a CC or close enough to a CC)		

Recommendations:

Sub-project needs special attention: ☐

Sub-project does not need special attention: ☐

Screening is approved by the Woreda NRM Head:

Name…….…. Position: ……..Signature: ……... Date: …….....

Annex 4: Screening checklist for sub-projects of environmental and social concern (form 3) - Guidance for Woreda TC

Sub-project:_____ Woreda: _____

Name of Community Watershed _____Responsible expert/person who did the screening: _____ Date: _____ Signature: _____

Sub-projects of environmental concern

	Yes	No
Will the sub-project:		
Be located in forest priority areas and cause destruction of habitats		
Instigate soil erosion and flooding		
Cause disturbance to ecologically sensitive areas		
Be located close to national parks and protected areas		
Cause pollution of surface and ground water		
Cause breeding of disease vectors (malaria)		
Cause soil pollution		
Involve area ex-closures and loss of access		
Affect underserved people, vulnerable groups, and ethnic minorities?		
Cause involuntary land acquisition and resettlement/physical relocation?		
Cause voluntary land acquisition and/or physical relocation/loss of asset/ property?		
Be located close to cultural heritage, historical and religious sites		
Cause erosion and sedimentation into international waterways		
Involve draining of and/or disturbance to wetlands		
Have any potential direct or indirect impacts on CC or on the people in a CC (because it is located inside a CC or close enough to a CC)		

Annex 5. Checklist for level of adversity of sub-projects of environmental concern

Sub-project types	Adversity of Impacts				
	None	Low	Med	High	Unknown
Community access roads will cause:					
Soil erosion and initiation of flooding, gully formation					
Loss of biodiversity through cut and fill activities					
Cross and cause destruction of natural habitats					
Sedimentation to water sources and reservoirs					
Cause flooding and erosion, water pollution					
Disturbance to ecologically sensitive habitats					
Damage to cultural, religious and historical sites					
Opening of quarry/borrow sites					
Involve area ex-closures and loss of access					
Cause voluntary land acquisition and loss of property					
Cause involuntary land acquisition and loss of property					
If there are other adversity include					

Sub-project types	Adversity of Impacts				
	None	Low	Med	High	Unknown
Small scale irrigation will cause:					
Significant deforestation result biodiversity loss					
Competing claims for water use and social tension /targeted area					
Competing claims for water upper & down streams					
Disturbance to wildlife habitats or populations					
Disrupt ecologically sensitive areas					
Land clearing and biodiversity loss					
Disturbance to cultural or religious sites					
New settlement pressures					
Water logging and increased soil salinity					
Increased use of pesticides and other agrochemicals					
Risk of vector born diseases					
Loss of access					
Land acquisition and loss of property					
If there are other adversity include					
Water harvesting structures will cause:					
Risk of disease causing vectors breeding					
Land acquisition and loss of property					
Loss of access					
Loss of biodiversity					
If there are other adversity include					
Degraded land rehabilitation may cause:					
Restriction of human and livestock mobility					
Risk of introduction of invasive exotic species					
Restriction of access to communal lands					
Risk of rodents and other pests					
Compromise to local biodiversity					
Risk of mono-cropping (resorting to exotics)					
Loss of biodiversity due to clearing of lands					
Temporary land acquisition (loss of land, assets)					
Risk of wildlife attack on domestic animals					
Environmentally sensitive areas disturbed					
If there are other adversity include					
Other sub projects (nursery establishment, FTC etc) may cause:					
Cause destruction of natural habitats					
Loss of biodiversity					
Create quarry sites					
Initiate construction of access roads					
Land acquisition					
Loss of assets/ property					
If there are other adversity include					
Pest management					
Disrupt the quality of water					
Soil and water pollution					
Health effect on humans and livestock					
Introduce exotic species resistance to pesticides					

Recommendations:

- Subproject is not of environmental concern and approved without condition ☐
- Subproject is of environmental concern and full ESIA required ☐
- Special plans should be prepared independently – mark [√] in the box below
  - ESMP ☐
  - RAP ☐
  - IPMP ☐
  - Others ☐
  - Rejected ☐

Reasons for rejection

1) _____
2) _____

Completed by:

- Name: _____
- Position: _____
- Date: _____

Certification (for all approved sub-projects): I certify that all the potential adverse effects of the sub project have been thoroughly examined, and the sub-project does not have any impact and/or the mitigation measures in the plan are adequate to avoid or minimize all adverse environmental and social impacts.

Reviewed and approved by: Woreda environmental regulatory body

- Name: _____
- Position: _____
- Date: _____

Annex 6. Alignment of Operations Procedure

Summary

In 2014-15 a procedure for proactively managing the interface between the Government of Ethiopia's Commune Development Program (CDP) and Bank-financed projects was developed and agreed with government. The procedure, developed under the title "Supporting Results and Alignment of Operations in Ethiopia's Rural Areas" is designed to address the interface between Commune Centres (CC) and Bank-financed (IPF) projects or sub-projects in, or in the vicinity of, the CC. Henceforth the term "sub-project" is used to denote the intervention planned to be implemented within, or in the vicinity of, a CC.

The procedure will enable the Bank to support such sub-projects wherever possible, by:

- managing the operational interface,
- being able to demonstrate that it has taken all reasonable steps to consider the implications of the interface,
- while avoiding getting involved with non-viable or seriously deficient situations.

The procedure is simple and is designed to be embedded within the regular Environmental and Social Management Frameworks (ESMF) and or other safeguards instruments (RPF, RAP, SA, and ESIA) already in use by such sub-projects. It involves gathering basic data on the CC and classifying it in terms of its viability. Based on the classification, the Bank determines whether, and how, the Bank-financed project or sub-project should proceed.

The Procedure

Step 1: Screening

The CC is screened by a local government staff member as part of the normal ESMF, RPF, RAP, SA, and ESIA screening procedure of the Bank-supported sub-project. The regular ESMF (and other safeguards instruments: RPF, RAP, SA, ESIA) sub-project Screening procedure will now contain an additional question: "Will this sub-project be inside a Commune Centre or close enough to a CC to have any potential direct or indirect impacts on it or on the people in a CC ?"

- If 'Yes', a checklist will be completed by the Screening staff member.
- The completed checklist will be forwarded via the federal **Environmental and Social** focal person to the Bank Task Team.
- If 'No', there is nothing additional to be done.

The checklist consists of a one-page data checklist on the CC. It is completed by the local government staff member who normally conducts the regular Safeguards Screening. This is normally done at the same time as the rest of the ESMF.

Step 2: Managing the Interface

The Bank Task Team classifies the CC based on the completed checklist (attached here with).
This classification indicates to the WB what strategy to adopt.
The factors used to classify the CC as set out in the checklist, and their significance, are as follows:

- **Mandatory Factors:** Sufficient and suitable *land* and *water supply based on regional/woreda government standards*. If they cannot be provided, the CC cannot be viable.
- **Access to Basic Services:** *Education, Health, Water*. Even if absent, these services could be provided in future.
- **Prior Conditions:** *Consultation, voluntariness, relocation distance* and *potential for conflict*. These issues should have been addressed at the planning stage. However, shortcomings may not necessarily mean that the CC is non-viable.
- **Operations and Maintenance:** *Good management & supervision, resource allocation*, and *grievance redress*. These can only be provided by government.

Based on these factors, the CC is categorized by the Bank Task Team as follows:

- Category I: Broadly satisfactory in all respects (but not necessarily meeting WB standards)
- Category II: Deficient in some notable respects, but could be rectified.
- Category III: Non-viable because fundamentally flawed. Very difficult or impossible to rectify.

The principles of CC classification as are follows:

- This procedure is concerned with “live” CCs. A CC ceases to be regarded by the Bank as a live project one year after the last registered household has settled. Such CCs are treated like any other regular community. Thus Bank-supported sub-projects in, or in the vicinity of such a CC may proceed regardless of the fact that the concerned community started life as a CC.
- “Live” CCs are categorized in the following manner:
    - If any of the Mandatory Resources are not available *and cannot be provided*, the CC is classified as Category III.
    - If all Mandatory Resources are available and there are no shortcomings in Access to Basic Services, Prior Conditions or Operations & Maintenance, the CC is Category I.
    - All other CCs are Category II.

The Bank-supported sub-project may proceed as follows according the category of the CC:

For Category I CCs:

- The Bank-supported sub-project may proceed as usual, with no special regard to the concerned CC.

For Category II CCs:

If there are rectifiable shortcomings in Mandatory Resources:

- The WB-supported sub-project can proceed subject to a written commitment from the concerned Regional government office that the essential resources will be provided to the CC within 1-2 years.

If there are shortcomings in Basic Services:

- The Bank-supported sub-project may proceed subject to the concerned Woreda (District) Development Plan showing that all necessary basic services will be provided to the CC within a reasonable time-frame to be specified by the Bank;
- The Bank may support sub-projects designed to provide basic services to the CC.

If there are shortcomings in Prior Conditions:

- The Bank's **Systematic Operations Risk-rating Tool** (**SORT**) must note any social or other risks likely to arise from systemic problems inherited from these past shortcomings.

For Category III CCs:

- The Bank may not proceed to support the concerned sub-project.
- The Client must select an alternative sub-project not associated with the concerned CC.

Table : Screening Checklist[4]

Type of Criteria	First Question	Response	Second Question	Response
Mandatory Resources	Is suitable and sufficient land available based on regional/woreda government standard?	Yes No	Would it be possible to provide suitable and sufficient land?	Yes No
	Is suitable and sufficient water supply available based on regional/woreda government standard?	Yes No	Would it be possible to provide suitable and sufficient water?	Yes No
Basic Services	Are there adequate education services in line with GoE standards?	Yes No		
	Are there adequate health services in line with	Yes		

[4] If possible the checklist is supplemented by information on the community livelihood system, chronology and size of the CC, the extent of relocation to date, and whether or not residents are free to return to their former location.

Type of Criteria	First Question	Response	Second Question	Response
	GoE standards?	No		
	Is the amount of water available in line with GoE standards?	Yes No		
Type of Criteria	First Question	Response		
Prior conditions	Was the physical relocation viable for the majority of settlers?	Yes No		
	Were the consultations adequate?	Yes No		
	Was the relocation voluntary?	Yes No		
	Is the commune center free of potential serious social conflicts?	Yes No		
Operations and maintenance	Is the supervision and management of the commune center basically satisfactory?	Yes No		
	Are resources being allocated in a satisfactory manner?	Yes No		
	Is there a fair and viable grievance redress procedure?	Yes No		

Annex 7. A Guiding Note for addressing issues of Moderate and Significant Environmental and Social Impacts of Resilient Landscapes and Livelihoods Project (RLLP) Subprojects

I. Introduction

The main reason for preparing this guiding note is fourfold. First, it is necessary to have clear criteria on how to rate moderate or significant environmental and social impacts in the Environmental and Social Safeguards Framework (ESMF) for the SLRLLP. Second, without having clear guiding criteria on moderate or significant impacts of subprojects, impact significance rating becomes subjective. Third, as eligibility and screening checklists are being filled in (without having impact rating criteria) on subjective basis, decision makers (at woreda or regional level) may be misguided when reviewing site specific safeguard instruments and providing environmental clearances for implementations of subprojects.

Therefore, the preparation of this guiding note is essential to address the above gaps and provide clear guidance on preparation of site specific safeguards instruments for RLLP subprojects. By doing so, it also gives clear direction to (i) prioritize urgent environmental and social issues, and design mitigation/enhancement measures accordingly; (ii) provide coherent linkages among the prioritized environmental and social issues, and (iii) plan monitoring linkage with the proposed mitigation/enhancement measures. It also provides strong basis of information for decision-makers.

II. Interpretations of impact rating of the RLLP interventions (source: Module VII, impact analysis in ESIA, 2003)

a. *Extent / spatial scale of the impact*

It indicates the area over which the impact will be experienced. A description should be provided as to whether impacts are either ***limited in extent*** or ***affect a wide area***. For example, impacts can either be ***site specific, within the project boundary or beyond.***

Examples of criteria for rating the *extent / spatial scale of impacts*.		
Rating	**Definition**	**Score**
High	Beyond subproject site	3
Medium	Within subproject site	2
Low	Site specific/within the area of the project site	1

b. Intensity / severity of the impact

This is related to the magnitude of impact in relation to the sensitivity of the receiving environment; taking into account the degree to which the impact may cause irreplaceable loss of resources. It is expressed in terms of relative severity of the impact in terms of its

potential for causing either negative or positive effects. Intensity also takes account of other aspects of impact whether or not an impact is reversible and the likely rate of recovery.

