

RP1675

Ministry of Agriculture

Productive Safety Net Programme IV

**RESETTLEMENT POLICY
FRAMEWORK
(RPF)**

**Natural Resources Directorate
Public Works Coordination Unit**

30 June 2014

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Abbreviations and Acronyms

ARPA	Abbreviated Resettlement Action Plan
CBO	Community Based Organization
CDD	Community Driven Development
EPA	Environmental Protection Authority
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
GoE	Government of Ethiopia
GTP	Growth and Transformation
M&E	Monitoring and Evaluation
MEP	Monitoring and Evaluation Plan
MoA	Ministry of Agriculture
NGO	Non-Governmental Organization
OP	Operational Policy
PAP	Project Affected People
PRSP	Poverty Reduction Strategy Paper
PSNP	Productive Safety Net Programme
PWCU	Public Works Coordination Unit (Federal)
PWFU	Public Works Focal Unit (Regional)
RAP	Resettlement Action Plan
RoW	Right of Way
RPF	Resettlement Policy Framework
SIA	Social Impact Assessment
SNNPRS	Southern Nations, Nationalities and Peoples Regional State

Part I: Basic Information

1. **Country and Project Name: Ethiopia – Productive Safety Nets IV**
2. **Project Development Objectives (PDO):** Enhanced access to improved rural safety nets and disaster risk management systems, livelihoods and nutrition services for vulnerable households in Ethiopia.
3. **Project Outcomes:** It is proposed to measure progress towards the attainment of the PDO through the following indicators:
 - i. Progress in transition to a system of social protection and disaster risk management. This result will measure the transition to systems through progress in developing core tools such as the single registry and MIS, and effectiveness of institutional arrangements and the harmonization of various processes (e.g. targeting, planning, monitoring and evaluation) across different programs.
 - ii. Increased number of months of household food security. This result will measure the net number of months of food security for program participants in current highland and lowland woredas, as well as in new woredas to which the program will expand.
 - iii. Increased household savings and other assets. This result will measure the net increase in household level assets including savings as a result of the program's livelihoods interventions.
 - iv. Increased resilience of households to shocks. This result will measure the impact of shocks on the indicators for key results 1 and 2 (number of months of food security and household assets) in program areas in order to determine whether program participation has increased their resilience to shocks.
 - v. Expansion of the rural safety nets program to all qualified woredas and regions by the end of the program.
4. **Expected Project Benefits:** The economic benefits of the program are represented by (i) improvements in household wellbeing as a result of consumption smoothing, asset protection and the avoidance of negative coping behaviors; (ii) enhanced livelihoods through asset accumulation and increased productivity; (iii) increased use of social services, market access and agricultural productivity as a result of the infrastructure created through the community public works; and (iv) the efficiency gains from improved targeting and development of systems. Therefore, PSNP provides both protective and productive benefits at the household and the community levels
5. **Identified Project Social Risks:** Pastoralist and agro-pastoral communities are known to have complex social relations, are prone to conflicts and are located in the arid and semi-arid regions of the country where the environment is fragile. This increases the social risks associated with the Project. The project includes the development of social infrastructure subprojects which may require acquisition of land and reduce access to natural resources and thereby potentially result in loss of livelihoods.

Recipient:

Government of Ethiopia

Responsible Government/Country Agency for RPF Implementation:

Ministry of Agriculture

Total Project Cost (USD million): 3390.00

IDA/IBRD (USD million): 500.00

Government (USD million): 100.00

Other-Co-financing (USD million): 1431.00

Name/Contacts of Consultant/Consulting Firm who prepared RPF:

PSNP Public Works Coordination Unit, Natural Resource Directorate, Ministry of Agriculture

Date RPF Prepared: May, 2014

Date RPF Disclosed:

Country: ETHIOPIA

Social Safeguards Specialist: Chukwudi H. Okafor

Country Manager:

Task Team Leader: Camilla Holmemo

Country Director: Guang Zhe Chen

HDN Sector Leader: Qaiser Khan

Project ID: P146883

Environment Category: B

Date ISDS Prepared: May, 2014

Date ISDS disclosed: 9 June, 2014 (TBC)

Year of Project Appraisal: 2014

Year of project closing: 2020

Is this a transferred project? ☐ Yes ☒ No

Is RPF applied to financial intermediary or intermediaries financing sub-projects? ☐ Yes ☒ No

Is RPF applied because zone of impact of sub-projects cannot be determined at this stage? ☒ Yes ☐ No

Is the RPF applied because the zone of impact is known but the site (location) alignments are not yet well established?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is this community driven development (CDD) project?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Is this a sector-wide project with national coverage?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is this a regional operation, with national/sub-national coverage?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

Safeguard policies triggered?	Applicable
Environmental Assessment (OP/BP 4.01)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Natural Habitats (OP/GP 4.04)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Forestry (OP 4.36)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Pest Management (OP 4.09)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Physical Cultural Resources (OP 4.11)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Indigenous Peoples (OP 4.10)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Involuntary Resettlement (OP 4.12)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Safety of Dams (OP/BP 4.37)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Projects in Disputed Areas (OP/BP 7.60)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Projects on International Waterways (OP/BP 7.50)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Part II: Introduction

Food insecurity has long been one of the defining features of rural poverty, particularly in drought-prone areas of Ethiopia. Poverty has been widespread in both rural and urban areas, but the magnitude has been much greater in drought-prone rural areas than in urban areas.

The Government of Ethiopia decided that there was an urgent need to address the basic food needs of food insecure households *via* a productive safety net system financed through multi-year predictable resources, rather than through a system dominated by emergency humanitarian aid. Furthermore, the Government sought to shift the financing of the programme from food aid to cash. On this basis, within the framework of the national Food Security Programme, which emphasized the three interrelated pillars of food security that address food availability, access to food and utilization, the Government decided to develop a Productive Safety Net Project (PSNP).

Following the launch of the PSNP in 2005, the food insecurity situation has shown gains in recent years, attributable to the PSNP and other, related programmes and activities. However, with rapid population growth, the absolute number of Ethiopians living in poverty is still high.

PSNP IV will build on the successes and lessons learned from the previous and current phases of the PSNP. It will also support the transition to a system of integrated social protection, and the integration of the two previous programs (PSNP and Household Asset-Building Programme (HABP)) into a single program, and scaling up to a national rural program, in all regions.

PSNP IV will target chronically food insecure and vulnerable households in rural Ethiopia. It will move to national coverage over time, but clients will be phased in to the program starting with the existing caseload from the current program and those households in existing program regions who have received emergency assistance for at least 3 out of the last 5 years, meaning they are chronically food insecure. Following this, the program will expand to cover remaining woredas in Somali region, and finally to cover all regions in the country and become a national program. It is estimated that the program will have a caseload in the next 5 years of about 9.2 million people, and will use an evidence-based approach to target new households for inclusion when existing clients graduate from the program.

Part III: Objectives of the RPF

This RPF, which is disclosed together with the ESMF, serves as a guide to project implementers to ensure that prior to implementation of any PW subproject likely to result in such impacts project-affected people are consulted, and appropriate preventative and mitigating measures are exhaustively considered and implemented.

Specifically, the objectives of this Resettlement Policy Framework (RPF) are:

1. Establish the PSNP IV 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. Define a participatory process by which potential reduced access to resources is identified and mitigation measures established;
5. Describe the consultation procedures and participatory approaches involving PAPs and other key stakeholders; and
6. Describe implementation and monitoring arrangements
7. Provide procedures for filing grievances and resolving disputes.

This RPF will apply to Public Works subprojects of Component 2, sub-component b. The RPF procedures will be carried out throughout preparation and implementation of the subprojects concerned, and potential impacts and implementation of the required mitigating or compensation measures will be tracked by the PSNP IV Monitoring and Evaluation (M&E) system.

Whenever a Resettlement Action Plan (RAP) is required, it will be prepared in accordance with guidance provided in this RPF, including detailed measurement surveys, identification of PAPs/displaced persons, and public consultation and disclosure procedures. This RPF follows the guidance provided in the World Bank Operational Policy on *Involuntary Resettlement* (OP4.12), as described in Annex 1.

This RPF ensures that any possible adverse impacts of proposed project activities are addressed through appropriate mitigation measures, particularly against potential impoverishment risks. These risks can be minimized by:

- Avoiding displacement of people without a well-designed compensation and relocation process;
- Minimizing the number of PAPs, to the extent possible;
- Compensating for losses incurred and displaced incomes and livelihoods; and
- Ensuring resettlement assistance or rehabilitation, as needed, to address impacts on PAPs livelihoods and their well-being;
- Ensure that PSNP IV PW subprojects do not result in reduced access to resources. The project will not operate or cause restriction of access to legally designed parks and protected areas.

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

Part IV: Project Description and Rationale for RPF

PSNP IV will consist of three components:

- a) Systems Development: Support to the social protection and DRM systems will include targeting, registry, capacity development, and management information systems (MIS).
- b) Productive Safety Nets and Support to Livelihoods Strengthening: consisting of the following sub-components:
 - a. Safety net transfers to targeted households and effective response mechanisms providing resources to transitorily food insecure households;
 - b. Development of sustainable community assets and improved enabling environment for livelihoods through watershed development planning and public works;
 - c. Support to household's access to livelihoods strengthening;
- c) Institutional and Management Development: This component will support sustainable capacity development and institutional strengthening to implement PSNP 4.

This RPF will apply to the activities in Component 2, sub-component b.

PSNP IV is expected to contribute to several social development outcomes, including: (i) improved livelihoods; (ii) increased capacity of beneficiary communities to manage their own development; (iii) improved social accountability; and (iv) broader community participation in the development process.

The preparation of PSNP IV has drawn on four important studies: (i) (2012) Strategic Assessment of the Impacts of the PSNP on Vulnerable Programme Beneficiaries; (ii) (2012) Impact Assessment conducted by the CSA, IFPRI and IDS; (iii) (2013) Gender and Social Development Impact Assessment led by the Safety Net Support Facility; (iii) a (2014) Enhanced Social Assessment and Consultation conducted by the Ministry of Agriculture (MoA) designed to ascertain what programme design changes might be necessary with regard to underserved or particularly vulnerable peoples to make sure that their voices are fully heard and that their interests are fully reflected in the new design.

During the course of PSNP III, various methods were adopted to introduce stronger social accountability into the programme. In the process lessons were learned from the PBS Ethiopia Social Accountability Phase 2 Programme (ESAP2) which provides Ethiopians with the opportunity to communicate their views on the quality of service provision and areas of improvement needed. As a result of these initiatives, a formal collaboration has been established between the PSNP and ESAP2 in the form of a Pilot covering 'overlapping woredas'. This programme of collaboration will yield mutual benefits to both the PSNP and PBS ESAP2 and will provide critical design parameters for scaling up Social Accountability in PSNP 4 at a future date.

- (i) PSNP IV will strengthen the PSNP's Grievance Redress Mechanism, including a review of the operations of the Kebele Appeals Committees, and their mandate to receive appeals and complaints. A Grievance Redress Manual will be developed describing in detail the procedures, and will identify the responsible PSNP staff concerned. It will (1) guide concerned stakeholders on their key functions, roles and responsibilities to amend omissions during the targeting process; (2) solve beneficiaries' complaints in relation to payments and quality of service and update information of households; (3) enable clients to understand procedures to present appeals and complaints; (4) ensure uniformity of the grievance redress process, etc. In addition, a number of studies and a workshop on Gender have culminated in a Gender Analysis and Gender Action Plan.
- (ii) Direct negative social impacts of PW subprojects such as conflicts over the use of scarce resources are covered by an Environmental and Social Management Framework (ESMF), which identifies such impacts during the Screening process and identifies appropriate mitigating measures. In addition to this, other social issues are addressed by specialized instruments as follows:
- (iii) The Ethiopian constitution recognizes the presence in Ethiopia of different socio-cultural groups, including historically disadvantaged or underserved communities, as well as their rights to their identity, culture, language, customary livelihoods, socio-economic equity, etc. The Enhanced Social Assessment and Consultation has been conducted in all of the regions in which PSNP IV will be operational and a wide range of issues and recommendations have been made in order to ensure that the needs of these groups will be addressed by PSNP IV in an appropriate manner. These findings have been used to address issues such as potential adverse impacts, and culturally appropriate services in the final project design.
- (iv) PSNP III did not trigger the World Bank's policy on Involuntary Resettlement, OP 4.12. Instead, any PW subproject that was found during the Screening process of the Environmental and Social Management Framework (ESMF) to be likely to result in relocation or involuntary loss of assets or access to assets was declared ineligible. Subprojects expected to involve minor voluntary loss of assets, or access to assets,

were addressed through a Voluntary Asset Loss (VAL) Procedure. However, under PSNP IV, while physical relocation of households remains ineligible, subprojects involving involuntary loss of assets or access to assets will now be eligible under PSNP IV, and the VAL Procedure employed by PSNP III will no longer be utilized.