Examples of criteria for rating the nature ***/intensity / severity of impacts***.		
Rating	**Definition**	**Score**
High	Severe alterations of natural functions, properties and processes.	3
Medium	Where the affected environment is altered but the functions and processes are continue al be it in a modified way/notable alteration of natural functions, properties, processes	2
Low	Negligible alteration of natural properties, functions and processes:	1

c. Duration of the impact

It should be determined whether the duration of the impact will be short term (< 1 year), medium term (0 to 5 years), long term (more than 5 years, with the impact ceasing after the operational life of the development), or considered permanent.

Examples of criteria for rating the ***duration of impacts***.		
Rating	**Definition**	**Score**
Long–term	Where the impact will cease after the operational life of the activity, either because of natural processes or human interventions. More than 5 years, but possible to cease afterwards.	3
Medium–term	Reversible over time, lifespan of the project (0 to 5 years)	2
Short–term	Quickly reversible, less than the project lifespan and/or less than one year.	1

The combined score of these three criteria corresponds to a consequence rating, as follows: it is the sum of scores of the three impact characteristics (intensity (I), extent (E), and Duration (D)"

Consequence of Impact = I + E + D

The following table depicts the method used to determine the consequence score

Combined Score (I + E + D)	**3 – 4**	**5 - 7**	**8 - 9**
Consequence rating	Low	Medium	High

Once the consequence is derived, the probability of the impact occurring will be considered, using the probability classifications shown below:

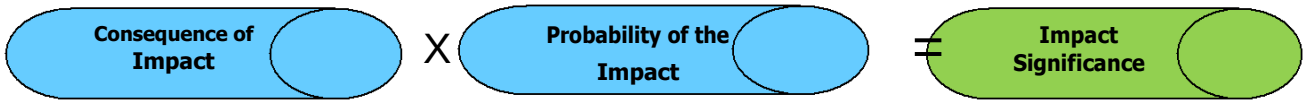
d. Probability – the likelihood of the impact occurring

A description should be provided of the degree of certainty of the impact actually occurring as either, unsure, possible or definite (impact will occur regardless of prevention measures).

Examples of criteria for rating the degree of certainty of impacts.	
Rating	**Definition of rating**
Definite	It is most likely that the impact will occur. More than 70% sure of a particular fact/highly probable.
Possible	There is a distinct possibility that the impact will occur. 40 – 70% sure of a particular factor of the likelihood of an impact occurring.
Unlikely	Little or no chance of occurring/ less than 40% sure of a particular fact or the likelihood of an impact occurring.

e. Impact Aggregation Method 1

The overall significance of impacts will be determined by considering consequence and probability using the rating system described below:



Consequence		Probability		
		Unlikely	Possible	Definite
	Low	Low	Low	Medium
	Medium	Low	medium	High
	High	Medium	High	High

In addition, the impacts can also be considered in terms of their status (positive or negative) and the confidence in the ascribed impact significance rating. The impact significance rating should be considered by authorities in their decision – making process based on the implications of ratings done above and concluded below:

- ***Low:*** The potential impact **may not** have any meaningful influence on the decision regarding the proposed subproject or activity.
- ***Medium:*** The potential impact **should** influence on the decision regarding the proposed subproject or activity.
- ***High:*** The potential impact **will affect** the decision regarding the proposed subproject or activity.

Conclusion:- According to the ESMF document the RLLP is category B project and the potential environmental impacts on humans and sensitive areas are less diverse, site specific, few if any are irreversible. As to the rating obtained above, those sub projects fall under ***low*** will be screened and get direct approval at kebele level, whereas those subprojects with medium impact should have some environmental analysis in the form of ESMP or ESIA, i.e. should be modified if suitable mitigation measures are incorporated into the design by Woreda experts (Woreda Technical team). A subproject with high impact should get due consideration, and the Woreda Technical Committee (WTC), in consultation with the regional environmental

organization and concerned stakeholders will redesign/relocate the proposed subproject, along with possible mitigation and enhancement measures in order to have a subproject with medium impact. In spite of all these efforts, if the impact is not reduced from high to a medium level, the proposed subproject/activity has to be rejected.

The level of detail and extent of the RAP must be related to the extent of the resettlement scope of impact. If the resettlement activities are minor (e.g. a very small percentage (less than 20%) of a person's land and livelihood is being required and less than 200 individuals affected), a relatively simple RAP will be prepared. Where the resettlement impact is major (e.g. the physical displacement of 200 or more individuals, requiring more than 20% of their land and affect livelihoods), a more extensive and detailed RAP will be required. The crucial aspect of a RAP process is that a specific, auditable process has to be followed, that is appropriate to the scope of impacts allowing for consultation throughout the process. For detail refer RLLP resettlement policy framework (RPF).

III. Impact identification and classification:

When considering the location of a sub project, rate (measure) the sensitivity of the proposed site according to the criteria given in the following table. Higher ratings do not necessarily mean that the sub project site is unsuitable – it indicates a real risk of causing adverse impacts involving resettlement and compensation. The rating will be determined by the scope of impact, the vulnerability of people affected.

Issue	Scope of Impact definition		
	Significant	Medium	No Impact
Involuntary Resettlement	• If the activity takes more than 20% of households land, • If it displaces greater than 200 people,	• If the activity takes less than 20% of households land, • If it displaces less than 200 people,	• No land take, • No economic or physical displacement, • No land acquisition, • No non-Land Economic Displacement,

Annex 8: Checklist of potentially negative impacts and possible mitigation measures for sub-project activities

Types of sub-projects	Potential negative impacts	Examples of possible mitigation measures
Construction water harvesting structures and maintenance of small scale irrigation schemes built (Diversion weir, canal, road constructions; HDW and SD for SSI)	• Competing claims over water use and conflicts • Competing claims upper & down streams over water and conflicts, • Risk of erosion to downstream areas • Reduced water flow and limited access to water in the downstream areas • Development of salinity due to mismanagement of water and irrigated land, • Increased use of agro-chemicals and pesticides • Soil and air pollution from agro-chemicals, • Ground and surface water pollution, • Faulty designs causing flooding, • Reservoirs (small dams for irrigation) become breeding place for disease vectors (malaria) and malaria infestation increases, • Land acquisition, loss of assets, loss of land • Risk of land clearing and biodiversity loss, • Mismanagement of water may cause gully erosion • Loss of water due to mismanagement, • Reduced flow, erosion and sedimentation on international waterways, • Impacts on physical cultural resources, • Destruction of natural habitats through land clearing for cultivation,	• Carry out assessment study on water demand and availability, • Community consultations and consensus with upper and downstream community, • Carful design and installation of canal structures so that excess flows will be directed to natural waterways, • Regulate water flow and maintain the optimum flow to downstream dwellers and ecological requirements, • Adopt or promotion of the use of IPM for pest and weed control, • Promote the use of organic fertilizers among irrigators, association members, • Use only prescribed and standard agro-chemicals (avoid unpermitted chemicals that are classified by WHO), • Consult PAP, Pay compensation /replace land for land, compensate for loss of land, livelihoods or economic benefits, • Conduct social assessment, • Plant mosquito repellent tree and shrub species around water ponds, • Construct fence/ in the activity cost include the budget, • Apply water efficient technologies and techniques, • Provide alternative designs and locations or avoid if sub-projects directly affect physical cultural resources, destruct natural habitats, inflict deforestation, or cause biodiversity loss,
Construction and	• Road side erosion and initiation of flooding and gully	• Apply road drainage guidelines and include standard road

Types of sub-projects	Potential negative impacts	Examples of possible mitigation measures
rehabilitation of community access roads and path	erosion in agricultural fields, • Quarry site opening causes pollution of surface and ground water, • Roads may cross and cause destruction of natural habitats and forests • Disturbance to ecologically important habitats, cultural, religious and historical sites or resources • Loss of biodiversity thought cut and fill activities and soil excavations • Restriction of wildlife movement • Disturbance of ecologically sensitive areas • Erosion and sedimentation to water infrastructure and water sources • Land acquisition • loss of livelihood and economic benefits	side stabilization activities as part of the design, • Chanel road spillways to natural waterways, • Rehabilitate quarry sites with natural vegetation, rip raping, shaping and refilling, and avoid creation of standing water, • Avoid disturbance to cultural or religious sites. Unavoidable incidences must be agreed with stake holders such as leaders of churches, mosques and community. • Reroute/redesign if alignment crosses important habitats and forests, • Avoid effects on habitats and wildlife movement corridors through alternative routes, or relocate species for ex-situ conservation, • Avoid forest, riparian and wetland habitats with particular biodiversity, • Avoid occupied land. Prepare procedures to ensure equitable resolution, • Avoid if project causes relocation of people.
Degraded land treatment and rehabilitation on communal and private lands using physical and biological SWC measures (including gully treatment, afforestation, area ex-closures, agro-forestry interventions, etc.) and through natural regeneration and reforestation	• Restriction of access to communal lands • Restriction of human and livestock mobility • Risk of introduction of invasive exotic species • Risk of harboring rodents and other crop pests • Risk of wildlife, rodents and other pests • Low standard physical structures due to lack of capacity • Risk of involuntary land acquisition and causing relocation of households • Risk of conflict over diverse interests	• Community awareness and training on pest management, • Provide alternative routes formed for mobility • Compensations for loss of access (if caused economic loss) • Non-invasive exotic and indigenous species • Use those species that disfavor pests (pest resistant crops) • Selection and use of non-invasive exotic and indigenous species, pest repellent and species that doesn't harbor rodents • Implement physical structures as per the standards in relevant guidelines • Provision of alternatives (options for cut and carry, awareness

Types of sub-projects	Potential negative impacts	Examples of possible mitigation measures
	• Loss of economic or livelihood benefits • Involuntary land acquisition • Wildlife attack on domestic animals and increase of crop pests (birds, primates, mammals) • Risk of mono-cropping (resorting to one or two exotic species). • Loss of farmland due to structures. • Compromise to local biodiversity (indigenous species).	on alternative forage sources, forage species provision) • Consecutive community consultations and consensus on benefits and costs, responsibilities of management, benefit sharing arrangements • Carry out social assessment report and prepare social management plan if up to 40 HHs are affected or less than 20% economic loss by the activity • Prepare resettlement action plan if more than 40 HHS are affected or more than 20% economic loss by the activity • Introduce cultural pest management practices • Prepare wildlife management plans and training of communities on cultural practices to manage pests, • Avoid appropriation of land or eviction of households • Prioritize indigenous and multiple mix of species for planting
Introducing PFM for forest and woodland management	• Restriction of access, • Loss of economic and livelihood benefits • Rising of conflicting interests • Disruption to indigenous/traditional resource use and management systems • Risk of creating competing claims	• Consultative meetings and community consensus on benefits and responsibilities • Provide alternatives or compensate for loss of economic and livelihood benefits • Build community consensus and constitute regulatory mechanisms • Integrate traditional systems • Create opportunities for wider participation
Introduction of EE and RE technologies	• impact on biodiversity, • Loss of vegetation cover, • social conflict,	• Avoid sites that require cutting of sensitive species, • Avoid and/or minimize cutting of big trees, especially due attention be given for indigenous trees and undertake replanting of trees.
Establishing and/or	• Land acquisition	• Provide alternatives sources before starting implementation or

Types of sub-projects	Potential negative impacts	Examples of possible mitigation measures
strengthening community level protected area system, conservation zones, communal reserves, groves, wildlife corridors	• Restriction of access for humans and livestock • Loss of economic and livelihood benefits • Wildlife attack on livestock and increased crop pests	compensate for loss of economic and livelihood benefits, • Avoid or minimize land acquisition from individual holdings, • Prepare wildlife management plans and training of communities on cultural practices to manage pests • Carry out social assessment report and prepare social management plan
Integrating agro-silvo-animal husbandry systems/practices	• Loss of land (grazing land shortage) due to increased density of trees • Increased risk of crop pests	• Avoid competing claims on land (for grazing and tree planting) • Provide alternatives sources before starting implementation • Introduce cultural pest management practices
Establishing pockets of wood stands at homestead level	• Increased risk of crop pests • Competition with annual or food crops • Ground water depletion through deep root system • Disruption to nutrient cycle if species have allelopatic effects	• Introduce cultural pest management practices, • Planting sites should be different and with sufficient distance from crop fields • Avoid planting close to water bodies, wetlands, shallow water table areas • Select species that do not cause allelopatic effect
Introduction of high value crops (vegetables, root crops and fruit seeds, seedlings)	• Increased load of agro-chemicals to control pests and plant diseases, • Contamination of surface water with agro-chemicals	• Introduce and apply cultural pest management practices, • Promotion of the use of IPM and organic fertilizers among irrigators association members.
Introducing new varieties of plant species for forage and food crops	• Risk of introducing new pests and crop diseases with new the germplasm	• Conduct quarantine checks and follow national guidelines for introduction of new germplasm

Annex 9 (a). Environmental and social safeguard reporting format at federal level

Ministry of Agriculture
Resilient Landscapes and Livelihoods Project

Reporting format for environmental and social safeguard
Region _____
Quarter period _____

No.	Project components	Unit	Eligible and screened subprojects		Subprojects prepared ESMP		Reviewed and certified subprojects		Implementation of ESMP		Monitoring of mitigation measures		Remarks
			This quarter	To this quarter	This quarter	To this quarter	This quarter	To this quarter	This quarter	To this quarter	This quarter	To this quarter	
I	**Component 1. Investment in Green Infrastructure and Resilient Livelihoods**												
	NRM (Gully rehabilitation, Area Ex-closure, Afforestation/	No of subproject											
	SSI	"											
	Water Harvesting	"											
	Potable water supply	"											
	Rural road construction	"											
II	**Component 2: Strengthening institution and information modernization**												
		Unit	This quarter	To this quarter	This quarter	To this quarter	This quarter	To this quarter	This quarter	To this quarter			Remark
	Awareness creation to farmers on ESS	No. of participants											
	DA and CF training on ESS	No. of participants											
	Training woreda and zone experts and platform	No .of participants											

No.	Project components	Unit	Eligible and screened subprojects		Subprojects prepared ESMP		Reviewed and certified subprojects		Implementation of ESMP		Monitoring of mitigation measures		Remarks
			This quarter	To this quarter	This quarter	To this quarter	This quarter	To this quarter	This quarter	To this quarter	This quarter	To this quarter	
	members on ESS												
	Experience sharing for Regional level experts	No. of participants											
	Experience sharing for zone and woreda Focal persons	No. of participants											
III. Component 4: Project Management													
		Unit	This quarter	To this quarter	This quarter	To this quarter	This quarter	To this quarter	This quarter	To this quarter			Remark
	Environmental and social Monitoring and technical support	No. of regions											
	Follow up Gender mainstreaming	No. of Woreda/ Kebele											
	Environmental and social auditing	No. of subprojects											
	Follow up of vulnerable people participation and benefit from project investment	No. of beneficiary											

Data Compiled by: Name _____ Title: _____ Date: _____

Annex 9 (b). Environmental and social safeguard reporting format at regional level

Ministry of Agriculture

Resilient Landscapes and Livelihoods Project (RLLP)

Social Development Reporting Format (Year….)

Name of the region---------- Name of the Zone---------- Name of the Woreda----------

Reporting period (Quarter) _____

Compiled by_____Date_____Responsibilty_____

No.	Activity	Unit	Annual target	Target		Achievement			Remark
				This quarter	Up to this quarter	This quarter	Up to this quarter	Achievement /planned (%)	
1	Subprojects in which mitigation measures implemented	No. of subprojects							
2	Monitoring and technical support of mitigation measures	No. of woredas							
		No of sub projects							
3	No. of Total persons involved in labor work (SWC, Road, irrigation…) with payment	Number							
4	Women involved in labor work (SWC, Road, irrigation…) with payment	Number of Women involved in labor work							
		% of women compared from the total persons(No.3) involved							
5	Jobless youths involved in labor work	Number Jobless youths involved							

No.	Activity	Unit	Annual target	Target		Achievement			Remark
				This quarter	Up to this quarter	This quarter	Up to this quarter	Achievement /planned (%)	
	(SWC, Road, irrigation…) with payment	% compared from the total persons involved(No.3)							
6	Landless HHHs involved in labor work (SWC, Road, irrigation…) with payment	Total number of landless HHH involved							
		Number of landless MHH							
		Number of landless FHH							
		% of total landless HHH involved compared from the total persons. involved (No.3)							
7	Women involved in different SHG for IGA	Total No. of SHG/Coop. organized for IGA							
		Total member of SHG/ Coop.							
		Number women members of SHG/Coop.							
		% of women compared from total person. involved in SHG							
		Number of women only SHG							
8	Women involved in different IGA at individual level	Total no of persons involved in different IGA at individual level							
		Number Women							
		% of women compared from total involved persons.							
9	Jobless youths involved in different	Total number of Jobless youths involved in different SHG for							

No.	Activity	Unit	Annual target	Target		Achievement			Remark
				This quarter	Up to this quarter	This quarter	Up to this quarter	Achievement /planned (%)	
	SHG for IGA	IGA							
		% of Jobless youths compared total persons. involved in different SHG for IGA							
10	Jobless youths involved in different IGA at individual level	Total number of Jobless youths involved in different IGA at individual level							
		% of Jobless youths compared total persons. involved in different IGA at individual level							
11	Landless involved in different SHG for IGA	Total number of landless HHHs involved in different SHG for IGA							
		Number of landless FHHHs							
		Number of landless MHHHs							
		% of landless HHHs compared total popn. involved							
12	Landless involved in different IGA at individual level	Total number of landless HHHs							
		Number of landless FHHHs							
		Number of landless MHHHs							
		% of landless HHHs compared total popn, involved							
13	Disabled community members benefited	Number of disable HHH benefited							

No.	Activity	Unit	Annual target	Target		Achievement			Remark
				This quarter	Up to this quarter	This quarter	Up to this quarter	Achievement /planned (%)	
	from different SLMP intervention (farm land, IGA...)	% of disable HHHs benefited compared total benefited HHHs							
		Number of persons benefited							
		% of persons benefited							
14	Number of subprojects required land donation	Number							
15	Subprojects for which voluntarily land donated	Number of subprojects voluntarily land donated							
		No. of MHH donated land							
		No. of FHH donated land							
		No. of THH donated land							
		No. of parcel voluntarily donated							
		Average area of voluntarily donated land (ha.)							
		Proportion of voluntarily donated land from the original land holding in that specific site in %							
		Total voluntarily donated land in ha.							
16	Voluntarily donated land processed & documented	No of land (parcel) w/h VLD signed & documented							
		No of land (parcel) w/h minutes processed & documented							

No.	Activity	Unit	Annual target	Target		Achievement			Remark
				This quarter	Up to this quarter	This quarter	Up to this quarter	Achievement /planned (%)	
		No of HHs w/h VLD signed by both husband & wife & documented							
17	Voluntary donated land /HHs for which compensation/ benefit/ Free donation made	No of land (parcel) w/h land for land compensated							
		No of land (parcel)/HHs w/h cash compensated							
		No of land (parcel)/HHs w/h benefit from activity							
		No of land (parcel)/HHs w/h free donated							
18	Availability of safeguard documents at woreda level	No of woreda							
18.1	ESMF	No of woreda							
18.2	Social assessment report	No of woreda							
18.3	Gender mainstreaming guideline	No of woreda							
18.4	Resettlement Policy Framework	No of woreda							
18.5	Voluntary Asset Donation Form	No of Kebeles							
18.6	GRM application form	No of Kebeles							
18.7	Eligibility Checklist format	No of Kebeles							
18.8	List of vulnerable group	No of Kebeles							

No.	Activity	Unit	Annual target	Target		Achievement			Remark
				This quarter	Up to this quarter	This quarter	Up to this quarter	Achievement /planned (%)	
19	Grievance mechanism established	No of woreda							
20	Grievance registered	No.							
21	Grievance resolved	No.							

Data Compiled by: Name _____ Title: _____ _____ Date: _____

Annex 9 (c) Social Development Reporting Format

Capacity building activities (Income generating activities (IGA))
Name of the region---------- Name of the Zone---------- Name of the Woreda----------
Reporting period (Quarter) _____
Compiled by_____Date_____Responsibilty_____

No.	Activity	Unit	Annual target	Target		Achievement		
				This quarter	Up to this quarter	This quarter	Up to this quarter	Achievement /planned (%)
1	Training on different IGA & business plan preparation	Male						
		Female						
		Total						
1.1	Regional experts	Male						
		Female						
		Total						
1.2	Zonal experts and FPs	Male						
		Female						
		Total						
1.3	Woreda experts and FPs	Male						
		Female						
		Total						
1.4	DAs	Male						
		Female						
		Total						
1.5	Community	Male						

No.	Activity	Unit	Annual target	Target		Achievement		
				This quarter	Up to this quarter	This quarter	Up to this quarter	Achievement /planned (%)
		Female						
		Total						
2.	Experience sharing	Male						
2.1	Experience sharing for Regional level experts	Female						
		Total						
		Total						
2.2	Experience sharing for zone and woreda Focal persons and TC	Male						
		Female						
		Total						
2.3	Experience sharing for communities	Male						
		Female						
		Total						

Social Development Reporting Format (Year….)
Capacity building activities on Gender mainstreaming

Name of the region---------- Name of the Zone---------- Name of the Woreda----------
Reporting period (Quarter) _____
Compiled by_____Date_____Responsibilty_____ _____

No.	Activity	Unit	Annual target	Target		Achievement		
				This quarter	Up to this quarter	This quarter	Up to this quarter	Achievement /planned (%)
1	Training on Gender mainstreaming	Male						
		Female						
		Total						
1.1	Regional experts	Male						
		Female						
		Total						
1.2	Zonal experts and FPs	Male						
		Female						
		Total						
1.3	Woreda experts and FPs	Male						
		Female						
		Total						
1.4	DAs	Male						
		Female						
		Total						
1.5	Community	Male						
		Female						

No.	Activity	Unit	Annual target	Target		Achievement		
				This quarter	Up to this quarter	This quarter	Up to this quarter	Achievement /planned (%)
		Total						
2.	Experience sharing							
2.1	Experience sharing for Regional level experts	Male						
		Female						
		Total						
2.2	Experience sharing for zone and woreda Focal persons and TC	Male						
		Female						
		Total						
2.3	Experience sharing for communities	Male						
		Female						
		Total						

Annex 10: Guidelines for sub-projects requiring special attention

I. Agricultural sub-projects involving use of agro-chemicals: Guidelines for Integrated Pest Management (IPM)

Government policy encourages use of biological or environmental controls and other measures to reduce reliance on agricultural chemicals. IPM refers to a mix of farmer-driven, ecologically based pest control practices that seek to reduce reliance on synthetic chemical pesticides. It involves (a) managing pests (keeping them below economically damaging levels) rather than seeking to eradicate them, (b) relying, to the extent possible, on nonchemical measures to keep pest populations low; and (c) selecting and applying pesticides, when they have to be used, in a way that minimizes adverse effects on beneficial organisms, humans, and the environment. The following strategy should be used to address the use of agricultural chemicals and to promote IPM in the SLMP II:

- Project funds will not be used for the purchase of pesticides or fertilizers.
- Information on acceptable and unacceptable pesticides will be provided to farmers and Woreda staff to encourage compliance with government policy and international standards.
- Training in irrigated agriculture, including pest and fertilizer applications, safe chemical handling and IPM will be provided to communities as required.
- A basic Guide for IPM in the RLLP will be prepared as a menu of practical methods for reducing the need for pesticides, covering the following techniques:
  - Pest-resistant crops varieties
  - Use of disease/weed-free planting stock
  - Farming practices that increase resistance to pests (proper soil preparation, spacing, planting, watering, etc.)
  - Farming practices that suppress pest populations (crop rotation, cover crops, intercropping, etc.)
  - Traditional manual control of pests (weeding, removing insect pods, etc.)
  - Biological controls (predators, pathogens, pheromones, etc.)
  - Targeted chemical use (pest scouting/selective treatments).
- Based on the Guide, an IPM Plan will be produced for each small-scale irrigation scheme or other agricultural sub-projects likely to utilize agrochemicals.

II. Sub-projects involving any form of involuntary resettlement

As much as possible, involuntary land acquisition and involuntary resettlement are avoided or minimized. All viable alternative options for designs have to be checked. When sub-projects trigger involuntary resettlement, a social assessment must be carried out and a

Resettlement Action Plan must be prepared. A brief action plan may be developed when less than 200 people are affected by the sub-project. The Resettlement Action Plan must include measures to ensure that the displaced persons are informed about their options and rights pertaining to resettlement. The displaced persons are 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.

Annex 11: Checklist of questions for consultative meeting and discussions with SLMP Staffs, Woreda focal persons and community members

I. Checklist for discussion with regional SLMP coordinators, environmental and social safeguard specialists and Woreda focal persons

General on SLMP II

Project identification and planning process

- How the sub-projects identified and what steps / processes were followed during the planning?
- Who identifies the sub-projects of the integrated watershed and landscape management activities at the community level?
- What kinds of support did communities receive in identifying sub-projects and screening the same for potential negative environmental and social impacts?
- What is the role of the DAs and/or the Woreda experts in the project identification?
- Were the sub-projects screened for environmental and social impacts at the community level? Who did the screening at the community and Woreda levels using what instruments?