- (v) Thus under PSNP IV, all cases of loss of assets or access to assets are required to follow the procedures set out in this Resettlement Policy Framework (RPF).

Description of Subprojects to which the RPF will be applied

The major causes of food insecurity in Ethiopia include land degradation, recurrent drought, population pressure, and subsistence agricultural practices characterized by low input and low output. The Government policy of community-based watershed development is designed to address some of these issues, with a view to making the watershed productive and able to sustain the livelihoods of households within the watershed.

PSNP IV follows the approach of the previous three phases of the PSNP in adopting this Government policy, whereby the programme of community-based watershed development is achieved by the implementation of an annual PW programme consisting of discrete PW ‘subprojects’. However, although many of the subprojects are aimed at enhancing the environment and increasing the productive capacity of the natural resource base, the subprojects also have the potential for adverse environmental impacts on human populations or the biophysical environment, particularly if their location and design do not follow good environmental practices.

Eligibility Criteria

PSNP IV PW subprojects are labour-intensive, community-based activities designed contribute to watershed development, respond to the needs of Climate Change, Disaster Risk Management and Ethiopia’s Nutrition policy, and to provide employment for chronically food insecure people who have “able-bodied” labour. The Programme Implementation Manual (PIM) requires that to be eligible for financing under the PSNP, the subprojects must be environmentally and socially sound. It specifies that projects should be adapted to local conditions and protect the environment. They should be based on sound technical advice, and adequate technical supervision should be available to ensure the quality of work.

The subprojects are also required to meet the following criteria:

- *Labour intensity*: Subprojects activities must be labour-intensive and use simple tools as much as possible.
- *Communal benefits*: The subprojects must benefit the community as whole or groups of households within a given area.
- *Community acceptance*: The subprojects must be accepted and approved by the community. They should have active community support and commitment.
- *Feasibility and sustainability*: The subprojects must be feasible technically, socially and economically. They should be simple and manageable in implementation and also in on-going maintenance in order to be sustainable.

- *Productive*: The subprojects should create durable community assets which should contribute to watershed development and to the reduction of poverty and food insecurity.
- *Gender sensitivity*: Priority should be given to subprojects that are assigned to enable women to participate and which contribute to reducing women's regular work burden and increase access to productive assets.

Planned Location of Subprojects

Subprojects will be implemented in rural areas, within the identified regions. In cropping areas, they are expected to be within around 5 kilometres of the homes of the intended beneficiaries, or less in areas of steep or difficult terrain.

In pastoral areas, subprojects will be organized at strategic locations to which families can move or send selected able-bodied members.

Types of Subproject

The selection of subprojects to be undertaken under the Component 2 will be driven by the local planning process, which is well established in all the current PSNP weredas, and will be established on the same basis in 'new' weredas to which PSNP IV will be extended. The planning process, which involves the DA and a Community Watershed Development Committee, includes inputs from both men and women as well as representatives from vulnerable groups, in order to identify community needs and prioritise activities based on those needs. This will allow a pipeline of subprojects to be developed. The planning process of all PW subprojects is subject to the PW ESMF process, which triggers use of this RPF.

Priorities, desirable outcomes and connected activities will vary based on location. Examples of outcomes and activities in settled cropping areas such as are typically found in Tigray, Amhara, Oromiya and SNNPR, are outlined in the Table below.

TABLE 1: EXAMPLES OF PW SUBPROJECTS AND EXPECTED OUTPUTS AND OUTCOMES

Typical Subprojects	Expected Outputs	Expected Outcomes
<ul style="list-style-type: none"> ▫ Area closures/wood lots ▫ Multi-layered/storied agro-forestry ▫ Physical conservation measures, e.g. hill side terracing. ▫ Micro-niche development ▫ Biological measures ▫ Mulching of degraded areas ▫ Removal of invasive plant species 	Improved land productivity and soil fertility restoration	Improved crop production, crop yields and livelihoods
<ul style="list-style-type: none"> ▫ Gully control ▫ Land reclamation of degraded or previously unproductive land ▫ Bench terracing 	Increased land availability for land-poor and landless	Improved crop production and livelihoods
<ul style="list-style-type: none"> ▫ Small-scale irrigation ▫ Stream diversion ▫ Spring development ▫ Shallow wells ▫ Small dams ▫ Water ponds ▫ Drainage and water canals/conduits ▫ Infiltration pits ▫ Seepage control measures 	Improved access to drinking and irrigation water	Improved health, improved food production and livelihoods
<ul style="list-style-type: none"> ▫ Vegetative fencing and fodder belts ▫ Conservation measures ▫ Fodder seed collection ▫ Paddock systems ▫ Water logging control ▫ Multi-purpose nurseries 	Increased availability of fodder,	Improved crop production, livestock management and livelihoods
<ul style="list-style-type: none"> ▫ Repairing classrooms and health facilities ▫ Latrine construction ▫ Classroom construction/renovation ▫ Health post construction. 	Improved school and health facilities	Improved health and education
<ul style="list-style-type: none"> ▫ Rural access road construction/rehabilitation ▫ Market yards and storage ▫ Stock routes 	Improved access to health, education and farmer training services and to markets	Improved health, education, marketing of on-farm and off-farm products, and livelihoods.
<ul style="list-style-type: none"> ▫ Child care centre construction 	Improved access to child-care facilities	Improved mother and child care, health and safety

Some beneficiaries will be given an option to substitute participation in social service (‘soft conditionality’) programmes as a substitute for part or all of their PW labour-days. These will cover options such as the following:

Typical Services	Expected Outputs (Examples)	Expected Outcomes (Examples)
▫ Nutrition classes	Improved knowledge of nutrition	Improved nutrition status of community members
▫ Ante-natal classes	Improved knowledge of ante-natal care	Improved health status of mother and child
▫ Behavioural Change Communication classes	Improved knowledge of use and benefits of latrines, and of the use of health facilities	Improved community health and nutrition status

Through the PW community-based planning procedure, the PW programme automatically reflects local needs. Thus the subprojects implemented will reflect site-specific features such as livelihood types, the condition of the natural resource base, local infrastructure, agro-climatic setting, etc.

Subprojects in Pastoralist Areas

In lowland pastoral and semi-pastoral areas the PW community planning process will be the clan or sub-clan/community rangeland, rather than the community watershed or micro-watershed. The emphasis is expected to be on interventions that reduce risk and increase the resilience of communities to shocks, such as:

- Development of water points (using both traditional and innovative methods);
- Reclamation and rehabilitation of grazing areas and creation of grazing reserves through improved water harvesting and conservation-based activities (rainfall multiplier systems for improved pastures, agro-pastoralist systems, irrigation, etc.);
- Agro-forestry systems in grazing reserves to improve aerial pasture and multipurpose species, and access to fruits, dyes and gums;
- Other initiatives related to livestock trade and livestock health;
- Development of sustained agro-pastoral systems through rehabilitation of crusted and desertified areas (use of run-off/run-on systems integrated with dry-land conservation measures); and
- Windbreaks and fodder belts in protected areas.

Environmental and Social Context and Baseline Conditions

Ethiopia depends principally on agriculture both for its economic growth and food security. Out of an estimated 91 million people, some 83% live in rural areas with agriculture (crop production and animal husbandry) as the main source of livelihood.

Ethiopia's current development agenda is governed by the Growth and Transformation Plan (GTP), the main goal of which is for Ethiopia to "extricate itself from poverty to reach the level of a middle-income economy by 2025." To achieve the GTP's main goal and objectives, the Government of Ethiopia (GoE) has considered internalizing the climate induced risks and has embarked on developing the Climate Resilient Green Economy (CRGE) strategy in support of GTP. The vision of the CRGE is to achieve middle-income status by 2025 in a climate-resilient green economy.

The services provided by natural resources including agriculture and livestock play a critical role for the livelihood of the majority of Ethiopia's population. Agriculture is the key pillar of the economy and the most important source of growth. It accounts for almost 48% of GDP and 85% of export earnings. Agricultural production is mostly rain-fed and dominated by small-scale farmers and enterprises that contribute to 90% of agricultural production. Although much of the agriculture remains for subsistence purposes, still smallholders provide a large part of traded commodities, including for exports and about 70 percent of the raw material requirements of agro-based domestic industries.

Agriculture, which is the critical element of economic growth and food security of the country, relies on sustainable management of land and water. The country, however, is experiencing low and declining agricultural productivity, persistent food insecurity, and rural poverty largely attributed to land degradation. Studies have shown that by the mid-1980s some 27 million ha or almost 50 percent of the Ethiopian highlands, which makes up about 45 percent of the total land area, was considered to be significantly eroded, of this 14 million ha was seriously eroded and over 2 million ha beyond reclamation. It is estimated that some 30,000 ha are lost annually as a result of soil erosion, representing over 1.5 billion tons of soil that is removed annually by a variety of land degradation processes.

With its soil fragility, undulating terrain, and highly erosive rainfall, Ethiopia has continually faced challenges in conserving its soil fertility. Coupled with these natural constraints, the environmentally destructive farming methods that many farmers practice make the country highly vulnerable to soil erosion. Moreover, some sources estimate that close to one-third of the agricultural land is moderately to strongly acidic because of long neglect in soil conservation and destructive farming practices.

The PSNP IV woredas are located in Tigray, Amhara, Afar, SNNP, Oromiya, Somali regions, and in the rural parts of Dire Dawa and Hararge Administrations. However, the environmental characteristics of these areas in which PSNP IV will be implemented are more usefully demarcated by altitude, rather than administrative boundaries. Thus they are presented in Table 2 below, with their height above sea level, which is broadly correlated with temperature.

Table 2: Eco-Climatic Zones and Potential Environmental Sensitivities¹

Eco-Climatic Zone	Potential Sensitivities
<p>HIGH DEGA WURCH Very high elevation areas (>3200 m) principally in Wollo, Gonder and Gojam in Amhara; dominated by grassland landscapes; rainfall is 1000-1600 mm.</p>	Regeneration of natural resources in the high elevation zones need to recognize the limited plant species adapted to these highland conditions and the slower growth rates, potential for rapid rainfall runoff and the vulnerability to overgrazing and other human uses.
<p>DEGA High elevation areas (2000-3200 m) such as in Tigray, Wollo, Gonder and Gojam in Amhara, and Harrege, Arsi and Bale in Oromiya; typically mixed coniferous shrubs and trees; rainfall is 1000-2000 mm.</p>	The elevation changes, the relatively high rainfall and the potential high soil erosion rates present opportunities and constraints for environmental rehabilitation and management of increasing land use pressures in the Dega zone.
<p>WEYNA DEGA Mid-elevation areas (1500-2400 m) such as in the western half of Ethiopia covering Amhara, Oromiya, SNNP and Tigray; typically mixed temperate forests and shrubs and riparian and other vegetation associated with the Abbay River and Awash River; rainfall is 800-1600 mm.</p>	The relatively high level of ecosystem productivity and biotic diversity provides for significant natural resources and the pressures of human uses, along with the presence of important and sensitive natural habitats but with generally high recovery rates if managed properly.
<p>KOLLA Low elevation semi-arid areas (500-1500 m) of western Tigray, western Gonder in Amhara, southern Oromiya and northern Somali; dry savanna landscapes; rainfall is in the range of 200-800 mm.</p>	The semi-arid, dry savanna Kolla landscapes are vulnerable to deforestation and overgrazing, variable rainfall, slower rates of recovery and wildfire potential; soils are generally nutrient poor and moderate-high erodability.
<p>BEREHA Low elevation arid areas in Afar, Somali, Benshangul, Gumuz and Gambella and the western parts of Tigray and Gonder in Amhara, and eastern Oromiya (Harrerege and Bale); arid and dry savanna landscapes; rainfall is generally less than 200 mm.</p>	Moisture and nutrient limitations, poor water holding capacity of soils, high livestock grazing pressures and slow recovery rates present constraints in these mostly Arid landscapes that generally have low soil quality, high erosion potential and vulnerability to pastoral livelihoods.