Major impacts observed and mitigation measures taken?

- What were the major environmental and social impacts of the watershed management activities of the project?
- What major negative environmental and social impacts were observed as a result of the SLMP I and II activities in your region and how were they tackled?
- How were the impacts identified and what measures were taken to address them?
- Were there any ESIAs carried out for any of the sub-projects? Who conducted the ESIA?
- How were the mitigation actions monitored during implementation?
- Who monitored the implementation of the recommended actions?

Unaddressed impacts

- Were there unaddressed impacts of the project? What types and why were not they addressed?
- How can they be addressed in the ESMF III of RLLP?
- Were there any unexpected or unforeseen negative impacts after implementation of the project activities? If yes, what were they?
- Were there any serious environmental and social impacts that were not adequately addressed in the ESMF I? If yes, what were they?

ESMF application

- Do you think the ESMF has been effectively applied? If not, what were the reasons or gaps?
- Did the ESMF contribute to the identification, avoidance or management of any negative environmental and social impacts of the projects?
- What were the processes of impact identification, screening of projects and approval?
- Which types of project activities did require critical EAI analysis? Who did the EAI analysis and how were the mitigations measures implemented? Who monitored the implementation?
- What were the major bottlenecks, in your opinion, in implementing the ESFMF?
- Which step of the Environmental management process is critical and what kinds of problems did you experience at the different stages? (e.g., at community/Kebele, Woreda, regional)
- What were the major environmental and social impacts that were effectively addressed through the implementation of the ESMF?

Capacity gap in implementation

- Was there capacity gap in implementing the ESMF? If yes, what are they? (e.g., Lack of relevant experts, lack of experience and skill, absence of the necessary guidelines and less responsive bureaucracy, etc...)
- What is your suggestion for capacity building support? (e.g., training of Woreda level experts, DAs and regional level experts)
- When do you think is appropriate to provide capacity building trainings? (e.g., before the start of implementation, during implementation, etc....)
- What should be the focus of the training? (on environmental management issues, project preparation, environmental assessment processes, monitoring and evaluation)
- Which offices are pertinent for the capacity building training? (MoA, EPRLA, WWO, etc...)
- Which experts are pertinent for the capacity building training? (Crop, livestock, natural resources, gender, cooperative, extension, etc...)
- What kind of capacity building support was provided to the communities?

- What was the source of the budget for the ESMF implementation and how was it utilized? (e.g., training, assessment, screening, guideline preparation, TOR preparation, mitigation measures, conducting ESIA, Review, etc...)
- Were there any capacity (skill, knowledge or experience) gap in implementing the ESMF I?

Improvements in RLLP

What is your recommendation for the ESMF II and what should be improved?

II. Checklist for discussions with community members

- Who identifies watershed intervention projects in your Keble?
- Who assesses the environmental and social impacts of the sub-projects?
- What were the major environmental and social impacts of the SLM project activities in your Keble?
- How were they addressed and who addressed them?
- Were there any unaddressed impacts?
- How was your participation in the implementation of mitigation measures?

Self-Administered Questionnaire for consultative meeting with regional SLMP coordinators and environmental and social safeguard specialists

General on RLLP II

1. Who identifies the sub-projects of the integrated watershed and landscape management activities at the community level?

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2. What kinds of support did communities receive in identifying sub-projects and screening the same for potential negative environmental and social impacts?

Major impacts observed and mitigation measures taken

3. What were the major environmental and social impacts of the watershed management activities of the project?

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4. How were the impacts identified and what measures were taken to address them?

---

5. Were there any serious environmental and social impacts that were not adequately addressed in the ESMF I? If yes, what were they?

ESMF application

6. Do you think the ESMF has been effectively applied? If not, what were the reasons or gaps?

---

7. What were the major bottlenecks, in your opinion, in implementing the ESFMF?

Capacity gap in implementation

8. Were there any capacity (skill, knowledge or experience) gap in implementing the ESMF I?

---

9. Which institutes did play key role and what were the tasks of such offices in the environmental management process?

MoA main task in the ESMF process:

Woreda: ----------

Region: ----------

Environmental regulatory body (Environment, Forest and Climate Change Bureau) main task in the ESMF process:

Woreda ----------

Region: ----------

Water Office (Water Office) main tasks in the ESMF:

Woreda: ----------

Region: ----------

Improvements in ESMF II

10. What is your recommendation for the ESMF II and what should be improved in the ESMF II?

Annex 12: ToR for ESIA

An environmental and social impact assessment (ESIA) report should focus on and be limited to the significant environmental and social issues of the proposed project, whether it is/or includes new construction or rehabilitation. The report's scope and level of detail should be commensurate with the project's potential impacts.

The ESIA report should include the following items:

A. **Executive summary:** Concisely discusses significant findings and recommended actions.
B. **List of consultants/specialists**: List the names and qualifications of the members of the study team.
C. **Introduction**: scope and methodology of the study, reviewed environmental documents, etc.
D. **Policy, legal, and administrative framework:** Discusses the policy, legal, and administrative framework within which the ESIA is carried out. Identifies relevant international environmental agreements to which the country is a party.
E. **Project description:** Concisely describes the proposed project and its geographic, ecological, social, and temporal context, including any offsite investments that may be required, indicates the need for any resettlement plan. Normally includes a map showing the project site and the project's area of influence.
F. **Baseline data:** Assesses the dimensions of the study area and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences. Also takes into account current and proposed development activities within the project area but not directly connected to the project. Data should be relevant to decisions about project location, design, operation, or mitigation measures. The section indicates the accuracy, reliability, and sources of the data.
G. **Environmental and social impacts:** Predicts and assesses the project's likely positive and negative impacts, in quantitative terms to the extent possible; identifies mitigation measures and any residual negative impacts that cannot be mitigated; explores opportunities for environmental enhancement; identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions, and specifies topics that do not require further attention.
H. **Analysis of alternatives:** Systematically compares feasible alternatives to the proposed project site, technology, design, and operation—including the "without project" situation—in terms of their potential environmental impacts; the feasibility of

mitigating these impacts; their capital and recurrent costs; their suitability under local conditions; and their institutional, training, and monitoring requirements. For each of the alternatives, quantifies the environmental impacts to the extent possible, and attaches economic values where feasible. States the basis for selecting the particular project design proposed and justifies recommended emission levels and approaches to pollution prevention and abatement.

I. **Environmental and Social management plan (ESMP):** Covers impact types, mitigation measures, responsible body, monitoring, budget requirements and funding sources for implementation, as well as institutional strengthening and capacity buildings requirements.

H. **Appendixes**

- List of EIA report preparers – individuals and organizations
- References - written materials both published and unpublished, used in study preparation.
- Record of interagency and consultation meetings, including consultations for obtaining the informed views of the affected people and local nongovernmental organizations (NGOs). The record specifies any means other than consultations (e.g., surveys) that were used to obtain the views of affected groups and local NGOs.
- Tables presenting the relevant data referred to or summarized in the main text.
- List of associated reports (e.g., socio-economic baseline survey, PMP, RAP/ARAP).

Annex 13: Summary of Small Dam Safety Guideline (MoA)

1. Introduction

The overarching dam safety objective is to protect people, property and the environment from the harmful effects of mis-operation or failure of dams and reservoirs. To ensure that dams and reservoirs are operated and that activities are conducted so as to achieve the highest standards of safety that can reasonably be achieved, measures have to be taken to achieve the following three fundamental safety objectives:

- To control the release of damaging discharges downstream of the dam,
- To restrict the likelihood of events that might lead to a loss of control over the stored volume and the spillway and other discharges,
- To mitigate through onsite accident management and/or emergency planning the consequences of such events if they were to occur.

These fundamental safety objectives apply to dam and activities in all stages over the lifetime of a dam, including planning, design, manufacturing, construction, commissioning and operation, as well as decommissioning and closure.

2. Planning of small Dams

There are some fundamental principles which should be applied through the investigation, design, construction and commissioning stages to achieve an adequate level of safety. The principles are:

i. the competence and experience of the owner's agents relative to the nature and dam hazard category of the dam, must be appropriate in all areas;
ii. there must be a cooperative and trusting relationship between the owner and technical advisers, and the designers must be given full control over decision making in critical areas;
iii. the owner must agree to apply the appropriate level of funding for investigations, design and construction to reduce the chances of critically important issues (particularly related to foundations) being not sufficiently well assessed or under protected;
iv. the designer/technical adviser has a duty not to compromise unduly due to financial pressures from the owner, developer or contractor;
v. continuity of key technical advice should be maintained throughout all stages of the dam from development, through design, construction and commissioning, to reduce chances of critical points of design philosophy and intent being misinterpreted during construction or commissioning.

3. Dam site investigation

Selecting the Dam Site

When choosing the location and size, the dam owner should also take into account what would happen if the dam failed suddenly and whether it would result in loss of life, injury to persons or livestock, damage to houses, buildings, roads, highways or railroads. The owner of the dam should ensure to avoid locating the dam where run-off from houses, dairies or septic systems can pollute the water.

4. Considerations at Investigation Stage

(a) Technical Consideration

Site selection and site investigations are critical components to the success or failure of a dam. Regarding the technical consideration the following important aspects should be considered:

a. The catchment is the area of land from which run-off is to be collected. If it is the main source of water supply, make sure that it is capable of yielding enough water to maintain both, the supply in the dam and the required releases over all periods of intended use. The catchment area however should not be too large, as it will then require a big and expensive overflow system (or spillway) to safely pass excess run - off from heavy rainfall without overtopping the dam.

b. Topographical features such as slope, width and height of dam, as well as reservoir capacity will influence construction costs.

c. Conducting site tests to establish the material properties for the embankment and foundation.

d. A good location for a spillway that will effectively handle runoff and minimize erosion.

e. Watershed activities that can affect the water quality or quantity of runoff.

(b) Environmental Considerations

Dams with their associated reservoirs can have substantial environmental effects and any existing dam or new project must comply with the Ethiopian environmental a nd environmental legislations and associated licensing or permit requirements. It also complies with World Bank Safety of Dam Operational Policy (OP/BP. 4.37). It should be recognized at the outset that dam developments have effects extending beyond the immediate confines of the dam and inundated areas. For example;

- Reservoir slope stability may become a dam safety issue due to the risk of overtopping caused by large volumes of reservoir water being displaced by slope failures.
- Sitting of the dam/reservoir must take into consideration the local earthquake and faulting activity which may cause breaching of the dam
- Groundwater level changes may affect stability and land use around the reservoir margins and possibly adjacent to the downstream river, as a result of changed water levels.
- Trapping of sediments in the reservoir can result in upstream shoaling and loss of reservoir storage.
- Flora/fauna effects may occur in storage basin, downstream, and in passage around and through the dam.
- Minimum flow maintenance downstream of the dam to ensure the survival of flora and fauna, and to reduce causes of stream bed deterioration.
- Social development/changes to downstream use given the changed flood situation.

5. Dam Design

Embankment dams Design

The single most common cause of earthen dam failures is overtopping of the embankment. An undersized spillway will lead to overtopping; therefore spillway design is critical to reservoirs. The spillway must be located such that discharge will not erode or undermine the toe of the dam. If the banks of the spillway are made of erosive material, provision must be made for their protection. Consideration must be given to the hazard to human life and potential property damage that may result from the failure of the dam or excessive flow rates through the spillway. Further consideration must be given to the likelihood of downstream development that may result in an elevation of the hazard classification.

Extreme Events

Large earthquakes, storm/flood activity and failure of upstream dams can be considered extreme events. The risk of failure from these events is minimized by using engineering design standards and relevant guidelines incorporating adequate margins of safety. Emergency preparedness set up well in advance is the only available measure of reducing the impact when a dam failure is about to happen.

Sedimentation

The effective life of many of small dams is reduced by excessive siltation – some small dams silt up after only a few years. This issue is poorly covered in the many small dam design manuals that are available, as they mostly focus on the civil engineering design and

construction aspects. Appropriate methods/tools have to be chosen to predict, and where possible reduce, siltation rates in small dams.

6. Construction of a Dam

The quality of construction is all-important to dam safety. As far as construction is concerned, the following requirements are necessary from the dam safety viewpoint:

- the contractors must be suitably experienced and committed to achieving the standards of work specified;
- the level of supervision of the works, quality assurance procedures and designer continuity, must be appropriate to the scale and complexity of the dam;
- the owner must recognize that inherent uncertainties may remain after design investigations and only be revealed during construction, and have funding in place to deal with costs arising from additional requirements identified during construction;
- any area identified in the design process as requiring confirmation by the designer during construction, must be totally under the designer's control, and no design change, however small, shall be made without the designer's review and formal approval;
- a suitably detailed design report and drawings showing the as-built structure of all components of the dam and foundation shall be developed as an on-going and integral part of the construction supervision process, and be prepared after completion of each component so that there is a reliable record to refer to at all times in the future.

Therefore, the dam owner should ensure all the above mentioned requirements are fulfilled and complied.

Selecting the contractor

The use of inexperienced contractors and/or inadequate supervision can develop into an expensive liability. Nothing can take the place of a reputable contractor, using appropriate equipment and experienced machine operators and working under supervision of an experienced engineer.

Construction Supervision

Construction supervision is an important phase of dam construction. Supervision is meant to ensure that the design factors and specification requirements have actually been included in the final product.

If foundation preparation, material selection, outlet/spillway installation and embankment compaction are not properly carried out then the safety of the dam will be compromised. So, for all small dam types (both earthen and rock fill) expected to be constructed, all the dam safety requirements applicable should be considered accordingly.

7. Safety Surveillance

Purpose of Regular Inspection

The purpose of a dam safety surveillance program is to avoid failure of the dam, by giving early warning of any kind of symptom of trouble as early as possible. It is the most economical and effective means an owner has of maximizing the long-term safety and survival of the dam. Its primary purpose is to monitor the condition and performance of the dam and its surroundings.

Frequency of Inspections

The frequency of inspection required for an effective program of surveillance depends on a variety of factors including:

- Size or capacity of the dam;
- Condition of the dam; and
- Potential for damage resulting from failure of the dam (represented by the hazard category).

Adoption of the inspection frequency for a particular dam is the responsibility of the owner, though professional advice should be sought for large dams or those categorized under significant and high hazard dams.

According to the dam safety guidelines prepared for AGP, the suggested inspection frequencies for small dams of less than 15 m height for the two levels surveillance (quick visual inspection and comprehensive examination) is presented in the table below and should be followed critically.

Quick Visual Inspection	
Dam Hazard Potential classification	
High	twice weekly
Significant	weekly
Low	fortnightly
Comprehensive Examination	
Dam Hazard Potential classification	
High	monthly
Significant	3-monthly
Low	twice-yearly

Special Inspections

Special inspections will be required after unusual events such as earthquakes, major floods, rapid drawdown or volcanic activity. Special inspections should enable the dam owner to

become aware of faults before partial or total failure occurs. Times when inspections additional to those above are recommended are:

- before a predicted major rainstorm (check embankment, spillway and outlet pipe);
- during and after severe rainstorms (check embankment, spillway and outlet pipe);
- after any earthquake, whether directly felt on the owner's property or reported by local news media (check all aspects of the dam).

Inspections should be made during and after construction and also during and immediately after the first filling of the storage.

Dealing with Problems

A systematic program of safety surveillance should maximize the likelihood that any developing conditions likely to cause failure would be found before it is too late. Surveillance will also help early detection of problems before they become major repair bills. As identified earlier typical problems (many of which are treatable if found early enough) are most likely to fall into one of the following categories: seepage/leakage; erosion; cracking; deformation/movement; concrete structure defects; and spillway blockage.

Instrumentation and Monitoring

Instrumentation at a dam furnishes data to determine if the completed structure is functioning as intended, provides a continuing surveillance of the structure, and is an indicator of developments which may endanger its safety. Typical items instrumented or monitored include;

- Profiles and condition, deformations, seepages or damp areas (visual),
- Reservoir water levels which relate to dam loads and flood behavior,
- Local rainfall which relates to background seepages,
- Drainage and distinguishable seepages which relate to control of leakage water flow,
- Clarity of seepage flow which relates to potential erosion of embankment or foundation material.
- Water pressures within the dam and foundations which relate to structural behavior,
- Movement or deformation of the dam surface and internal structure which relates to structural behavior,
- Stresses within the dam which relate to structural behavior,
- Seismic acceleration which relates to structural behavior.

8. Operation and Maintenance of Dams

Effective and ongoing operation, maintenance and surveillance procedures are essential to ensure the continued viability and safety of a dam and its appurtenant structures. Poor operation, maintenance and surveillance will invariably result in abnormal deterioration, reduced life expectancy and possibility of failure. The proper operation, maintenance and

surveillance of a dam provide protection for the owner and the general public. Furthermore, the cost of good operation, maintenance and surveillance procedures is small compared with the cost and consequences of a dam failure which could include major repairs, loss of life, property damage and litigation.

Because many small dams fail through lack of maintenance, it is prudent to have a definite and systematic maintenance plan.

The maintenance plan should be decided upon when the construction work on the dam is completed. It will affect the life of the storage if you do not maintain it properly. A good plan should include the practices to be used, as well as the approximate time of the year when they are applicable.

Annex 14. Proposed capacity building and training schedules

Types of trainings/ capacity building supports	Target groups	Training topics/ aspects of safeguard	Potential Trainers	Duration and Time of training
ToT training (federal level)	Staff of PCU,	• EA, ESIA • Safeguard policies • Environmental policies • ESMF, SA including social management plan and RPF implementation process • Monitoring of mitigation measures, • Review and reporting procedures, • Environmental and social auditing,	• Consultants;	1 week, before the planning period and Midterm period
ToT training (Regional level)	Technical Staff of BoA, BoEFCC, RTC members	• Integrated watershed and landscape management planning, • EA, ESMP, ESIA, Safeguard policies • Environmental policies • ESMF, SA including social management plan and RPF implementation process • Review and Reporting procedures • Implementation of mitigation measures • Grievance redress mechanism • Environmental and social auditing	• Consultants • SLMPSU members	1 week, before the planning period and third year of the project lifecycle
ToT training (Woreda level)	• OoEFCC staff, • Woreda NRM experts • Water and energy office experts • WTC and SC members	• Overall program objectives and activities, • EA, ESMP, ESIA • Safeguard policies • Environmental policies • ESMF, SA and RPF implementation process • Review and Reporting procedures • Implementation of mitigation measures • Grievance redress mechanism • Environmental and social auditing	• RPCU Staffs, • BoA experts • RBoEFCC experts	1 week and before the planning period

Types of trainings/ capacity building supports	Target groups	Training topics/ aspects of safeguard	Potential Trainers	Duration and Time of training
Skill development (on environmental and social safeguard) training,	• DAs, • KWT and CWT members, • Kebele cabinet members, • communities,	• Participatory planning • Safeguard policies • Project identification and screening • Use of appropriate tools and formats for screening • ESMF, SA and RPF implementation • Implementation of mitigation measures • Grievance redress mechanism • EA concepts	• Woreda NRM experts; • WFPs; • WoEFCC	1 week before the planning period
Awareness creation training/ workshop	• NSC members • RSC members • Decision makers at region and Woredas	• Safeguard policies, • Environmental policies and guidelines • ESMF implementation,	• Consultants • NTC members	3 days before the planning period
Monitoring and evaluation training (regional level)	• Technical Staff of BoA, RBoEFCC, • RTC members	• Monitoring and evaluation skills • Monitoring and evaluation guidelines • Participatory M &E	• M & E expert (consultant)	Every period of year
Monitoring and evaluation training (woreda level)	• Woreda NRM experts • Water and energy office experts	• Monitoring and evaluation skills • Monitoring and evaluation guidelines • Participatory M &E	• Technical Staff of BoA, BoWE,	Throughout the year
Awareness creation training	• Local Community members	• Participatory planning, Environmental and social issues, and Monitoring of implementation	• DAs, • Woreda experts	3 days before the planning period
Exposure visits (abroad)	• Regional TC, NTC members, SLMPSU staff	• Selected successful ESMP implementation projects in relevant countries	-	Three times in the project lifecycle
Monitoring visits and supervision follow up by RLLP-PCU, NTC members	• NSC, NTC, Regional RLLP coordination offices, Woreda offices	• Backstopping support on various issues to regional and woreda level experts • Field visits.	-	At least twice in the project lifecycle

Annex 15. Grievance application form

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Annex 16: Environmental and Social Clauses for Contractors

General

The EA for projects involving any new construction, or any rehabilitation or reconstruction for existing projects, should provide information as to screening criteria for site selection and design. In addition to the general conditions given in the framework document a bove, the Contractor shall comply with any specific ESMP for the works he is responsible for. The Contractor shall inform himself about such an ESMP, and prepare his work strategy and plan to fully take into account relevant provisions of that ESMP. If the Contractor fails to implement the approved ESMP after written instruction by the Supervising expert to fulfill his obligation within the requested time, the Owner reserves the Right to arrange through the Supervising expert for execution of the missing action by a third party on account of the Contractor. Notwithstanding the Contractor's obligation under the above clause, the Contractor shall implement all measures necessary to avoid undesirable adverse environmental and social impacts wherever possible, restore work sites to acceptable standards, and abide by any environmental performance requirements specified in an ESMP.

In general, these measures shall include but not be limited to:

- Ensure that existing water flow regimes in rivers, streams and other natural or irrigation channels is maintained and/or re-established where they are disrupted due to works being carried out.
- Prevent and minimize the impacts of quarrying, earth borrowing, piling and building of temporary construction camps and access roads on the biophysical environment including protected areas and arable lands; local communities and their settlements. In as much as possible restore/rehabilitate all sites to acceptable standards.
- Minimize the effect of dust on the surrounding environment resulting from earth mixing sites, vibrating equipment, temporary access roads, etc., to ensure safety, health and the protection of workers and communities living in the vicinity dust producing activities.
- Ensure that noise levels emanating from machinery, vehicles and noisy construction activities (e.g. excavation, blasting) are kept at a minimum for the safety, health and protection of workers within the vicinity of high noise levels and nearby communities.
- Prevent bitumen, oils, lubricants and waste water used or produced during the execution of works from entering rivers, streams, irrigation channels and other natural water bodies/reservoirs, and also ensure that stagnant water in uncovered borrow pits is treated in the best way to avoid creating possible breeding grounds for mosquitoes.
- Upon discovery of ancient heritage, relics or anything that might or believed to be of archeological or historical importance during the execution of works, immediately report such findings to the Supervising expert so that the appropriate authorities may

be expeditiously contacted for fulfillment of the measures aimed at protecting such historical or archaeological resources.

- Discourage construction workers from engaging in the exploitation of natural resources such as hunting, fishing, and collection of forest products or any other activity that might have a negative impact on the social and economic welfare of the local communities.
- Implement soil erosion control measures in order to avoid surface run off and prevents siltation, etc.
- Ensure that garbage, sanitation and drinking water facilities are provided in construction workers camps.
- Ensure that, in as much as possible, local materials are used to avoid importation of foreign material and long distance transportation.
- The Contractor shall indicate the period within which he/she shall maintain status on site after completions of civil works to ensure that significant adverse impacts arising from such works have been appropriately addressed.

The Contractor shall adhere to the proposed activity implementation schedule and the monitoring plan / Strategy to ensure effective feedback of monitoring information to project management so that impact management can be implemented properly, and if necessary, adapt to changing and unforeseen conditions. Besides the regular inspection of the sites by the Supervising expert for adherence to the Contract conditions and specifications, the owner may appoint an Inspector to oversee the compliance with these environmental conditions and any proposed mitigation measures. State environmental authorities may carry out similar inspection duties. In all cases, as directed by the Supervising expert, the Contractor shall comply with directives from such inspectors to implement measures required to ensure the adequacy of rehabilitation measures carried out on the bio-physical environment and compensation for socio-economic disruption resulting from implementation of any works.

Rehabilitation and Soil Erosion Prevention

- To the extent practicable, the Contractor shall rehabilitate the site progressively so that the rate of rehabilitation is similar to the rate of construction.
- Always remove and retain topsoil for subsequent rehabilitation. Soils shall not be stripped when they are wet as this can lead to soil compaction and loss of structure.
- Topsoil shall not be stored in large heaps. Low mounds of no more than 1 to 2m high are recommended.
- Re-vegetate stockpiles to protect the soil from erosion, discourage weeds and maintain an active population of beneficial soil microbes.
- Locate stockpiles where they will not be disturbed by future construction activities.
- To the extent practicable, reinstate natural drainage patterns where they have been altered or impaired.

- Remove toxic materials and dispose of them in designated sites. Backfill excavated areas with soils or overburden that is free of foreign material that could pollute groundwater and soil.
- Ensure reshaped land is formed so as to be inherently stable, adequately drained and suitable for the desired long-term land use, and allow natural regeneration of vegetation.
- Minimize the long-term visual impact by creating landforms that are compatible with the adjacent landscape.
- Minimize erosion by wind and water both during and after the process of reinstatement.
- Compacted surfaces shall be deep ripped to relieve compaction unless subsurface conditions dictate otherwise.
- Re-vegetate with plant species that will control erosion, provide vegetative diversity and, through succession, contributes to a resilient ecosystem. The choice of plant species for rehabilitation shall be done in consultation with local research institutions, forest department and the local people.