¹ RDFE, May, 2004, *Emergency Drought Recovery Project: Environmental and Social Management Framework*.

The target population consists of both settled highland areas and pastoral and agro-pastoral households.

The 'highland' regions of Ethiopia are comprised of four regional states including: Amhara, Tigray, Oromia and Southern Nations, Nationalities and Peoples which constitute nearly 86% of the total population. Oromia is the largest regional state with an area of approximately 353,000 km² a population of approximately 30 million. SNNP covers an area of 111,000 km accounting for 10% of the total area of the country; it is home for more than 56 ethnic groups. Tigray has an estimated area of 53,000 km and an estimated population of 4.3 million people. Amhara has a population of 17.2 million, covering a total area of approximately 154,000 km.

The highlands are among the most densely populated agricultural areas in Africa and characterized by a significant number of people who are vulnerable and underserved. People living in these areas are typically subsistence farmers (less than 0.5 ha of land) and are largely dependent on rain-fed agriculture making them vulnerable to climate change and other shocks. While women play a significant role in agricultural productivity (carrying out an estimated 40-60% of all agricultural labour) they suffer from unequal access to resources and capacity building opportunities.

Pastoralism in Ethiopia relates to both an economic livelihood system that is based primarily on extensive livestock production, and to the characteristics of communities that live in the arid and semi-arid lowlands of Ethiopia, which lie principally in Somali and Afar regions. Pastoralist households can be categorized into three groups: (i) the comparatively wealthy who hold substantial livestock assets; (ii) households with small herds and flocks and who, to some extent, depend upon cropping, petty trading or sale of their labor ("agro-pastoralists"); and (iii) those who are gradually abandoning pastoral livelihoods. Various factors affect success of pastoralists to grow their livestock production systems. The most important of these are access to good rangeland as well as mobility, access to markets, access to services (e.g., animal health care), and severity of climatic shocks.

An increase in demand for livestock in both domestic and regional markets in neighboring countries such as Somalia, Djibouti, Kenya, and the Sudan has been driving changes in pastoralist livelihood systems. There has been an increase in the commercialization of livestock, resulting in consolidation of herds. Thus while some pastoral households have been able to improve their livestock-based livelihoods, others have been unable to maintain their traditional livelihoods as viable undertakings. As a result, a growing segment of the traditionally pastoralist population is dropping out of pastoralism, some into destitution. As a community, pastoralists have, in the past, been economically, socially and politically sidelined due to inadequate attention from policy makers. Although significant improvements have been achieved over the last ten years, pastoralists remain under-served in terms of basic social services.

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

In order to gather comments and requirements on the ESMF (and RPF) by communities and wereda local government, public consultations were conducted in Regions which PSNP IV will serve, and all of which are being currently served by PSNP III. In addition to the consultations with the communities, consultations were also held with wereda staff experienced in implementing the PSNP. The consultations aimed at exploring and soliciting feedback from PAPs on key elements of the RPF, particularly the procedures and implementation arrangement, land acquisition and compensation, grievance redress, and community participation.

The consultations, which provide PAPs the opportunity to contribute to the design and implementation of the PW sub-projects that they select, were very rich, given the long experience the communities and staff have of the PSNP, in some cases extending over nine years.

Consultation Methodology

The invitations of community consultation meetings were announced for community members of the kebeles, and participants included women, men, youth and the elderly. Wereda-level consultations were held with staff from a selection of weredas, in order to provide as wide a range of opinions as possible. The community meetings were facilitated by wereda staff and PSNP DAs. The wereda consultations were arranged by Regional PSNP PWFU staff. In total, 408 community members participated in 17 community meetings, and 45 wereda staff concerned with PSNP implementation in 28 weredas participated in wereda-level consultations. SNNPR: 21 and 22 May 2014, Tigray: 21 and 22 May 2014, Amhara: 5 and 6 June 2014, Somali 23 May, 23 May, 25 May and 25 May 2014, Afar: 30 May 2014, Oromiya: 13 May and 14 May 2014. In total 39, different weredas were covered by the consultations, as set out in the following Table.

Table 3: Consultations were held as follows:

Region	Wereda Consultations (Name of Wereda)	Wereda Respondents	Community Consultations (Name of Wereda, Kebele)	No. of Community Participants		Total Participants
				M	F	
SNNPR	Boloso Sore	Agri-Dev. Officer				1
	Gurage (Zone)	PSNP M&E Officer				1
	Amaro	PW Coordinator				1
	Gibe	Agri-Officer				1
	-	-				1
	A/Zuria	Agr-Officer				1
	Dala	PW Coordinator				1
	Hadiya	PSNP M&E Officer				1
	Gedeo	SWC Expert				1
			Gibe, Homacho	11	7	18
Somali			Dolocha, Matiya-Danye	17	4	21
	Meiso	PW TA				1
	Babile	PW TA				1
	Fik	PW TA				1

	K/Duhur	PW Expert				1
	K/Beyah	PW TA				1
			Degahbur, Boodhley	15	4	19
			Degahbur, Higlaley	14	4	18
			Kabribayah, Guyo	12	5	17
			Kabribayah, Garbi	14	5	19
Oromiya	Dodota	Agrii-Food Security				1
	"	TA				1
	"	Nat Res Expert				1
	"	HABP Agri-Officer				1
	Sire	NRM Process Owner				1
	"	PSNP TA				1
	"	SNSF TA				1
	"	Food Sec Process Owner				1
	"	HABP Agri-Bus. Officer				1
	"	M&E, Agric. Office				
			Dodota, Koro Degaga	19	2	21
			Sire, Koloba Bale	17	2	19
Tigray	Ofla	PW Focal Person				1
	Degua Tenben	PW Focal Person				1
	Mereblehe	PW Focal Person				1
			Enderta, Arato	10	10	20
			Kilite Awlailo, Ainalem	11	12	23
Amhara	Shebel Berenta	Agric. Office				1
	Ziquala	PW Specialist				1
	Deuley Harewa	Agric. Office				1
	Tach Gayint	Agric. Dev. Office				1
	Albuko	PW Nat Res Expert				1
	Janamora	PW Coordinator				1
	Angolela Tra	PW NRM Specialist				1
	Mekdela	Agr-Dev (PWFU)				1
			Libokemekem, Shamo	16	6	22
			Lay Gayint, Sinchra	11	9	20
Afar	Ada'ar	WPADO Head				
	"	Disaster Prev/FSP Process Owner				
	"	-				
	"	Fin & Econ Dev Field Off.				
	"	-	Ada'ar, Jeldi	12	8	20
			Higlaley	14	4	18
			Bodhley	15	4	19
			Guyo	12	5	17
			Garbi	14	5	19
Total	28 Weredas	45 Wereda Staff	17 Community Meetings			408 participants

The documents utilized for the consultations on the PW ESMF and RPF and HABP ESMF procedures were as follows:

- (1) ESMF
- (2) RPF
- (3) Overall Guidance for PW and HABP Consultation Facilitators, detailing step by step what needs to be done
- (4) Woreda Questionnaire for PW and HABP
- (5) PW ESMF and RPF Community Consultation Guidance Package including template for RPF Grievance Redress Template, RPF Entitlement Matrix, ESMF Screening Form + Guidance for PW ESMF and RPF Community Consultations and Attendance Sheet.
- (6) HABP ESMF Community Consultation Guidance Package including: Templates for Woreda Environmental Profile and HABP Environmental Guidance for Business Plans, HABP ESMF Community Consultation Guidance Note and Attendance Sheet.

Issues Discussed during Consultations

PW ESMF Procedures

The community meetings discussed the ESMF and RPF. The discussions on the ESMF focused principally on whether the community members have had experience of negative impacts from PSNP sub-projects in the past, whether they are satisfied with the way in which the ESMF is working, and what might be done to improve the implementation of the ESMF.

The consultations involved the use of ESMF checklists to explain the concept and benefits of the ESMF procedures. Generally the community members were already aware of the ESMF procedure, though some were not familiar.

There was strong feedback in all cases. As for effectiveness of the ESMF, in general it was found that the communities understand that the ESMF helps to avoid negative impacts, and in Tigray, for example, the members said that affected people are consulted, and that appropriate preventive and mitigating measures are executed. A typical response came from an Afar community, who said that since their sub-projects are planned and implemented with community participation, they did not generally experience negative impacts. Nonetheless it did occur sometimes, when there were quality problems in the implementation of the design. For example, it was noted in Tigray that quality problems in some water projects have in some cases given rise to negative environmental impacts. In the case of Amhara there is an example in one community road sub-project where no culverts were installed, which caused a flooding problem, and a hand-dug well, which, though having no negative environmental impacts, had a low discharge and was therefore unsustainable. Another Somali community, which is experienced in PSNP PW, said that they are satisfied with the planning and implementation of the sub-projects, but they would like to focus more on water projects in the future, for which the ESMF is a suitable procedure. In SNNPR and

in pastoral areas it was agreed that community roads needed quality improvements, and also the location of water points, which in some cases have led to overgrazing, with consequent environmental problems. Overall, there was also a general call for more awareness-creation and training for the PW ESMF.

In order to reflect the concerns above, the procedures for PSNP IV PW have been strengthened to include (i) More technical support for community roads from the wereda Roads Offices, (ii) An initiative is now underway (during 2014) to explore the harmonization of the PSNP PW roads programme with the higher-standard URRAP roads programme, (iii) New guidelines are now available for the design of pastoral PW sub-projects, (iv) Additional training will be given under PSNP IV to DAs in ESMF operations and roads and water project design, (v) Under PSBP IV a higher non-labour budget will be provided for the PW, in order to ensure that materials such as road culverts can be purchased and installed, (vi) Capacity improvements will be made at wereda level, including transport, to ensure stronger ESMF compliance monitoring.

PW RPF Procedures

The principal difference between the PSNP III ESMF and the PSNP IV ESMF is the proposed eligibility and treatment of sub-projects potentially giving rise to impacts under OP 4.12, *Involuntary Resettlement*, and this was the other principal topic of discussion, under the topic ‘Land Acquisition and Compensation’.

The topics discussed included land acquisition and compensation, the Entitlements Matrix and grievance redress, within the broader context of implementation arrangements and M&E.

Community Awareness of Rights

It was found that the communities are generally aware that the people of Ethiopia are given the right to improved living standards and sustainable development, that they have the right to be consulted with respect to policies and projects affecting their communities, and the right to sustainable development, and a clean and healthy environment. They are also aware of the right of the state to expropriate private property for public use, but that adequate compensation has to be provided, through a Wereda Valuation and Compensation Committee.

Land Acquisition and Entitlements

In the PSNP IV Enhanced Social Assessment and Consultations with most vulnerable PSNP beneficiary groups, the consultants were asked to report on any cases of complaints of involuntary loss of assets or access to assets. Their findings were that “in none of the PSNP weredas covered in this Social Assessment was the loss of assets or reduced assets reported as an issue”. Nonetheless, having understood that the design of PSNP IV will permit sub-projects causing involuntary loss of assets or access to assets, the communities emphasized that compensation must be adequate. This was followed by a discussion of entitlements under OP 4.12, and no objections were noted in respect of the Entitlements to be provided.

In most cases the community members stressed that PSNP PW infrastructure is normally built on ‘communal’ land, by public agreement with the community. Several communities stressed that they preferred sub-projects that take community land rather than private land, because “as the benefit is for the whole community, any associated problem must be equally shared by all”.²

In community consultations in the weredas of Konso, Meket and Alamata, the community members were aware that land is scarce in these areas and there is hardly any communal land available that can be given as replacement for such losses. Often, the losses are not significant, and when they occur they are handled at kebele level and hitherto have not been raised as major issues for dispute. In other cases, the farm plots of certain households may fall within the boundaries of an area designated for a watershed development program. In these circumstances, the affected households are not required to move out of the designated area, but are instead allowed to remain there and work their plots as they have done before (e.g. in Konso).

With respect to Public Works induced loss of assets, during the social assessment it was reported that site selection is done in a participatory decision-making process in the pastoral woredas of Awash Fentale, Fantale and Hammar. Thus, community elders, religious leaders, and community members with good knowledge of the local environment are involved in the process of selecting public work sites. This is done with the aim of making sure that the development activities are undertaken in such a way that does not result in disputes and misunderstandings between community members using the surrounding pastoral and agricultural resources. According to the group interviews held separately with women and men beneficiaries and program implementers, PW subprojects in PSNP III such as area closure and water pond construction are embarked on only after common understanding has been reached with the concerned local residents. If, for example, the path to the constructed water pond cut across the farm fields of an individual, the consent of that person had to be obtained before the work went ahead. The person’s voluntary consent had to be made in the presence of local elders and recorded in writing. If, however, the individual did not agree, and the path still had to be built, the local elders would make sure that an alternative farm plot was given to the individual as compensation. This was done in consultation with the kebele administration.

When disputes have arisen in the past under PSNP III, the process of handling the issues in PSNP woredas in Dire Dawa and Harari generally resemble the experiences described above. The differences observed are however that PAPs were compensated in the form of access to job opportunities. The community assets building which resulted in the loss of land may be the construction of animal health post, farmers training centers, or residential buildings for development agents or teachers. In such cases, under PSNP III, the affected men or women were hired as guards or cleaners to obtain regular means of income as compensation. In some cases, such as Meket, where loss of even a small plot of land significantly affects the livelihood of the household in the face of scarcity of land, replacement land was given to the affected households from the communal lands or lands of the deceased or migrants (*yemuachina yeleqaqi*). In future such cases will be addressed by the RPF.

² Metya Denga Kebele, Dallocha Wereda, SNNPR, 22 May 2014 at the Health Post. It may also be noted that a recent analysis of PSNP III Voluntary Asset Loss forms completed indicated that this procedure was applied overwhelmingly to community agreements to the use of communal lands.

Bearing in mind that the communities consulted in the RPF discussions have many years' experience of PSNP sub-project implementation under the present PIM, in which sub-projects giving rise to involuntary loss of assets have been ineligible, many of the communities repeatedly impressed upon the facilitators that such sub-projects lie outside the domain of the PSNP PW programme; they were at pains to explain that the rules for PSNP PW sub-projects do not allow such sub-projects. For these reasons some of the community reactions to the triggering of OP 4.12 was initially quite negative, in view of the long-standing practice of constructing PW sub-projects only on communal land and banning sub-projects involving involuntary asset loss. However, all communities agreed that if it should occur, then adequate compensation should be paid, in line with the entitlements of OP 4.12. For example in Hadiya kebele of Gibe wereda, SNNPR, the community accepted that it could happen that for example a new school or health post could need for land than the community land available, and if such a subproject were now to be allowed, it might take the land from three or even five people. In such a case "enough compensation must be given to the farmers". In this regard there were no disagreements with the Entitlements Matrix. Or alternatively, they said, "The land could be taken either from communal land" - the preferred option in virtually all the communities consulted.

In Metya Denga kebele of Dallocha wereda "the community recognized well the significance and contribution of the various development interventions such as construction of schools, roads, Farmers Training Centres, Health Posts and the like which all contribute to a better standard of living". They suggested that land "could be taken from communal land". In the event that the community members were to contribute :small parcels of land", they "strongly mentioned that in such cases enough and substantial compensation must be given for the farmers affected by the intervention implemented". There was agreement with the compensation rules set out in OP 4.12.

In Tigray it was pointed out that in most cases a "Community self-help" approach is adopted for PSNP PW subprojects. However, in cases where compensation is needed, "land-for-land is already in practice". Regarding the RPF, the community was happy to adopt it, and said that "it will develop good governance". They said that the Entitlements Matrix is "applicable and good".

In Kora Degage kebele, Dodota werda, Oromiya region, the community said, "Most of the subprojects are implemented on communal land, including social infrastructures, which take land through negotiation with the community. Therefore in this kebele involuntary loss of assets was not happening due to PW subprojects implemented". The DA agreed, but added, "If there is any loss of assets [in future], I will implement the RAP with the wereda expert."

In the pastoral regions the communities consulted generally did not foresee problems of adverse impacts on private land because under the clan land policies "land is communal", and "access to resources is handled according to traditional procedures". They also said that in the past this has not been a problem. Nonetheless the principles of OP 4.12 were agreed, though they pointed out that the procedures might have to be adapted to the clan-based policies concerned. Several communities stressed that they also give assets voluntarily, and that in such cases OP 4.12 would not apply. When compensation is given, for example in Afar, it could be in the form of livestock rather than cash. In Somali Region community members said that they were not previously aware of the idea of individual compensation, but "were very pleased that PAPs will now be receiving compensation." However, they said, "We prefer to consult with community elders who

administer the land of clans and tribes. Most of the pastoral lands are classified as rangelands, settlements and common lands; all these are managed by clan elders”. For addressing land acquisition issues, although they “accepted the RPF plans [principles]”, they “prefer to compensate based on consensus, consultation and compensation of other kinds”. “Clan elders are very vital in pastoral areas”, and “the communities recommend including the clan and community leaders to be part of the process for land acquisition and any RAP”. It is clear, however, that as pastoral communities become more settled, or agro-pastoral, the situation will change, as the concept of individual land-holdings will start appearing.

In many of the wereda consultations there was a generally negative reaction to the proposal to allow sub-projects triggering OP 4.12, particularly in SNNPR and Oromiya regions, which account for over half the PSNP weredas. In SNNPR it was suggested that the Region would need “financial support” to cover compensations, due to “a shortage of land”. In Tigray, Amhara and Somali regions the proposal was generally accepted in principle, but there were concerns that “it would need care in implementation”. There were frequent concerns as to whether there are sufficient resources available to provide compensation if such PW subprojects were to become common.

There were also widespread concerns about capacity to ensure compliance with OP 4.12, and several respondents stressed the importance particularly the need for strengthening the training of wereda staff and the DAs by incorporating OP 4.12 into their annual PSNP PW training.

There were strong views expressed in the wereda consultations that it would be inappropriate for the DA to determine whether or not a sub-project involved involuntary loss of assets or access to assets, within the ESMF Screening process (which is normally delegated to the DA) – and even, in one case, that this would be “dangerous”. The most common reaction was that if sub-projects involving such impacts are to be allowed, the decision as to how to proceed – ie deciding whether the loss is voluntary or involuntary – should be addressed at a higher level. For example in Tigray the wereda staff concerned all thought that the DA would need wereda support for such determinations to be made, and one considered that it should be done entirely at wereda level. In SNNPR all seven of the wereda respondents considered that leaving the determination of such subprojects to the DA was infeasible. In Amhara the reaction was mixed, but some wereda staff stated categorically that “It is not within the capacity of the DA”. In Oromiya and Afar the general view among the total of nineteen wereda respondents was that the DA could handle it because “PSNP PW subprojects are implemented only on communal land” (Oromiya), and that “The land system here is clan-based; no individual loss of assets” (Afar), implying that cases of involuntary land loss would not arise. In Somali all the wereda respondents considered that the matter should not be handled only by the DA. Overall, the general opinion at wereda level is that it is not appropriate a final such determination of involuntary assets loss to be made at DA level, and that the matter should involve technical and administrative staff at wereda level or above. It is also concluded that in the pastoral regions it will be necessary for the training on OP 4.12 to take into account the various clan-based landholding systems.

Concerns were also expressed as to whether it will be feasible to produce RAPs within the short project-cycle framework of the PSNP. Several informants said it would take too long. Given that even ESMF Screening has to be delegated to the kebele-based DA due to limited wereda-level

capacity, there was doubt as to whether it would be feasible to develop RAPs for PSNP PW subprojects, other than on an exception basis. Most wereda staff estimated that developing RAPs would be feasible in principle, but that it would take several months to collect and compile the data, draw up the RAP and get it approved. Specifically, in Tigray the estimated time that it would take to develop a RAP and get it approved ranged from “3-6 months” to “one year”; in SNNPR it ranged from “2 months” to “6 months”; in Amhara it ranged from “3 months” to “one year”; in Somali Region it ranged from “6 months” to “one year”. Overall, given the large number of sub-projects (estimated around 46,000 subprojects/annum), staff capacity limitations and the relatively short annual PSNP PW project cycle, this suggests that difficulties would be encountered if sub-projects triggering OP 4.12 were to become numerous in PSNP IV.

Grievance Redress

Noting that the Kebele Appeals Committees (KAC) have had a mixed performance, the RPF Grievance and Resolution procedure was warmly welcomed by the communities. For example, the Somali region communities attached importance to the mechanism: “The new grievance mechanism can reduce [problems] and give a chance to the community to raise their appeal”. For example, in Hammer woreda, women are traditionally discouraged from lodging appeals, and those who sit on Kebele FSTF are mostly influential figures by virtue of their status as clan leaders. Thus, for fear of the possible consequence, beneficiaries or other residents may refrain from appealing the decisions, even though they regard them as unjust. In other cases Kebele Managers and Woreda Administrators are in charge of the KAC and are often not willing to help. It is therefore important to ensure that a GRM is put in place as per the PSNP IV RPF provisions “to protect the beneficiaries from abuse and make people have confidence in the system”.

Thus the communities welcomed the proposed grievance mechanism in the RPF; they felt that it can address some of these earlier problems encountered in the KACs, “by introducing more accountability measures to ensure that people feel secure about their rights and entitlements in the program. It would also create the environment that enables beneficiaries to demand better responsiveness and accountability from implementers and managers”.

While welcoming the proposed grievance mechanism for OP 4.12, one of the Tigray communities said that they cannot make strong comments until they see how it will function, and until there is an evaluation of its performance. They called for the roles and responsibilities to be more clearly assigned and defined.

Regarding M&E, in all the meetings the communities said they are closely involved in the process; in Somali region the community said that the planning of PW subprojects already involves the community “from top to bottom”, and that the need for continued participation on planning and implementation is fully captured in the RPF. Communities agreed with the institutional arrangements as set out in the RPF are “very good”, but one of the Somali communities said, “but there should also be monitoring of the committees whose job it is to ensure that the procedures are properly implemented”.

Conclusions

As a result of the community and wereda consultations, it is concluded that:

- (i) In line with OP 4.12, the ESMF should be modified in such a way as to encourage such sub-projects to be redesigned as far as possible, to avoid involuntary loss of assets or access to assets.
- (ii) Any PW sub-project with the potential to cause involuntary loss of assets or access to assets should be approved only on an exceptional basis, and should be referred to the Wereda Valuation and Compensation Committee, or its equivalent, for further study in order to determine whether or not it triggers OP 4.12, and if required, to develop the RAP. This amendment has now been made in the ESMF and the RAP.
- (iii) In order to satisfactorily meet the requirements of OP 4.12, when necessary, a two-year cycle for the concerned sub-projects should be permitted, ie. the RAP would be developed and compiled during the year following the basic design, and implemented during the PW season the following year, in order for proper compliance with OP 4.12.
- (iv) The training for wereda staff and DAs in respect of the implementation of OP 4.12 needs to be addressed as a major new module in the annual PSNP training programme. In the pastoral regions it will be necessary for the training on OP 4.12 to take into account the various clan-based landholding systems. Provisions for this will need to be made in the final design of the OP 4.12 training modules used in these regions.
- (v) In the PIM there should be a more detailed specification of roles and responsibilities for the Grievance and Resolution procedure, depending on region specifics.

Livelihoods Strengthening ESMF Procedures

The Livelihoods Strengthening ESMF (which is an SEA approach, and is substantially the same as the HABP ESMF) was also discussed in the wereda and community consultations, focused on the two principal formats: the *Wereda Environmental Profile*, and the *Environmental Guidance for Business Plans*.

The wereda staff concerned were familiar with the procedure, and supported it; the most common concern across the regions concerned was that the DAs, who ensure that the ‘negative list’ is implemented, were in some cases unaware of the procedure (especially if they were new), or insufficiently trained. The logic and the benefits of the procedures were discussed with the communities. In the case of Oromiya, for example, the communities agreed with the formats but discussed at length the ‘negative list’ for their particular wereda, in the end agreeing with the *Environmental Guidance*. Because the community said that they have not seen any negative impacts of HABP activities to date, they questioned the need for an ESMF procedure, but were eventually satisfied that in the long term it is necessary.

In conclusion, it was agreed that the Livelihoods Strengthening ESMF is functioning but needs more support at DA level, to ensure that in the long term, there are no negative impacts.

Specifically, in the design of PSNP IV there will be sufficient budgets set aside for more intensive training – including refresher training – for the DAs in the Livelihoods Strengthening ESMF than there had been for the HABP ESMF.