Water Resources Management

- The Contractor shall at all costs avoid conflicting with water demands of local communities.
- Abstraction of both surface and underground water shall only be done with the consultation of the local community and after obtaining a permit from the relevant Water Authority.
- Abstraction of water from wetlands shall be avoided. Where necessary, authority has to be obtained from relevant authorities.
- Temporary damming of streams and rivers shall be done in such a way avoids disrupting water supplies to communities downstream, and maintains the ecological balance of the river system.
- No construction water containing spoils or site effluent, especially cement and oil, shall be allowed to flow into natural water drainage courses.
- Wash water from washing out of equipment shall not be discharged into watercourses or roads drain.
- Site spoils and temporary stockpiles shall be located away from the drainage system and surface runoff shall be directed away from stockpiles to prevent erosion.

Waste Management

All waste containers, litter and any other waste generated during the construction shall be collected and disposed of at designated disposal sites in line with applicable government waste management regulations. All drainage and effluent from storage areas, workshops and camp sites shall be captured and treated before being discharged into the drainage system in line with applicable government water pollution control regulations.

- Used oil, all garbage, metals and excess materials generated during construction and from maintenance shall be collected and disposed of appropriately at designated sites (> 300 m from rivers, streams, lakes, or wetlands) or be re-used or sold for re-use locally.
- Entry of runoff to the site shall be restricted by constructing diversion channels or holding structures: Such as banks, drains, dams, etc., to reduce the potential of soil erosion and water pollution.
- Construction waste shall not be left in stockpiles along the road, but removed and reused or disposed of on a daily basis.
- Minimize the production of waste that must be treated or eliminated.

If disposal sites for clean spoil are necessary, they shall be located in areas, approved by the Supervising Expert, of low land use value and where they will not result in material being easily washed into drainage channels. Whenever possible, spoil materials should be placed in low-lying areas and should be compacted and planted with species indigenous to the locality.

Material Excavation and Deposit

The Contractor shall obtain appropriate licenses/permits from relevant authorities to operate quarries or borrow areas. The location of quarries and borrow areas shall be subject to approval by relevant local and national authorities, including traditional authorities if the land on which the quarry or borrow areas fall in communal land.

New extraction sites:

- Shall not be located in the vicinity of settlement areas, cultural sites, wetlands or any other valued ecosystem component, or on high or steep ground or in areas of high scenic value, and shall not be located less than 1km from such areas.
- Shall not be located adjacent to stream channels wherever possible to avoid siltation of river channels. Where they are located near water sources, borrow pits and perimeter drains shall surround quarry sites
- Shall not be located in archaeological areas. Excavations in the vicinity of such areas shall proceed with great care and shall be done in the presence of government authorities having a mandate for their protection.
- Shall not be located in forest reserves. However, where there are no other alternatives, permission shall be obtained from the appropriate authorities and an environmental impact study shall be conducted.
- Shall be easily rehabilitated. Areas with minimal vegetation cover such as flat and bare ground, or areas covered with grass only or covered with shrubs less than 1.5 m in height, are preferred.
- Shall have clearly demarcated and marked boundaries to minimize vegetation clearing.

- Vegetation clearing shall be restricted to the area required for safe operation of construction work. Vegetation clearing shall not be done more than two months in advance of operations.
- Stockpile areas shall be located in areas where trees can act as buffers to prevent dust pollution.
- Perimeter drains shall be built around stockpile areas. Sediment and other pollutant traps shall be located at drainage exits from workings.
- The Contractor shall deposit any excess material in accordance with the principles of these general conditions, and any applicable ESMP, in areas approved by local authorities and/or the Supervising expert.
- Areas for depositing hazardous materials such as contaminated liquid and solid materials shall be approved by the Supervising expert and appropriate local and/or national authorities before the commencement of work. Use of existing, approved sites shall be preferred over the establishment of new sites.

Chance finds procedure for culturally significant artefacts

The Contractor is responsible for familiarizing themselves with the following "Chance Finds Procedures", in case culturally valuable materials are uncovered during excavation, including:

- Stop work immediately following the discovery of any materials with possible archaeological, historical, paleontological, or other cultural value, announce findings to project manager and notify relevant authorities;
- Protect artefacts as well as possible using plastic covers, and implement measures to stabilize the area, if necessary, to properly protect artefacts;
- Prevent and penalize any unauthorized access to the artefact;
- Restart construction works only upon the authorization of the relevant authorities.

Requirements for chance finds are also outlined in the Act. Article 41 which states that: " *Any person who discovers any cultural heritage in the course of excavation connected with mining, explorations, building works, road construction or other similar activities shall report to the Authority and protect and keep same intact until the Authority takes delivery thereof*". The Authority shall take all appropriate measures to examine, take delivery and register the Cultural heritage so discovered. Where the Authority fails to take appropriate measures within 6 months, the person that discovered the cultural heritage may be released from the responsibility by submitting a written notification with a full description of the situation to the Regional Government official.

Cost of Compliance

It is expected that compliance with these conditions is already part of standard good workmanship and state of art as generally required under this Contract. The item "Compliance with Environmental Management Conditions" in the Bill of Quantities covers

these costs. In addition to that, the bidding documents should indicate how compliance with environmental rules and design specifications would be supervised, along with the penalties for non-compliance by contractors or workers. No other payments will be made to the Contractor for compliance with any request to avoid and/or mitigate an avoidable Environmental and social impact.

Annex 17. Views and concerns rose during consultations with stakeholders in the existing and newly added targeted RLLP woredas

Question: What are the possible risks and adverse impacts of the project?
Answer: Possible risks and adverse impacts of the project include: disparity in participating and benefiting from the project activities (only some of participants benefited more in the project); downstream effect due to untreated nature of the upper catchment (flooding effect); occurrence of un expected Natural disaster (drought, flooding); land acquisition, deforestation, social conflict and other adverse impacts are expected to be happened during the implementation of the project.
Questions: What risk mitigation/minimization measures have been devised to deal with such anticipated adverse impacts?
Answer: Strengthened fair and transparent participation of the local community to be involved and benefited from the project; Carry out watershed management practices based on watershed logic/first start in the upper catchment, strengthen public consultation, and use of existed traditional dispute mechanism to resolve social conflict.
Question: What type of monitoring and evaluation (M&E) system is in place? From environmental and social safeguard perspective, what are the strengths and constraints of the M&E system?
Answer: While the strengthens of M &E systems include regularly reporting starting from kebele to federal, feedback on the given report to woreda and kebele experts, and Performance ranking for each woreda by quality control team (SMS team) the constraint on the other hand includes constraints of the M & E system, there is no systematic way to check public satisfaction and social acceptance on given technologies and practices, the community is not involved in the M and E system.
Comment: As the communities were hearing the benefit from the neighboring woredas, the newly added woredas did not raise many risks regarding the project interventions. But challenges such as low capacity in local government, adopting zero grazing, ownership to the project activities were raised and mitigation in the form of capacity building, continuous community consultation and others will be strengthened.

Question: What new changes are expected from the ESMF-III?

Answer: Since the new project, i.e. RLLP included livelihood interventions, energy options, and others the ESMF-III will identify and need to address if there are any environmental and social impacts associated with the subprojects.

Questions: There are new members of TC and SC at woreda level. Is there anything planned?

Answer: One of the focus area of the ESMF is capacity building in the form of trainings and awareness creation to platforms esp. woreda and below woreda level platforms and community members. So, there were good experience during SLMP-II and will be strengthened.

Comment: The previous SLMP-II ESMF has covered issues on the procedures employed in screening and approval of subprojects, the types of impacts and their possible mitigation measures, stakeholders involved in the clearance and implementation of the mitigation measures and others. Since the documents are at the hands of the WFP, need to be duplicated and be available in all WTC members' offices. The SLMP established an information centers in all the woredas, not only the three safeguard instruments but also other published documents need to be put in these centers.

Comment: The communities are very happy that their Woreda is targeted in the RLLP. Their land was degrading from year to year, fertility status lost etc. Even if they were practicing some soil conservation activities, it was in a very fragmented, uncoordinated way and did not integrate one activity with the other. For example, biological measures are not implemented for various constraints (seedlings, seeds, nursery, finance, etc...) and were not used to strengthen the physical works. Therefore, they hope that the project will solve these problems and once again their landscape will be rehabilitated. They need a support on supply of inputs in the form of farm implements, seedlings, and other livelihood options as well in their kebele.

Question: How is monitoring of the mitigation measures done and who will monitor them?

Answer: Monitoring of the mitigation measures is implemented according to the ESMP. In the ESMP it is indicated that which institution is responsible, when to undertake the monitoring, the cost required. Therefore, monitoring is done in group bases where WTC are members, and it is done most of the time after the infrastructures are done. In fact impacts may occur at all the three stages of the project lifecycle, monitoring will also coincides with this.

Comment: The reporting format is separate from that of the M&E reporting format and this caused burden and delay of safeguard reports from woreda to region.

Yes. Not only the reporting but also the planning format was tried to include in the regular M&E system. There are some activities usually come with the other reports. These are not declarative and need to be narrated by a separate and standalone report. The PCU team will discuss and come with the final template that will flow direct from the kebele, woreda, zone (if), to region and then to NPCU.

Comment: we have heard, seen and learned about the SLMP a lot. Our kebele is highly degraded and this is a great opportunity for us to change. In the past, some conservation structures were done but most are destroyed simply because biological measures were not integrated. We have a problem of forage. If we are to close the area (i.e. practice area closure in our kebele) we will face a problem to feed our cattle. Therefore, we need more support on forage production. This is what we need to reverse and solve degradation in our Kebele and Woreda. Thank you for selecting our woreda for the project.

Comment: Since the SLM activities are environmental friendly and planning and implementation of subprojects is demand driven and fully participatory there were no major environmental and social impacts in the implementation areas.

Question: What makes RLLP different from SLMP?

Answer: RLLP is the third phase of SLMP and it will be implemented on the bases of SLMP-I and SMP-II. Like SLMP-II, RLLP has four components focusing on creating resilience to landscapes through various interventions: capacity building, treating watersheds, tenure security, and efficient application of the M&E system. RLLP will also give due attention on livelihood options, energy options, climate smart agriculture options, etc.

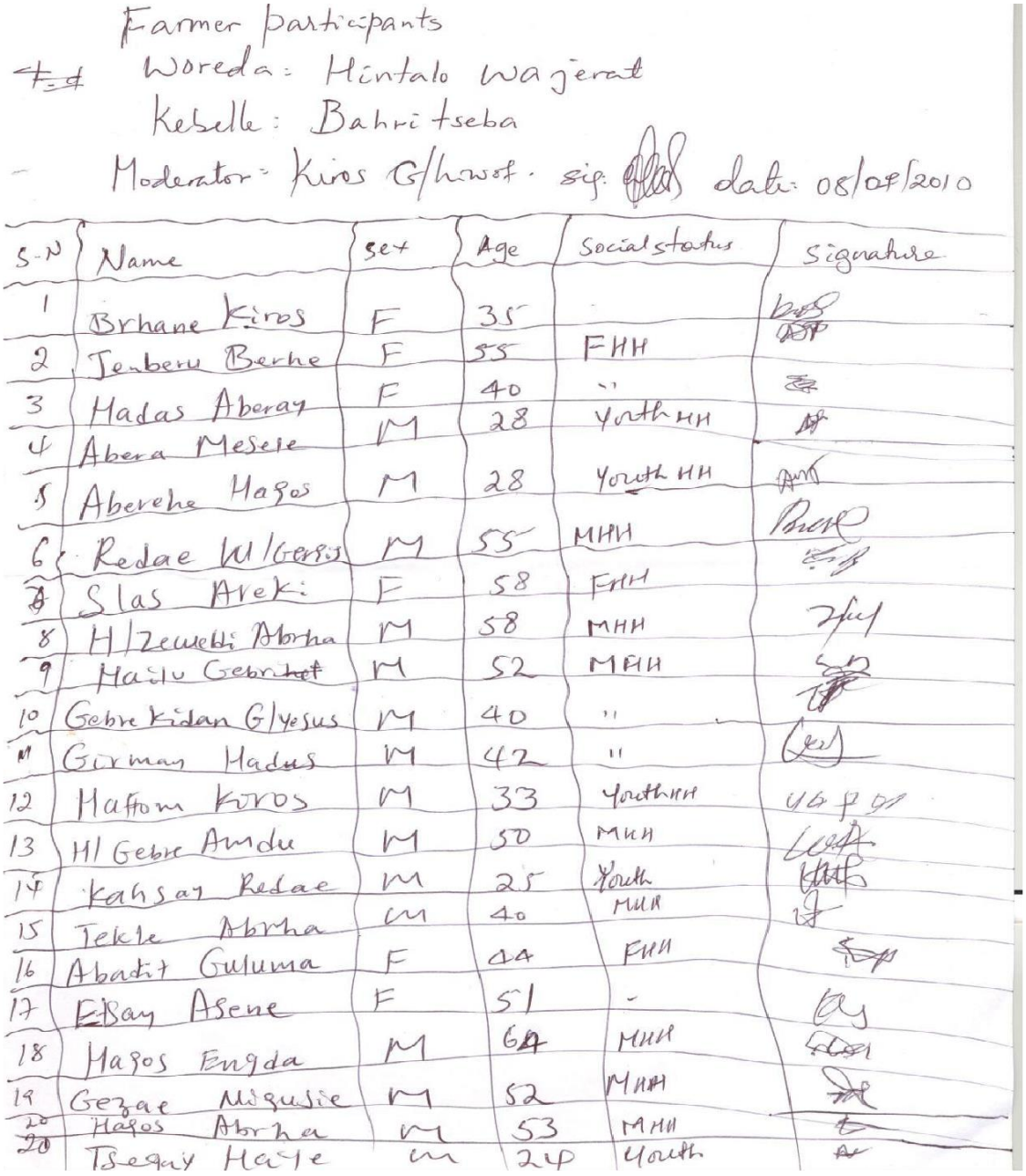
Annex 18. List of participants met during consultations at existing SLMP woredas