Part VI: Legal and Institutional Framework

This RPF will apply the laws, legislation, regulations, and local rules governing the use of land and other assets in Ethiopia. This legal and institutional framework is presented in the following six sections:

1. *Political economy and governance in Ethiopia;*
2. *Institutional arrangements*
3. *Property and land rights*, as defined by Ethiopian law and customary practice;
4. *Acquisition of land and other assets*, including regulations over the buying and selling of these assets;
5. *Human rights and compensation*, in particular, the accepted norms influencing peoples' basic rights to livelihood and social services;
6. *Dispute resolution and grievance procedures*, specifically the legal and institutional arrangements for filing grievances or complaints and how those grievances are addressed through formal and informal systems of dispute resolution; and
7. *Comparison with World Bank OP4.12*, using equivalence and acceptability standards.

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*³, 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, *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.

In some cases, the user of land has ownership of his/her possessions with the right to benefits from the fruits of his/her labor. This includes crops, perennial crops, trees for timber, etc. found on the land or any other permanent fixtures such as residential house, business installations, stores and fences, amongst others (*Proclamations No. 31/1975 and 47/1975*). The *1995 Constitution Article 40(7)* reiterates and furthers this point 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 labor 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.*

³Before 1975, the 1960 Civil Code of the Empire provide for private land ownership. As this law has been overruled by these laws and *Proclamation No. 455/2005* regarding compensation, it should not serve as the legal framework for resettlement.

89/1997 and Proclamation No. 456/2005 Article 17(1)). The law made the following provision for cash compensation for lost harvests: “A rural land holder whose land holding has been permanently expropriated shall, in addition to the compensation payable [for property and improvements made on the land] be paid displacement compensation which shall be equivalent to ten times the average annual income he secured during the five years preceding the expropriation of the land.” (Art. 8(1) of Proc. 455/2005, Art.16(3) of Regulation 137/2007).

Additionally, *ZikreHig Regulation No. 6/2002* provides for the lease holding of urban land for a specific period of time, and also regulates the lease period for different functions, grade of land and payment of lease. Lastly, the law regulates manners of expropriation of land and designates land that can be expropriated for public use without payment of compensation.

These rights over “holding land” are open-ended (no time limit on this usufruct), subject to a proof of permanent physical property, ability to farm continuously and meet administrative dues and obligations (*1995 Constitution Article 40(3)*). Furthermore, *Proclamation No. 89/1997* confirms 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. The *1995 Constitutions Articles 40(4) and 40(5)* provide for free land without payment for farmers and pastoralists. Lastly, *Proclamation No. 80/1993* allows companies to attain access to land through auction, allocation, or lottery, similar to individuals.

Overall, the Constitution protects against unlawful seizure of property, stating “Everyone shall have the right to his privacy and physical integrity. This right shall include protection from searches of his person, his home, his property and protection from seizure of property under his possession” (*1995 Constitution Article 26*). “Landholder” means an “individual, government, or private organization or any...other...organ which has legal personality and has lawful possession over the land to be expropriated and owns property situated thereon” (*Proclamation No. 455/2005 Article 2(3)*).

Committee	Representatives
Woreda Resettlement and Compensation Committee	<ul style="list-style-type: none"> • Woreda Administrator or Deputy (Chair) • Head of Woreda Office of Finance and Economic Development • Head of Woreda Office for Pastoral Development • Head of Woreda Office for Women, Children and Youth • Head of Woreda Office/Desk for Environmental Protection and Land Use Administration (if structure available at woreda) • Representative from KDC and Community leadership (traditional)

Kebele Compensation Implementing Committee

- *Kebele Administrator (Chairperson);*
- *The Development Agent (DA) concerned with implementing the ESMF (usually NRM DA);*
- *Representative of PAPs (see definition below);*
- *Village elder or clan leader (rotating position with one leader representing a number of villages and attending in rotation, depending on the village and affected party being dealt with);*
- *Chairperson of Community Project Management Committee*

Institutional Arrangements

The key institutional actors involved in resettlement are the local governments of Ethiopia at the *woreda*, and *kebele* levels. This is in line with the Government's policy of decentralization. For the purposes of this RPF, the Project will also establish *ad hoc* committees as follows:

The *Woreda* ESMF Specialist is responsible for:

- evaluating PW sub-projects to determine if a RAP is necessary;
- clarifying the policies to the *kebele* Compensation Committees;
- establishing standards to value affected assets and compensation estimates according to the guidelines in the RPF;
- determining compensation package and presenting to Woreda Cabinet for approval;
- coordinating and supervising implementation by *kebele* compensation committees as stipulated in the RPF ;
- ensuring that appropriate compensation procedures are followed; and
- overseeing the project's requirements related to social impacts included resettlement and compensation.

The *Kebele* Compensation and Implementing Committees are responsible for:

- undertake an inventory of PAPs' affected assets and submit to *Woreda* Resettlement and Compensation Committee;
- allocating land (if compensation package approved by the Woreda Cabinet includes land), to affected households;
- monitoring the disbursement of funds;
- guiding and monitoring the implementation of relocation;
- coordinating activities between the various organizations involved in relocation;
- facilitating conflict resolution and addressing grievances; and
- providing support and assistance to vulnerable groups.

Property and Land Rights in Ethiopia

Land acquisition and property rights are defined in the 1995 *Constitution Article 40(8)*, 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*). Any entitled landholder who has been served with an expropriation order shall hand over the land to the local *woreda* or urban administration within 90 days from the date of payment of compensation should the leaseholder accept payment. Furthermore, where there is no crop or other properties on the expropriated land, the title holder shall hand over the land within 30 days of receipt of expropriation order. Lastly, Article 4 (3) gives power to use police force if a landholder is unwilling to hand over land.

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*).

For example, regarding the removal of utility lines, the relevant government body must give a written request to the affected landholder, and this body must determine a fair compensation within 30 days (*Proclamation No. 455/2005 Article 6*). Compensation must be paid within 30 days of the receipt of the valuation, and the landholder must vacate the land within 60 days of receipt of compensation.

Acquisition and Valuation of Land and Other Assets

Land valuations are often done at the *woreda* and urban administration levels. These local government units establish valuation committees to value private properties (*Proclamation No. 455/2005*). In the 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. Permanent improvements to the land, equal to the value of capital and labor expended (*Proclamation No. 455/2005 Article 7*), are specified as a valid basis for determining replacement value. Where property is on urban land, the law specifies that compensation “may not be less than constructing a single room in low cost house as per the region in which it is located.” It is also required that the cost of removal, transportation, and erection be paid as compensation for a relocated property, continuing its service as before. Compensation will also be based on current cost, cost of demolishing, lifting, and reinstalling. Valuation formulae are to be provided by regulations (*Proclamation No. 455/2005 Article 7*).

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 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, labor 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)*).

In addition to compensation according to *Proclamation No. 455/2005 Article 7*, displacement compensation shall be paid equivalent to ten times the average annual income he/she secured during the five years preceding the expropriation of the land (*Proclamation No. 455/2005 Article 8(3)*). 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 favor 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.

Those with informal, or undocumented rights, and those without titles or use right (e.g. squatters, encroachers) are eligible for specific assistance. Such assistance recognizes some “typical claim to use rights or even ownership” after occupation of unused or unprotected lands has been established. Informal use-rights are likely to have structures or land improvements that are eligible for compensation, as stated in *Proclamation No. 455/2005*.

In general, valuation of property is to be carried out by a certified private or public institution or private consultants as per the valuation formulae (*Proclamation No. 455/2005 Article 9*). The committee must be made up of experts with relevant qualifications (*Proclamation No. 455/2005 Article 10*). This must be not more than 5 experts in rural areas and be designated by the *woreda* or urban administration. A specialized committee of experts may also be set up separately if required.

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 Regional authorities have a duty to ensure there is compliance with *Proclamation No. 455/2005* at the regional level, to provide technical and capacity building support in implementation at the regional level, and prepare the valuation formulae (*Proclamation No. 455/2005 Article 12*).

- All PSNP IV PW sub-projects will be Screened using the PW ESMF Screening procedure. For subprojects confirmed to have adverse impacts under OP 4.12, the DA will attempt to modify the design to avoid such impacts.
- Where it is not feasible to avoid the adverse impacts, the DA will obtain broad community support as part of the process of free, prior, and informed consultation to fully identify PAPs' views and ascertain their broad community support for the project. The Wereda ESMF Specialist will ensure that a Socio-Economic Survey is conducted to determine the scope and nature of the impacts. Then the Wereda ESMF Specialist will prepare a Resettlement Action Plan (RAP) in accordance with this RPF, addressing the adverse impacts and key social issues, compatible with cultural preferences, and incorporating a land acquisition plan.
- All RAPs will be provided to the federal PWCU for review and clearance.

Entitlements and Compensation

The people of Ethiopia have the constitutional right to improved living standards and sustainable development and the right to be consulted with respect to policies and projects affecting their communities (*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.” The words “prior” and “adequate” are in line with the Universal Declaration of Human Rights. This manifests rights to citizens for basic services and programs, including facilities to guarantee education, health, and housing.

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. This includes relocation expenses.

Dispute Resolution and Grievance Redress Procedures

The *kebele* (local level of government that is smaller than a *woreda*) shall discuss and agree to the proposed expropriation (*ANRS Proclamation No. 133/2006*). The *ANS Directive No. 7/2002* provides for the expeditious decision making system with regard to expropriation of urban land. It describes the composition of the jury members: a justice officer as chair person, two residents of the town where the land is located, and two representatives of government offices. The decision of the Appeals Court regarding basic land expropriation issues is final; however, an

appellant could take the cases related to the amount of compensation, delays in payment, or similar cases all the way up to the High Court.

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. Though *Proclamation No. 455/2005* provides for appeals from valuation decision, such action will not delay the transfer of possession of land to the proponent.

A complaint related to the amount of compensation shall be submitted to the regular court having jurisdiction (*Proclamation No. 455/2005 Article 11(1)*) if the administrative body for handling disputes has not yet been established. Appeals for dispute resolution may be referred to the High Court (*Regulation No. 51/2007*). 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 land holder 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*).

Comparison with World Bank OP 4.12

There are significant gaps between Ethiopian laws and regulations and the requirements for resettlement as laid out in OP 4.12. The Ethiopian laws and regulations are not completely compatible with the Bank's OP4.12 provisions. Below is a short discussion of the most important differences.

While OP 4.12 requires that compensation be completed prior to the start of the project's civil works, construction, or activities, there are no similar timetables set out in Ethiopian laws or regulations. Additionally, there is no provision for relocation assistance, transitional support, or the provision of civic infrastructure under Ethiopian law.

Additionally, Ethiopian law does not make any specific accommodation for squatters or illegal settlers, other than recognition of some use-rights, such as when settlers can claim rights to the land. OP 4.12 requires that affected communities be consulted regarding project implementation and resettlement. Affected communities should also receive the opportunity to participate, implement, and monitor resettlement. However, Ethiopian law states that, when it is determined that a right of way must be established, the expropriation rights of the State take precedence, although the *Constitution* protects the individual's use-rights.

Ethiopian law makes no specific accommodations for potentially vulnerable groups such as women, children, the elderly, ethnic minorities, indigenous people, the landless, and those living under the poverty line. These groups are at highest risk to experience negative effects due to resettlement, and should receive special consideration during the preparation of a resettlement policy framework to assure that they can maintain at least the same standard of living after displacement takes place.

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

Part VII: Compensation for Land and Other Assets

The RPF guidelines apply to public works under PSNP IV, whether or not they are directly funded in whole or in part by PSNP IV. The RPF applies to activities of community sub-projects or household livelihood diversification rural enterprises affecting those who would be physically displaced or who would lose some or all access to resources, and regardless of the total number affected, the severity of impact, and their legal status (e.g. the RPF guidelines apply also to those with ill-defined or no title to the land).

The RPF provides special attention to the needs of vulnerable groups among the PAPs, especially poorer households, including the landless, elderly and disabled, women and children, vulnerable groups and ethnic minorities, and other historically disadvantaged.

The activities in PSNP IV that could potentially have some land acquisition or restriction of access include the following: (a) rural feeder roads; (ii) social infrastructure; (iii) small-scale irrigation schemes; (iv) water supply subprojects (ponds, shallow wells, cisterns, water pipe line extension, spring development); (v) health posts; and (vi) rangeland management.

If community members elect to voluntarily donate land/assets without compensation, they must be fully informed about the project and its grievance redress arrangements ahead of the agreement, and it must be documented that this act is performed freely and voluntarily, without any coercion.

Although the exact number and locations of the projects are unknown, the following categories of PAP will be used in identifying the groups of PAPs for the purposes of determining impacts:

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

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

Underserved and Vulnerable groups of people. These groups are tied to their traditional or customary lands and natural resources, but these lands might not be under legal ownership pursuant to national law. Therefore, land-take might impact them seriously, and the project will avoid, and if not feasible, will document land-take and use with the PAPs. They will be informed of their rights under national laws, including any national laws recognizing customary rights or use and the project will offer them adequate compensation as stated in the entitlement matrix together with culturally appropriate development opportunities. Furthermore, PSNP IV will identify the vulnerable members in these households, such as those who are too old or too ill; children; those living with HIV/AIDS; women; unemployed youth; minority ethnic groups, etc. Households headed by women that depend on sons, brothers, and others for support are especially vulnerable. Similarly, households with elderly or seriously ill persons are eligible for additional support.

In the RAP,

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

Screening by Wereda ESMF Focal Persons in conjunction with the Wereda Valuation and Compensation Committee: This process would lead to the creation of a list of the number and types of infrastructure (including buildings or other structures) that PW sub-projects will construct that may potentially involve acquisition of land, resettlement and/or reduced access to natural resources. This list will be presented to affected communities using a sensitization and consultation process. These consultations will be documented for each site (sub-project). In the case where sub-projects result in reduced access to natural resources, particularly for mobile populations the consultations will determine alternative but commensurate sources so that livelihoods are not affected. Measures to assist affected persons in their efforts to improve their livelihood will be documented. The project will also document methods and procedures by which communities will identify and choose potential mitigating or compensating measures to be provided those adversely affected and procedures by which adversely community members will be decide among the options available to them.

RAP Preparation. A consultative and participatory process for preparing a RAP will be started, as follows:

- (i) A socio-economic survey will be completed to determine scope and nature of resettlement impacts.
- (ii) The socio-economic study will be carried out to collect data in the selected sub-project sites.
- (iii) The socio-economic assessment will focus on the potential affected communities, including some demographic data, description of the area, livelihoods, the local participation process, and establishing baseline information on livelihoods and income, landholding, etc.

Annex 2 sets out the detailed requirements for the RAP in detail. In summary, the RAP contains the following information:

- (i) Baseline Census;
- (ii) Socio-Economic Survey;
- (iii) Specific Compensation Rates and Standards;
- (iv) Entitlements related to any additional impacts;
- (v) Site Description;
- (vi) Programs to Improve or Restore Livelihoods and Standards of Living;
- (vii) Detailed cost estimates and Implementation Schedule.

The RAP will be prepared by the *woreda* team established to review sub-projects triggering OP 4.12, in collaboration with the Wereda Valuation and Compensation Committee. Once developed, the RAP will be appraised and endorsed by respective *woreda* development committees, and submitted to the Regional PWFU for review, who will forward it to the federal PWCU for approval. The Regional PWFUs will assign suitable specialists to assist with the reviews.

The RPF procedure is followed for the implementation of each PSNP IV PW sub-project which has the potential to cause physical relocation, loss of shelter, loss of assets, or reduced access to assets.

The following guidelines are used when a RAP is developed.

- (i) Consultation and participatory approaches. A participatory approach is adopted to initiate the compensation process. The consultations must start during the planning stages when the technical designs are being developed, and at the land selection/screening stage. The process, therefore, seeks the involvement of PAPs throughout the census for identifying eligible PAPs and throughout the RAP preparation process.
- (ii) Disclosure and notification. All eligible PAPs are informed about the PSNP IV PW subprojects and the RAP process. A cut-off date is established as part of determining PAPs eligibility. In special cases where there are no clearly identifiable owners or users of the land or asset, the RAP team must notify the respective local authorities and leaders. A “triangulation” of information – affected persons; community leaders and representatives; and other government agency; land valuation expert) – may help to identify eligible PAPs. The RAP must notify PAPs about the established cut-off date and its significance. PAPs must be notified both in writing and by verbal notification delivered in the presence of all the relevant stakeholders.
- (iii) Documentation and verification of land and other assets. The government authorities at both *woreda* and community local levels; community elders and leaders; will arrange meetings with PAPs to discuss the compensation and valuation process. For each individual or household affected by the sub-project, the RAP preparation team will complete a Compensation Report containing necessary personal information on the PAPs and their household members; their total land holdings; inventory of assets affected; and demographic and socio-economic information for monitoring of impacts. This information will be documented in a Report, and ideally should be witnessed by an independent or locally acceptable body (e.g. Resettlement Committee). The Reports will be regularly updated and monitored.
- (iv) Compensation and valuation. All types of compensation will be clearly explained to the individual and households involved. These refer especially to the basis for valuing the land and other assets. Once such valuation is established, the *woreda* development committee will produce a Contract or Agreement that lists all property and assets being acquired by the sub-project and the types of compensation selected. These options include in-kind (e.g. replacement housing) and cash compensation. All compensation should occur in the

presence of the affected persons and the community local leaders. Acquired assets will be compensated at replacement costs, and in calculating replacement cost, depreciation of structures and assets is not taken into account, nor is the value of materials salvaged by the PAP from an asset (e.g. building materials, the pump from a well etc.) acquired under a community project. For houses and other structures, the replacement value, if provided as cash compensation, is the market costs of materials to build a similar or better structure than the one affected, plus costs of labor/contractors, and the cost of any registration and transfer taxes. For agricultural land, the replacement cost is the pre-project or pre-displacement (whichever is higher) market value of land that is of equal size, or use plus the cost of any registration and transfer taxes.

Displaced persons/families will receive relocation assistance to cover (i) the costs of moving from their previous to their new location, and (ii) an allowance equal to the local average costs of living during a two month transition period to resettle in their new location of residence or business.

- (i) Community payments. Although most sub-projects do not normally take land and other assets belonging to a community, such as a community center, school, or sacred site, if this occurs in a sub-project, the community (as a whole) will be compensated. This compensation will be in the form of reconstruction of the facility (in case of damages) or replacement at least the same standard or equivalent or better standard required by local planning regulation. Examples of community compensation are expansion of grazing grounds; rehabilitation of school buildings, public toilets, health facilities; installation of wells or pumps; creation of market places; and reconstruction of community roads.
- (ii) Grievance procedure. Resolution of different types of grievances regarding land acquisition, resettlement and/or reduced access to natural resources will be attempted at different levels:
 - Solutions to grievances related to land acquisition impacts or reduced access to natural resources should be pursued at the community level with facilitation by Subproject RAP team together with design consultants in order to find technical solutions that avoid or further minimize the need for land acquisition or reduced access to natural resources use.
 - Solutions to grievances related to voluntary land donations (e.g. pressure on individuals to donate land) or sale of private land for project use should likewise be attempted at the community level with facilitation by the Wereda ESMF Specialist, assisted by other specialists as appropriate. The project team will describe the process for resolving disputes relating to reduced access to natural resources use that might arise between or among communities, and grievance that may arise from members of communities who are dissatisfied with community planning measures, or actual implementation
 - Solutions to grievances related to compensation amounts, delays in compensation payments or provision of different types of resettlement assistance should be pursued directly by the designated RAP team through liaison with the relevant actors.
 - Arbitration by appropriate local institutions such as Local Authorities, including a Resettlement or Land Committee and through community leaders
 - Where satisfactory solutions to grievances cannot be achieved, the aggrieved party may take the matter before the courts.

The sub-project RAP team will ensure that community members and in particular PAPs are informed about the avenues for grievance redress, and will maintain a record of grievances received, and the result of attempts to resolve these. This information will be entered into the PSNP IV Management Information System (MIS) and be included in the regular progress reporting. All PAPs will be informed about how to register grievances or complaints, including specific concerns about compensation and relocation.

The Entitlements Matrix below defines the eligibility for compensation and/or rehabilitation assistance for impacts/losses for different types of assets for different categories of project affected persons.

Table 2. Entitlement Matrix

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

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
		holder	five years preceding the expropriation of the land. Relocation assistance (costs of shifting + assistance in re-establishing economic trees + allowance up to a maximum of 12 months while short- term crops mature Relocation assistance (costs of shifting + assistance in re-establishing economic trees + allowance up to a maximum of 12 months while short- term crops mature) Relocation assistance (costs of shifting + allowance).
Commercial land	Land used for business partially affected Limited loss	Title holder/ business owner	Cash compensation for affected land, taking into account market values, where applicable Opportunity cost compensation equivalent to 5% of net annual income based on tax records for previous year (or tax records from comparable business, or estimates where such records do not exist).
		Business owner is lease holder	Opportunity cost compensation equivalent to 10% of net annual income based on tax records for previous year (or tax records from comparable business, or estimates where such records do not exist)
	Assets used for business severely affected If partially affected, the remaining assets become insufficient for business purposes	Title holder/ business owner	Land for land replacement or compensation in cash according to PAP's choice. Land for land replacement will be provided in terms of a new parcel of land of equivalent size and market potential with a secured tenure status at an available location which is acceptable to the PAP. Transfer of the land to the PAP shall be free of taxes, registration, and other costs. Relocation assistance (costs of shifting + allowance) Opportunity cost compensation equivalent to 2 months net income based on tax records for previous year (or tax records from comparable business, or estimates)
		Business person is lease holder	Opportunity cost compensation equivalent to 2 months net income based on tax records for previous year (or tax records from comparable business, or estimates), or the relocation

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
			allowance, whichever is higher. Relocation assistance (costs of shifting) Assistance in rental/ lease of alternative land/ property (for a maximum of 6 months) to reestablish the business.
Residential land	Land used for residence partially affected, limited loss Remaining land viable for present use.	Title holder	Cash compensation for affected land, taking into account market values, where applicable
		Rental/ lease holder	Cash compensation equivalent to 10% of lease/ rental fee for the remaining period of rental/ lease agreement (written or verbal)
		Title holder	Land for land replacement or compensation in cash according to PAP's choice. Land for land replacement shall be of minimum plot of acceptable size under the zoning law/ s or a plot of equivalent size, whichever is larger, in either the community or a nearby resettlement area with adequate physical and social infrastructure systems as well as secured tenure status. When the affected holding is larger than the relocation plot, cash compensation to cover the difference in value. Transfer of the land to the PAP shall be free of taxes, registration, and other costs. Relocation assistance (costs of shifting + allowance)
	Land and assets used for residence severely affected Remaining area insufficient for continued use or becomes smaller than minimally accepted under zoning laws	Rental/ lease holder	Refund of any lease/ rental fees paid for time/ use after date of removal Cash compensation equivalent to 3 months of lease/ rental fee Assistance in rental/ lease of alternative land/ property Relocation assistance (costs of shifting + allowance)

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
Buildings and structures	Structures are partially affected	Owner	Cash compensation for affected building and other fixed assets
	Remaining structures viable for continued use		Cash assistance to cover costs of restoration of the remaining structure
		Rental/lease holder	Cash compensation for affected assets (verifiable improvements to the property by the tenant). Disturbance compensation equivalent to two months rental costs
	Entire structures are affected or partially affected	Owner	Cash compensation for entire structure and other fixed assets without depreciation, or alternative structure of equal or better size and quality in an available location which is acceptable to the PAP. Right to salvage materials without deduction from compensation Relocation assistance (costs of shifting + allowance) Rehabilitation assistance if required (assistance with job placement, skills training)
		Rental/lease holder	Cash compensation for affected assets (verifiable improvements to the property by the tenant) Relocation assistance (costs of shifting + allowance equivalent to four months rental costs) Assistance to help find alternative rental arrangements Rehabilitation assistance if required (assistance with job placement, skills training)
		Squatter/informal dweller	Cash compensation for affected structure without depreciation Right to salvage materials without deduction from compensation Relocation assistance (costs of shifting + assistance to find alternative secure accommodation preferably in the community of residence through involvement of the project) Alternatively, assistance to find accommodation in rental housing or in a squatter settlement scheme, if available)

Land and Assets	Types of Impact	Person(s) Affected	Compensation/Entitlement/Benefits
			Rehabilitation assistance if required assistance with job placement, skills training)
		Street vendor (informal without title or lease to the stall or shop)	Opportunity cost compensation equivalent to 2 months net income based on tax records for previous year (or tax records from comparable business, or estimates), or the relocation allowance, whichever is higher. Relocation assistance (costs of shifting) Assistance to obtain alternative site to re-establish the business.
Standing crops	Crops affected by land acquisition or temporary acquisition or easement	PAP (whether owner, tenant, or squatter)	Cash compensation equivalent to ten times the average annual income s/he secured during the five years preceding the expropriation of the land.
Trees	Trees lost	Title holder	Cash compensation based on type, age and productive value of affected trees plus 10% premium
Temporary acquisition	Temporary acquisition	PAP (whether owner, tenant, or squatter)	Cash compensation for any assets affected (e.g. boundary wall demolished, trees removed)

Part VIII: Implementation Schedule, Budget and Arrangements for Funding

Budget

It is difficult at this stage to provide an estimate of the cost of resettlement and compensation activities related to the implementation of PSNP IV, since there is no experience in previous phases of the PSNP of permitting subprojects with potential impacts under OP 4.12. Thus the cost implications cannot be determined in advance.