No	Name	Region	Woreda	Title	Remark
1	Abiyot H/Mariam	Tigray	G/Mekeda	NRM DA	11/01/2010
2	Haili H/Michael	"	"	CWT	"
3	T/Berhan G/Medhin	"	"	CWT	"
4	Senait Abreha	"	"	Livestock DA	"
5	Letai Kidane	"	"	Crop- DA	"
6	H/Selassie Hagos	"	"	Forman	"
7	G/Kidan Dori	"	"	KWT	"
8	T/Michael Abeha	"	"	"	"
9	LetGebriel Berah	"	"	"	"
10	Priest Hadish G/Yesus	"	"	"	"
11	Amanuel T/Haimanot"	"	"	"	"
12	Tigisti Hagos	"	"	"	"
13	P/TesfaMichael Abay	"	"	"	"
14	Mebrhat Berihu	"	"	"	"
15	LeteBerhan Amare	"	"	"	"
16	Teklay Kahsay	"	"	"	"
17	Tigisti Alem	"	"	"	"
18	Mulu Berhan Kiros	"	"	Super Intendent	12/01/2010
19	T/Alem Tsegay	"	"	Agronomist	"
20	Solomon G/Kiristos	"	"	Environmentalist	"
21	Gezai Asgele	"	"	NRM	"
22	Mu'uz Tesfaye	"	"	SWC Expert/WFP	"
23	Mesfin G/Medhin	"	"	Forage Expert	"
24	Lemlem Tsige	"	"	Finance	"
25	Kidane Abreha	"	"	Forestry Expert	"
26	H/Woyni T/Berhan	"	"	Rural Land Admi.	"
27	Abreha Hadush	"	"	Woreda Admini.	"
28	Woldai G/Tsadik	"	"	Woreda-EPA	"
29	Dest Alem G/Hiwot	"	"	Transport Head	"
30	Tsegay G/Tekle	"	Enderta	D/Administrator	17/01/2010
31	Mesele Mulugeta	"	"	Land Administration	"
32	Tewodros Mekonnen	"	"	Youth and Sport	"
33	Ataklti Fikre	"	"	Water & Energy	"
34	Berihu Hagos	"	"	WoANR	"
35	Be'edile T/Michael	"	"	Woreda Women	"
36	Kahsu G/Meskel	"	"	D/Finance	"
37	G/Selassie Tesfay	"	"	WFP	"
38	Assefa Adhana	"	"	Woreda Coops.	"
39	W/Selassie Kasay	Tigray	Enderta	Forestry expert	15/01/2010
40	Berhanu Tadesse	"	"	Environmentalist	"
41	Hadush T/Haimanot	"	"	Woreda Socio eco.	"
42	Mulugeta W/Gebriel	"	"	Woreda SWC	"

No	Name	Region	Woreda	Title	Remark
43	G/Medhin Assefa	"	"	Land Use Admin.	"
44	Hailay Haftu	"	"	Watershed Deve.	"
45	Alemash Wasu	"	"	Woreda NRM	"
46	Abreha Mebrhatu	"	"	Road	"
47	H/Mariam Teklu	"	"	Livestock expert	"
48	Moges Tesfaye	"	"	Agronomist	"
49	Ataklti Haban	"	"	Plan & Program	"
50	P/Abreha Hagos	"	"	KWT	14/01/2010
51	Halefom Woldu	"	"	CWT	"
52	Kasu Hagos	"	"	CWT	"
53	Abadit Mehari	"	"	CWT	"
54	Berhanu Reda	"	"	CWT	"
55	Meresa Tesfaye	"	"	KWT	"
56	H/Tekle Haimanot	"	"	CWT	"
57	Tadesse Melesse	"	"	CWT	"
58	G/Her W/Tensai	"	"	KWT	"
59	G/Meskle G/Hawaria	"	"	DA	"
60	P/Ameha Kiros	"	"	CWT	15/01/2010
61	Taeme W/Berhan	"	"	Secretary	"
62	Tsega G/Medhin	"	"	Member of CWT	"
63	Hagos Abadi	"	"	"	"
64	P/Tadesse Berhe	"	"	"	"
65	P/Tehlu Alemu	"	"	"	"
66	Gidey Hailu	"	"	"	"
67	Kiros Abreha	"	"	KWT	"
68	H/Mariam G/Medhin	"	"	Secretary	"
69	Mitiku Tekeste	"	"	KWT	"
70	Mulu Negash	"	"	KWT	"
71	Assefa Woldu	"	"	KWT	"
72	Afere Hiwu	"	"	KWT	"
73	Gebre Baraki	"	"	KWT	"
74	Abreha Tekeste	"	"	KWT	"
75	Alem Mehari	"	"	Forman	"
76	Zinaw Seifu	"	"	DA	"
77	Seid Ali	"	"	DA	"
78	Teklay G/Medhin		"	CWT	11/01/2010
79	Hiluf Yimesil	"	"	Forman	"
80	Tirhas Misgina	"	"	CWT- Secretary	"
81	Hagush Tesfay	"	"	CWT-Gender	"
82	Fiyeri Aregay	"	"	"	"
83	Teshome Berihu	"	"	"	"
84	G/Gergis G/Yohannes	"	"	From Religion	"
85	G/Egzihar Hagos	"	"	Youth delegate	"

No	Name	Region	Woreda	Title	Remark
86	Kiflom Yimesil	"	"	"	"
87	Yibru G/Mariam	"	"	"	"
88	Zeyid G/Egzihar	"	"	Gender Delegate	"
89	Kesete Tesfay	"	"	Youth delegate	"
90	Berihu Tefera	"	"	PCU-M&E	"
91	G/Cherkos Teka	"	"	PCU-Infrastructure	"
92	Berihu Tadele	"	T/Abergele	NRM head	19/01/2010
93	Regawi g/Kiristos	"	"	Water Resource	"
94	Migibnesh Fiseha	"	"	Woreda Gender	"
95	Yemane G/Hawariya	"	"	Youth and Sport	"
96	Yeshi Kiros	"	"	D/Head	"
97	Gebre T/Haimanot	"	"	Land Administration	"
98	Zemzem Berhe	"	"	D/Administrator	"
99	Addisu G/Kiristos	"	"	SLMP-WFP	"
100	Masho Kidu			Woreda Environm.	
101	Harege Woin Chane	Amhara	T/Gayint	DA	
102	Gashaw Amsalu	Amhara	"	W/Administrator	
103	Gashaw Mamas	"	"	WoA-head	
104	Yohannes Fisseha	"	"	Livestock Office	
105	Tesfaw Getahun	"	"	Expert	
106	Tsegaye Belay	"	"	Expert	
107	Tewelde Redai	Tigray	T/Abegele	Woreda Socio-eco	
108	Berhane Hagos	"	"	Woreda Land Use	
109	Mebrhatu Kahsay	"	"	Woreda Irrigation	
110	Hadera Hayle	"	"	Irrigation Expert	
111	Hagos Hailu	"	"	Forester	
112	Tilahun Kahsay	"	"	Water Resource	
113	G/Mariam Hailay	"	"	Input Supply	
114	H/Yohannes H/Giyorgis	"	"	Woreda Livestock	
115	Melese Seyum	"	"	Woreda SWC	
116	Ewnete Atalel	Amhara	T/Gayint	KWT member	
117	Sinidu Tsegaw	"	"	"	
118	Tilahun Berihun	"	"	CWT member	
119	Mulat Mekonnen	"	"	"	
120	Solomon Anteneh	"	Debay	Expert	
121	Eneyew Lake	"	"	Expert	
122	Dagnachew Tarekegn	"	"	Expert	
123	Gedefew Mersha	"	Bibugn	KWT Chairman	
124	Sewnet Tegene	"	"	KWT member	
125	Agide Getahun	"	"	KWT member	

Annex 19. Community consultations mad in the newly RLLP targeted woredas



Farmer participants

Woreda: Hintalo Wajerat

Kebelle: Bahri tseba

Moderator: Kiros G/hiwot. sig: date: 08/04/2010

S.N	Name	sex	Age	Social status	signature
1	Brhane Kiros	F	35		
2	Jenberu Berhe	F	55	FHH	
3	Hadas Aberay	F	40	"	
4	Abera Mesele	M	28	Youth HH	
5	Abereha Hagos	M	28	Youth HH	
6	Redae W/Gerss	M	55	MHH	
7	Slas Areki	F	58	FHH	
8	H/Zewedi Abrha	M	58	MHH	
9	Hailu Gebrhet	M	52	MHH	
10	Gebrekidan G/Yesus	M	40	"	
11	Gorman Hadus	M	42	"	
12	Haftom Kiros	M	33	Youth HH	
13	H/Gebre Amdu	M	50	MHH	
14	Kahsay Redae	M	25	Youth MHH	
15	Tekle Abrha	M	40		
16	Abadit Guluma	F	44	FHH	
17	Ebay Asene	F	51	-	
18	Hagos Engda	M	64	MHH	
19	Gezae Miqusie	M	52	MHH	
20	Hagos Abrha	M	53	MHH	
20	Tsegay Haile	M	24	Youth	

№	Name	Sex	Age	Social Status	Signature
22	Mek bebu Kiros	F	22		
23.	Senit Gebreom	F	30	FHH	Senait
24	H/Abrha Berhe	M	62	MHH	

Kebelle Administration Participants
Woreda: Hintalo Wajerat
Kebelle: Bahri Tseba
Moderator: Kiros G/hiwot, Sig: date: 08/07/2010

S.N	Name	sex	Age	position	Signature
1	Birhanu Nigus	M	30	Manager	
2	Mehari Hidru	M	44	Farmer Coop.	
3	Keshi Megos Hagos	M	29	Youth affairs	
4	Abeba W/gergis	F	46	Women assocn affa	
5	Lemlem Tesfu.	F	48	"	
6	Nigisti Asgedom	F	41	Women affairs	
7	Habtu Mekonen Gebredan	M	40	Youth Assocn	
8	Kesh Abrha G/hiwot	M	35	Kebelle Administrator	

Experts and DAs participants

Woreda: Hintalo Wajerat

Kebelle: Bahri tseba

Moderator: Kiros G/hawot Sig: Date: 09/07/2010

S-N	Name	sex	age	Position	Signature
1	Bintamlemlem	M	25	DA - NR	
2	Yalem Kahsu	F	22	DA - H/K	
3	Bokru Meresa	M	32	Woreda Swc expert	
4	Daniel Girmal	M	33	Woreda Socioeconomic	
5	Tesfay Berhe	M	33	W- Cash for work expert	
6					
7					

Figures: Discussion with community members

Farmer participants

Woreda: Saesie Tsaeda emba

Kebelle: Gula Abenia

Moderator: Kiros G/hawot Sig: [signature] Date 15/07/2010

S.N	Name	Sex	Age	Social status	Signature
1.	Berhane G/mestel	M	35	Youth	[signature]
2.	Berhane Debalkan	M	38	"	[signature]
3.	Tesfay G/yohans	M	40		[signature]
4.	Hailay Abreha	M	37		[signature]
5.	Nigsti Hash	F	35		[signature]
6.	Alemnesh Tekea	F	70		[fingerprint]
7.	Amete G/[illegible]	F	50		[fingerprint]
8.	Mulu Teklu	F	45		[fingerprint]
9.	Tadelech Barak	F	30		[signature]
10	H/meriam Araie	M	62		[signature]
11	Keshi Atsbha Araya	M	37		[signature]
12.	Keshi G/hawot Desta	M	63		[signature]
13.	Shwaynesh G/selasie	F	40		[signature]

Kebelle Adminstration Participants
Woreda: Saesie Tsaeda Emba
Kebelle: Gula Abenia
Moderator: Kiros G/hiwot Sig: Date: 15/07/2010

S.N	Name	Sex	Age	Position	Signature
1.	Gebrezie Abrha ( )	M	48	Vice kebelle chairman	
2.	G/medhin K/mariam	M	39	Youth affairs kebelle	
3	Kiflom Yirgaw	M	47	Kebelle chairperson	
4.	G/michael Temteme	M	40	Youth affairs	
5	Gidey Berhe	M	47	Chairman	
6.	Elsa G/medhin	F	22	women assocn	
7	Tsegabrhan W/gebriel	F	30	kebelle women affairs	

Community consultation for RLLP

Focus group Discussion (FGD) participants' attendance.