Relevant sub-project under PSNP IV will have to assess budget needs related with compensation and resettlement in accordance with principles in this RPF, and identify and secure the source of funding.

Arrangements for Funding

According to *Involuntary Resettlement* policy OP 4.12, “the [World] Bank does not disburse against cash compensation and other resettlement assistance paid in cash, or against the cost of

land (including compensation for land acquisition). However, it may finance the cost of land improvement associated with resettlement activities.” Thus the World Bank loan under which the PSNP IV Project will be funded cannot finance cash compensation or land acquisition for resettlement purposes.

Compensation and land acquisition for resettlement sites (if any) will be funded by the government. This requirement should be an excellent incentive to minimizing land impacts through appropriate design, siting and routes.

An indicative RAP budget outline can be found in Table I below.

Table 3: Indicative Outline of a RAP Budget

Asset acquisition	Amount or number	Total estimated cost	Agency responsible
Land			
Structure			
Crops and economic tress			
Community infrastructure			
Land Acquisition and Preparation			
Land			
Structures			
Crops areas and others			
Community infrastructure			
Relocations			
Transfer of possessions			
Installation costs			
Economic Rehabilitation			
Training			
Capital Investments			
Technical Assistance			
Monitoring			

Contingency			
#	Item	Costs	Assumptions
1	Compensation for loss of Land	/hectare	For land acquisition purposes, based on Ethiopian average market cost, or from similar projects
2	Compensation for loss of Crops	/hectare of farm lost	Includes costs of labor invested and average of highest price of staple food crops and Ethiopian market prices
3	Compensation for loss of access to pastoralists	If applicable	Those affected would be provided with shared access, or alternate routes (decision agreed through consultation and participation of all)
4	Compensation for loss of access to fishing resources.	If applicable	Data provided from the revised socio-economic study will determine market values of catch, fish products etc.
5	Compensation for Buildings and Structures	If applicable	This compensation may be in-kind or cash. Costs for basic housing needs should include ventilated pit latrines, outside kitchen, and storage.
6	Compensation for Trees	/year/tree	Includes costs of labor invested and average of highest price of trees (and tree products) and Ethiopian market prices
7	Cost of Relocation Assistance/Expenses	/household	This cost reflects the moving and transportation allowance
8	Cost of Restoration of Individual Income		Assumed to be higher than the GDP/capita in Ethiopia
9	Cost of Restoration of Household Income		These costs reflect the livelihood restoration program of the RAP
10	Cost of Training Farmers, pastoralists and other PAPs		This is a mitigation measure involving capacity building and involves PAPs and affected

			communities
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The *woreda* development committee with the technical support of the Regional PWFU will need to prepare an appropriate Resettlement Budget. For this purpose the federal PWCU will prepare a short guideline.

Part IX: Public Consultation and Disclosure Plan

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

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

Part X: Monitoring and Evaluation of Impacts

Throughout implementation, PSNP IV is required to carry out safeguards monitoring to ensure that the Project brings intended benefits, while ensuring that potential adverse environmental and social impacts are avoided or minimized. Safeguards monitoring will include environmental and social safeguards performance reviews within the PW Reviews to assess compliance with safeguards instruments, determine lessons learnt and provide guidance for improving future performance. Reporting formats will also include indicators on safeguards and a summary of the consultation processes undertaken after the initial screening to identify sub-projects with social impacts. The document should review arrangements for participatory monitoring of project activities as they relate to both positive and negative impacts on persons within the project area, particularly on reduced access to natural resource use, and for monitoring the effectiveness of measures taken to improve (or at minimum restore) incomes and living standards

Moreover, the Woreda ESMF Specialist will be expected to develop and implement a Monitoring and Evaluation Plan (MEP). The main indicators that the MEP will measure include: (i) impacts on affected individuals, households, and communities to be maintained at their pre-project standard of living, and better; (ii) improvement of communities affected by the project; and (iii) management of disputes or conflicts. In order to measure these impacts, the RAP

identifies the specific indicators to be monitored; define how they will be measured on a regular basis; and identify key monitoring milestones (e.g. at mid-point of the RAP implementation process).

The *Woreda* Development Committee, with the technical support of the Woreda ESMF Specialist are responsible for:

- Implementation of RAP, monitoring and timely reporting to the Regional PWFU.
- Providing timely information to the project about all resettlement and compensation issues arising as a result of RAP related activities
- Identify any grievances, especially those that have not yet been resolved at the local level and which may require resolution at the higher levels (e.g. by the PWFU);
- Document completion of project resettlement and compensation that are still pending, including for all permanent and temporary losses;

The Regional PWFU will establish a reporting system for each sub-project RAP that will:

- (i) Provide timely information to the project about all resettlement and compensation issues arising as a result of RAP related activities;
- (ii) Identify any grievances, especially those that have not yet been resolved at the local level and which may require resolution at the higher levels;
- (iii) Document completion of project resettlement and compensation that are still pending, including for all permanent and temporary losses;
- (iv) Evaluate whether all PAPs have been compensated in accordance with the requirements of this RPF and that PAPs have better living conditions and livelihoods; and
- (v) Identify mitigation measures, as necessary, when there are significant changes in the indicators that may require strategic interventions (e.g. vulnerable groups are not receiving sufficient support from the sub-project).

The Regional PWFU will maintain, together with local officials, basic information on all physical or economic displacement arising from the sub-project. This includes an update, for example, on a quarterly basis, of the following:

- (i) Number of sub-projects requiring preparation of a RAP;
- (ii) Number of households and individuals physically or economically displaced by each sub-project;
- (iii) Length of time from sub-project identification to payment of compensation to PAPs;
- (iv) Timing of compensation in relation to commencement of physical works;
- (v) Amount of compensation paid to each PAP household (if in cash), or the nature of compensation (if in kind);
- (vi) Number of people raising grievances in relation to each sub-project;
- (vii) Number of unresolved grievances.

The Federal PWCU and Regional PWFUs will review these statistics to determine whether the RAP implementation arrangements, as defined in this RPF, are effective in addressing OP 4.12-

related issues. Financial records will be maintained to determine the final cost of RAP implementation. The following indicators can be used to monitor implementation of the RAP.

Table 4: Indicators of RAP Impacts

Monitoring (of Issues)	Evaluation (of Impacts)
Number of compensation (and valuation) issues not completed	Changes (+/-) in PAPs conditions during transition process
Number of sub-projects unable to settle compensation after two years	Changes (+/-) in PAPs income and livelihood conditions
Number of grievances filed	Quality of grievances or disputes resolved (qualitative)
Number of livelihood restoration programs completed	Changes (+/-) in affected households income levels
Pre-subproject production versus present production levels (crops for crops, land for land)	Equal or improved production per affected household/homestead

List of Annexes:

Annex 1	World Bank Resettlement Policy Framework (Excerpt from World Bank Operational Policy 4.12, Involuntary Resettlement)
Annex 2	Annotated Outline for Preparing a Resettlement Action Plan (RAP)
Annex 3	Sample Grievance and Resolution Form
Annex 5	Sample Table of Contents for Consultation Reports
Annex 6	Glossary of Terms
Annex 7	Relevant Laws
Annex 8	Entitlement Matrix
Annex 9	Consultation on RPF

ANNEX 1: World Bank Resettlement Policy Framework (RPF)

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

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

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

Resettlement Policy Framework

For sector investment operations that may involve involuntary resettlement, the Bank requires that the project implementing agency screen subprojects to be financed by the Bank to ensure their consistency with this OP. For these operations, the borrower submits, prior to appraisal, a resettlement policy framework that conforms to this policy (see [Annex A](#)<http://wbln0011.worldbank.org/Institutional/Manuals/OpManual.nsf/OPolw/C19E5F010F97E04485256B180070DD3E?OpenDocument><http://inweb18.worldbank.org/Institutional/Manuals/OpManual.nsf/58AA50B14B6BC071852565A30061BEB6/46FC304892280AB785256B19008197F8?OpenDocument><http://wbln0018.worldbank.org/Institutional/Manuals/OpManual.nsf/whatnewvirt/CA2D01A4D1BDF58085256B19008197F6?OpenDocument>, paragraphs 23-25). The framework also estimates, to the extent feasible, the total population to be displaced, and the overall resettlement costs.

For financial intermediary operations that may involve involuntary resettlement, the Bank requires that the financial intermediary (FI) screen subprojects to be financed by the Bank to ensure their consistency with this OP. For these operations, the Bank requires that before appraisal the borrower or the FI submit to the Bank a resettlement policy framework conforming to this policy (see [Annex A](#)<http://wbln0011.worldbank.org/Institutional/Manuals/OpManual.nsf/OPolw/C19E5F010F97E04485256B180070DD3E?OpenDocument><http://inweb18.worldbank.org/Institutional/Manuals/OpManual.nsf/58AA50B14B6BC071852565A30061BEB6/46FC304892280AB785256B19008197F8?OpenDocument><http://wbln0018.worldbank.org/Institutional/Manuals/OpManual.nsf/whatnewvirt/CA2D01A4D1BDF58085256B19008197F6?OpenDocument>, paragraphs 23-25). In addition, the framework includes an assessment of the institutional capacity and procedures of each of the FIs that will be responsible for subproject financing. When, in the assessment of the Bank, no resettlement is envisaged in the subprojects to be financed by the FI, a resettlement policy framework is not required. Instead, the legal agreements specify the obligation of the FIs to obtain from the potential sub-borrowers a resettlement plan consistent with this policy if a subproject gives rise to resettlement. For all subprojects involving resettlement, the resettlement plan is provided to the Bank for approval before the subproject is accepted for Bank financing.

For other Bank-assisted project with multiple subprojects <http://wbln0011/Institutional/Manuals/OpManual.nsf/58AA50B14B6BC071852565A>

30061BEB6/8BC51CC87982E5BD85256B18006D964D?OpenDocument26 that may involve involuntary resettlement, the Bank requires that a draft resettlement plan conforming to this policy be submitted to the Bank before appraisal of the project unless, because of the nature and design of the project or of a specific subproject or subprojects (a) the zone of impact of subprojects cannot be determined, or (b) the zone of impact is known but precise sitting alignments cannot be determined. In such cases, the borrower submits a resettlement policy framework consistent with this policy prior to appraisal (see [Annex A](#)<http://lnweb18.worldbank.org/Institutional/Manuals/OpManual.nsf/58AA50B14B6BC071852565A30061BEB6/46FC304892280AB785256B19008197F8?OpenDocumenthttp://wbln0018.worldbank.org/Institutional/Manuals/OpManual.nsf/whatnewvirt/CA2D01A4D1BDF58085256B19008197F6?OpenDocument>, paragraphs 23-25). For other subprojects that do not fall within the above criteria, a resettlement plan conforming to this policy is required prior to appraisal.

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

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

ANNEX 2: Annotated Outline for Preparing a Resettlement Action Plan (RAP)

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

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

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

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

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

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

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

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

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

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

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

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

The institutional framework governing RAP implementation generally covers:

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

- (iii) Activities for enhancing the institutional capacities of agencies, offices, and civil society groups, especially in the consultation and monitoring processes.

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

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

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

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

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

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

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

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

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

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

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

Grievance procedures: The RAP should provide mechanisms for ensuring that an affordable and accessible procedure is in place for third-party settlement of disputes arising from resettlement. These mechanisms should take into account the availability of judicial and legal services, as well as community and traditional dispute settlement mechanisms.