Region- Amhara Woreda....Mecha (south mecha)

Date of consultation ...7/6/2010 E.C

Place of consultation ....Abro menor kebele

Time ..1:00 – 7:00

s/n	Name		sex	Age	Woreda/kebele	Responsibility	Signature
1	[illegible]	[illegible]	[illegible]	32	Almenor	[illegible]	[illegible]
2.	[illegible]	[illegible]	[illegible]	35	››	››	[illegible]
3.	[illegible]	[illegible]	[illegible]	36	››	››	[illegible]
4.	[illegible]	[illegible]	[illegible]	28	››	››	[illegible]
5.	[illegible]	[illegible]	[illegible]	35	››	››	[illegible]
6.	[illegible]	[illegible]	[illegible]	35	››	››	[illegible]
7.	[illegible]	[illegible]	[illegible]	40	››	››	[illegible]
8.	[illegible]	[illegible]	[illegible]	47	››	[illegible]	[illegible]
9.	[illegible]	[illegible]	[illegible]	48	››	››	[illegible]
10.	[illegible]	[illegible]	[illegible]	50	››	››	[illegible]
11.	[illegible]	[illegible]	[illegible]	21	››	[illegible]	[illegible]
12.	[illegible]	[illegible]	[illegible]	30	››	››	[illegible]
13.	[illegible]	[illegible]	[illegible]	34	››	››	[illegible]
14.	[illegible]	[illegible]	[illegible]	33	››	[illegible]	[illegible]
15.	[illegible]	[illegible]	[illegible]	36	››	››	[illegible]
16.	[illegible]	[illegible]	[illegible]	32	››	››	[illegible]
17.	[illegible]	[illegible]	[illegible]	36	››	[illegible]	[illegible]
18.	[illegible]	[illegible]	[illegible]	43	››	[illegible]	[illegible]

Moderator: Name ...Ayana yeliwale.....signature.[illegible]......date ...7/6/2010 E.C

Community consultation for RLLP

Focus group Discussion (FGD) participants' attendance.

Region- Amhara Woreda...South mecha.......

Date of consultation ..7/6/2010 E.C....

Place of consultation ....Abro menor kebele.....

Time ..5:00 – 7:00.....

s/n	Name	sex	Age	Woreda/kebele	Responsibility	Signature
19.	[illegible]	ወ	28	Almenor	[illegible]	[illegible]
20.	[illegible]	ወ	35	>>	>>	[illegible]
21.	[illegible]	ወ	37	>>	>>	[illegible]
22.	[illegible]	ወ	40	>>	>>	[illegible]
23.	[illegible]	ወ	52	>>	>>	[illegible]
24.	[illegible]	ወ	45	>>	>>	[illegible]
25.	[illegible]	ወ	58	>>	[illegible]	[illegible]
26.	[illegible]	ወ	45	>>	[illegible]	[illegible]
27.	[illegible]	ወ	48	>>	[illegible]	[illegible]
28.	[illegible]	ወ	25	>>	[illegible]	[illegible]
29.	[illegible]	ወ	25	>>	[illegible]	[illegible]
30.	[illegible]	ወ	24	>>	[illegible]	[illegible]
31.	[illegible]	ወ	41	>>	[illegible]	[illegible]
32.	[illegible]	ወ	45	>>	[illegible]	[illegible]
33.	[illegible]	ወ	50	>>	[illegible]	[illegible]
34.	[illegible]	ወ	35	>>	>>	[illegible]
35.	[illegible]	ወ	52	>>	>>	[illegible]
36.	[illegible]	ወ	48	>>	[illegible]	[illegible]

Moderator: Name ..Ayana Yeshwale...signature..........date ..7/6/2010 E.C

Community consultation for RLLP

Focus group Discussion (FGD) participants' attendance.

Region- Amhara Woreda....South wello

Date of consultation ...7/06/2010...

Place of consultation ...Abiro menal Kebele...

Time ...

s/n	Name	sex	Age	Woreda/kebele	Responsibility	Signature
1	[illegible]	[illegible]	35	[illegible]	[illegible]	[illegible]
2	[illegible]	[illegible]	42	"	[illegible]	[illegible]
3	[illegible]	[illegible]	46	"	"	[illegible]
4	[illegible]	[illegible]	25	"	[illegible]	[illegible]
5	[illegible]	[illegible]	27	"	[illegible]	[illegible]
6	[illegible]	[illegible]	32	"	[illegible]	[illegible]
7	[illegible]	[illegible]	45	"	[illegible]	[illegible]
8	[illegible]	[illegible]	39	"	[illegible]	[illegible]
	[illegible]	[illegible]	45	"	[illegible]	[illegible]

Moderator: Name ....Ayana yeleda....signature............date ...7/6/2010 E.C

Community consultation for RLLP

Focus group Discussion (FGD) participants' attendance.

Region- Amhara Woreda....Dangila............

Date of consultation ...9/6/2010 E.C.......................

Place of consultation ..Dangila office of Agriculture

Time ....3:30 – 7:30.............................

s/n	Name	sex	Age	Woreda/kebele	Responsibility	Signature
1	Esubalew Fetene	M	24	Dangila	land registration	[signature]
2	Abebaw Tore	M	28	Dangila	environmental	[signature]
3	Habtamu Yihunie	M	28	Dangila	Agronomist	[signature]
4	Sewalem Alehegn	M	28	Dangila	Economics	[signature]
5	Ayalsew Mekuriaw	M	43	Dangila	Ext. unit leader	[signature]
6	Addisu mulu	m	48	Dangila	Irri Agronom	[signature]
7	Simeneh Negush	M	33	Dangila	unit leader	[signature]
8	Matebie Eshezia	M	40	Dangila	N.R.M. Coordin	[signature]

Moderator: Name ...Ayana Yelemale.....signature...[signature]......date ...9/6/2010 E.C

Figures: FGD with woreda experts at Dangila Woreda

Community consultation for RLLP

Focus group Discussion (FGD) participants' attendance.

Region- Amhara Woreda...Dangila..........

Date of consultation ...12/6/2010.......................................

Place of consultation ...Dube kebele...........................

Time ...7:00 — 10:00...

s/n	Name	sex	Age	Woreda/kebele	Responsibility	Signature
1	Getnet Akie	M	28	Dube	manager	[signature]
2	Melaku Ayeraw	M	27	"	NRM	[signature]
3	Kossahun workineh	M	28	"	DA-gotion	[signature]
4	Sileshi Gezahegne	M	48	"	kebele Lekemenber	[signature]
5	Temsgen Atsbiha	M	28	"	Land Administration officer	[signature]
6	Abebe Genaw	M	40	"	animal lead	[signature]
7	DCMG LASH kebele	M	30	"	plant secing	[signature]

Moderator: Name ...Amare yehuala...signature...[signature]...date ...12/6/2010 E.C

Community consultation for RLLP

Focus group Discussion (FGD) participants' attendance.

Region- Amhara Woreda...West Gojam zone (Finote Selam)

Date of consultation 14/6/2010 E.C

Place of consultation Department of Agriculture (F/Selam

Time 4:00 – 6:30

s/n	Name	sex	Age	Woreda/kebele	Responsibility	Signature
1	Desie Sitotaw	F	35	Zone	Agroforestry	[signature]
2	Adella Adamu	M	41	Zone	Biologycal s&w conservation	[signature]
3	Minuyelet Gobeyehu	m	37	Zone	NRM head	[signature]
4	Yismaw Nurelegn	M	31	West Gojam Zone	Soil & water cons	[signature]
5	Mothainor Addis	M	30	West Gojam Zone	Gender expert	[signature]
6	Aimut Melaku	M	32	W/G/Zone	ESIA expert	[signature]
7	Yikeber Siraw	M	32	W/G/Zone	Agronomist	[signature]
8	Haile Admasie	M	32	W/G/Zone	Agronomist	[signature]
9	Sewalem Alemaw	M	30	W/G/Zone	Soil & water conservation expert	[signature]

Moderator: Name Ayana Yehuala signature [signature] date 14/6/2010 E C

Community consultation for RLLP

Focus group Discussion (FGD) participants' attendance.

Region- Amhara Woreda...Dangila...........

Date of consultation ....12/6/2010 E.C....................

Place of consultation ....Dube kebele.......................

Time ....4:00 – 7:00.............................

s/n	Name	sex	Age	Woreda/kebele	Responsibility	Signature
1	Dessalegn Tilahun	m	48	Dube kebele	leadership	[signature]
2	Achenefe Aychew	m	36	Dube kebele	water shed committie	[signature]
3	mergeta melaku menrit	m	44	Dube kebele	yenaremanat abat	[signature]
4	Abunie Getahum	F	40	Dube kebele	female	[signature]
5	Mepistie wolie	F	30	Dube "	~~female~~ poor	[signature]
6	Tadefetech Chanie	F	35	Dube "	female	[signature]
7	mamaye metik	F	25	Dube "	Akale gudategna	[signature]
8	Desse Asferes	m	35	" "	Poor & poor	[signature]
9	Teseffa Dagnaw	m	45	" "	~~Akale~~ watat ~~gudategna~~	[signature]
10	Girma mekuriaw	m	57	" "	water shed committie	[signature]
11	Akenaw Gashie	M	52	" "	yenager shemagile	[signature]
12	Yemanes Ararare	M	42	" "	W.S. Committe	[signature]
13	Abeie Dereso	M	68	" "	yenager shemagile	[signature]
14	TAGELE GENET	M	38	" "	watat	[signature]
15	kese Agegnehu mengesha	M	27	" "	yenaremanat Abat	[signature]

Moderator: Name Ayana yehuala ....signature [signature]....date ...12/6/2010 E.C

Community consultation for RLLP

Focus group Discussion (FGD) participants' attendance.

Region- Amhara Woreda...Awi zone.........

Date of consultation ..13/6/2010 E.C

Place of consultation ..Injibara Department of Agriculture

Time ....8:00 — 11:00

s/n	Name	sex	Age	Woreda/kebele	Responsibility	Signature
1	Yeshaneh Tarekegn	M	48	Injibara 02	expert	[signature]
2	Addisu Shitu	M	26	" " 01	Expert	[signature]
3	Addisu Simachew	M	33	zone	focal	[signature]
4	Zelalem Abebe	M	51	zone	expert	[signature]
5	Yenesew Fekadu	M	48	zone	expert	[signature]
6	Andualem Ayichew	M	27	Injibara 01	expert	[signature]

Moderator: Name Ayana yelewale......signature....[signature]......date ...13/6/2010 E.C

Annex II: Community Consultation Attendance Sheet

Region -- Benishangul
Woreda -- [illegible]
Kebele -- [illegible]
Micro watershed -- [illegible]
Consulted [illegible]

No	List of participant	Sex	Age	Responsibility	Signature
1	[illegible]	m	57	[illegible]	
2	[illegible]	m	25	[illegible]	
3	[illegible]	m	20	[illegible]	
4	[illegible]	m	45	[illegible]	
5	[illegible]	m	34	[illegible]	
6	[illegible]	m	29	[illegible]	
7	[illegible]	m	28	[illegible]	
8	[illegible]	f	38	[illegible]	

Figures: Community consultation at South Ari woreda, SNNPRS

Figures: Community consultation with local community members