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

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

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

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

ANNEX 3: Sample Grievance and Resolution Form**Name (Filer of Complaint):** _____**ID Number:** _____ (PAPs ID number)**Contact Information :** _____ (Village ; mobile phone)**Nature of Grievance or Complaint:**

<u>Date</u>	<u>Individuals Contacted</u>	<u>Summary of Discussion</u>
_____	_____	_____

Signature _____ Date: _____

Signed (Filer of Complaint): _____

Name of Person Filing Complaint : _____ (if different from Filer)

Position or Relationship to Filer: _____

Review/Resolution

Date of Conciliation Session: _____

Was Filer Present? : Yes ☐ No ☐Was field verification of complaint conducted? Yes ☐ No ☐

Findings of field investigation:

Summary of Conciliation Session**Discussion:** _____

Issues _____ -

Was agreement reached on the issues? Yes No

If agreement was reached, detail the agreement below:

If agreement was not reached, specify the points of disagreement below:

Signed (Conciliator): _____ Signed (Filer): _____

Signed: _____

Independent Observer

Date: _____

ANNEX 4: Sample Table of Contents for RAP Consultation Reports**1.0 Introduction.**

1.1 Project Description

1.2 Applicable Laws, Regulations, and Policies to Public Engagement

1.3 Project Lenders

2.0 Stakeholder Analysis

2.1 Areas of Influence/Stakeholders

2.2 Description of Stakeholders

3.0 Stakeholder Engagement

3.1 Previous Consultation Activities

3.2 Implemented Community Engagement Activities

3.3 Project Sponsor's Community Engagement Plan

3.3.1 Phase 1 – Initial Stakeholder Consultation

3.3.2 Phase 2 – Release of the RAP Terms of Reference

3.3.3 Phase 3 – Release of RAP Consultation Report

4.0 Summary of Key Issues**5.0 Future Consultation Events**

5.1 Phase 4 – Release of the RAP

5.2 Phase 5 – Ongoing project Communications

6.0 Disclosure Plan

Tables

Table 2.1: Consultation Activity Summary

Table 3.1: Initial Government Agency Consultations

Table 3.2: Summary of NGO Meetings

Table 3.3: Sub-County Committee Composition

Table 3.4: Summary of Community Discussions

Table 3.5: Local Community Comments

Table 4.1: Summary of Key Issues and Responses

Table 5.1: Summary of Future Consultation Activities per Stakeholder Group

TEMPLATE Table on Consultation Activity Summary

Location and Communities Represented	Meeting Dates	Attendees	Discussion Summary
Example:			

ANNEX 5: Glossary of Terms

Census	A field survey carried out to identify and determine the number of Project Affected Persons (PAPs) or Displaced Persons (DPs) as a result of land acquisition and related impacts. The census provides the basic information necessary for determining eligibility for compensation, resettlement, and other measures emanating from consultations with affected communities and the local government institutions.
Compensation	The payment in kind, cash or other assets given in exchange for the acquisition of land including fixed assets, is called compensation. These include other impacts resulting from activities to rehabilitate or cushion the impacts from displacement.
Cutoff Date	The cut-off date is the date of commencement of the census of PAPs or DPs within the EASP program area boundaries. This is the date on and beyond which any person whose land is occupied for EASP program, will not be eligible for compensation.
Grievance Mechanism	The RPF contains a grievance mechanism based on policies and procedures that are designed to ensure that the complaints or disputes about any aspect of the land acquisition, compensation, resettlement, and rehabilitation process, etc. are being addressed. This mechanism includes a procedure for filing of complaints and a process for dispute resolution within an acceptable time period.
Implementation Schedule	The RPF contains an implementation schedule that outlines the time frame for planning, implementation, and monitoring and evaluation of the RAPs for sub-projects, if applicable.
Land	Land refers to all types of agricultural and/or non-agricultural land and any structures thereon whether temporary or permanent and which may be acquired by the project.
Land Acquisition	Land acquisition means the possession of or alienation of land, buildings, or other assets thereon for purposes of the project.
Project Affected Persons (PAPs) or Displaced Persons (DPs)	Project affected persons (PAPs) or Displaced Persons (DPs) are persons affected by land and other assets loss as a result of EASP activities. These person(s) are affected because they may lose, be denied, or be restricted access to economic assets; lose shelter, income sources, or means of livelihood. These persons are affected whether or not they will move to another location. Most often, the term DPs applies to those who are physically relocated. These people may have their: standard of living adversely affected, whether or not the Displaced Person will move to another location ; lose right, title, interest in any houses, land (including premises, agricultural and grazing land) or any other fixed or movable assets acquired or possessed, lose access to productive assets or any means of livelihood.
Project Impacts	Impacts on the people living and working in the affected areas of the project, including the surrounding and host communities are assessed as part of the overall

	evaluation of the project.
Project Implementing Unit (PIU)	Some projects make use of project implementing units (PIUs), which are generally separate units within the project recipient's agency. The PIU is often composed of full time staff devoted to implementing the project, and have been encouraged to have separate teams with environment and social specialists who can carry out the activities, for example, as outlined in the RPF or RAP.
Rehabilitation Assistance	Rehabilitation assistance is the provision of development assistance in addition to compensation such as livelihood support, credit facilities, training, or job opportunities, needed to assist PAPs or DPs restore their livelihoods.
Replacement Cost	Replacement cost refers to the amount sufficient to cover full recovery of lost assets and related transaction costs. The cost should be based on Market rate (commercial rate) according to Ethiopian laws for sale of land or property. It is normally calculated based on a willing buyer-willing seller basis, but also applies in Ethiopia to acceptable market valuation or from an assessment from the Land Commission and government valuer.
Resettlement Action Plan (RAP)	The RAP is a resettlement instrument (document) to be prepared when sub-project locations are identified. In such cases, land acquisition leads to physical displacement of persons, and/or loss of shelter, and /or loss of livelihoods and/or loss, denial or restriction of access to economic resources. RAPs are prepared by the implementing agency and contain specific and legal binding requirements to resettle and compensate the affected people before project implementation.
Resettlement Assistance	Resettlement assistance refers to activities that are usually provided during, and immediately after, relocation, such as moving allowances, residential housing, or rentals or other assistance to make the transition smoother for affected households.
Resettlement Policy Framework (RPF)	The RPF is an instrument to be used throughout the project's implementation. The RPF sets out the objectives and principles, organizational arrangements, and funding mechanisms for any resettlement, that may be necessary during implementation. The RPF guides the preparation of Resettlement Action Plans (RAPs), as needed, for sub-projects.
Rights and Entitlements	Rights and entitlements are defined for PAPs and DPs (with the cut-off date) and cover those losing businesses, jobs, and income. These include options for land-for-land or cash compensation. Options regarding community and individual resettlement, and provisions and entitlements to be provided for each affected community or household will be determined and explained, usually in an entitlement matrix.
Witness NGO or Independent Monitor	Some RPFs refer to a witness NGO or an independent monitor that can be contracted to observe the compensation process and provide an independent assessment of the quality of the process. These are usually NGOs or other agencies that are not directly involved in the project and have a reputation for independence and integrity.

ANNEX 6: Relevant Laws

Property Rights and Land Rights	Law/Regulation
Ownership of land is now vested in the State and Ethiopian citizens have only a use right (usufruct) over the land. This gives the user ownership of his/her possessions with the right to benefit from the fruits of his/her labor. This includes crops, perennial crops, trees for timber etc. found on the land or any other permanent fixtures such as residential houses, business installations, stores and fences, amongst others. This overturned the 1960 Constitutional degree of private ownership of land.	Public Ownership of Rural Land (<i>No 31/1975</i>)
In 1975 Ethiopia nationalized urban land and extra houses (Proc. No. 47/1975). Residents have usage rights, urban centers must take inventory of land and plan sustainable land use. Urban residents get one plot of land for personal housing.	Proclamation No. 47/1975
A) All urban lands shall be property of the Government. B) Tenant shall be free from payment to the landowner. C) Any person or family owns only a single dwelling.	Proclamation No. 47/1975, Article 2(3), Article 6(1) and Article 11(1)
According to these proclamations, land holders have open-ended usufruct rights over their possessions (ie there is no time limit on this usufruct), subject to a proof of permanent physical residence, ability to farm continuously and should meet administrative dues and obligations. In rural villages, farm households have a legal right to possess land through state mandated peasant associations.	Constitution of Ethiopia (No 1/1987, Article 13(2) and No 1/1995, Article 40(3))
Proclamation N° 89/1997 establishes the principles of rural land administration, which is devolved to the Regions <ul style="list-style-type: none"> states that each Regional Council shall enact a law on land administration, which is in conformity with the provisions on environmental protection and federal utilization policies. 	Proclamation N° 89/1997 "Federal Rural Land Administration Proclamation"
Proclamation N° 89/1997 recognizes the lawfulness of "holding rights" over land;	Proclamation N° 89/1997 "Federal Rural Land Administration Proclamation"
Proclamation N° 89/1997 confirms and details the Constitution principle that holding rights on land can be assigned to peasants and nomads, and that these are to be secured from eviction and displacement;	Proclamation N° 89/1997 "Federal Rural Land Administration Proclamation"
It provides various details with respect to redistribution of land,	Proclamation N° 89/1997

Property Rights and Land Rights	Law/Regulation
including that this redistribution is a Region responsibility It establishes the possibility for Regions to perceive fees for the use of land and forest.	"Federal Rural Land Administration Proclamation"
The leasehold policy (Proc No. 80/1993) allows individuals and companies to attain access to land through auction, allocation, or lottery.	Proclamation No. 80/1993
Article 26 of the Constitution states that "Everyone shall have the right to his privacy and physical integrity. This right shall include protection from searches of his person, his home, his property and protection from seizure of property under his possession."	Constitution Article 26
The 1995 Constitution of the Ethiopia, <i>Article 40(2), 40(4), 40(5) and 40(8)</i> includes legal frameworks that protect the Ethiopian citizen's rights to private property and set conditions for expropriation of such property for state or public interests.	Constitution Article 40(2) Constitution Article 40(4) Constitution Article 40(5) Constitution Article 40(8)
Article 40(3) vests the right to ownership of rural and urban land, as well as of all natural; resources, in the government and in the peoples of Ethiopia;	Constitution Article 40(3)
Article 40(3) recognizes land as a common property of the Nations, Nationalities of, and peoples of Ethiopia and prohibits sale or any other exchange of land;	Constitution Article 40(3) Proclamation N° 89/1997 "Federal Rural Land Administration Proclamation"
Article 40(4) guarantees the right of farmers to obtain land without payment and the protection against eviction from their possession; and	Constitution Article 40(4)
Article 40(5) guarantees the right of pastoralists to free land for grazing and cultivation as well as the right not to be displaced from their own lands.	Constitution Article 40(5)
Article 40(7) states that "Every Ethiopian shall have the full right to the immovable property he builds and to the permanent improvements he brings about on the land by his labour or capital. This right shall include the right to alienate, to bequeath, and, where the right to use expires, to remove his property, transfers his title, or claim compensation for it.	Constitution Article 40(7)
Article 41(9) sets out the State responsibilities to protect and preserve historical and cultural legacies.	Constitution Article 41(9)

Property Rights and Land Rights	Law/Regulation
The Research and Conservation of Cultural Heritage Proclamation No. 209/2000 of Ethiopia defines cultural heritage broadly as "anything tangible or intangible which is the product of creativity and labour of man in the pre-history and history times, that describes and witnesses to the evolution of nature and which has a major value in its scientific, historical, cultural, artistic and handcraft content."	Proclamation No. 209/2000
<ul style="list-style-type: none"> • Prior approval of the Authority for Research and Conservation of Cultural Heritage is required to remove from its original site of an immovable cultural heritage (Art. 21/1). 	Proclamation No. 209/2000, Article 21/1
<ul style="list-style-type: none"> • Whenever registered, movable cultural heritage is encountered during the execution of the project it is possible to remove such property by notifying the Authority in advance (Art. 21/2). 	Proclamation No. 209/2000, Article 21/2
ZikreHig Regulation No.6 2002 provides for the lease holding of urban land for a specified period of time. It regulates the lease period for different functions, grade of land and payment of lease. It regulates manners of expropriation of land. It regulates that land could be expropriated for public use against payment of compensation	ZikreHig Regulation No. 6/2002
Several Regions of Ethiopia have taken steps to develop regional land regulations.	<i>Regional Land Regulations</i> <i>Land use Administration Proclamation, (No 456/2005 Article 17(1))</i>
Eligibility for compensation is discussed in <i>Article 44(2)</i> of the 1995 Constitution and <i>Proclamation No 455/2005</i> . These two legal documents give entitlement only to those who have formal legal rights over their holdings (properties).	Constitution Article 44(2) Proclamation No 455/2005
<i>Proclamation No 455/2005, Article 2 (3)</i> stipulates that “Landholder” means an individual, government or private organization or any ...other ...organ which has legal personality and has lawful possession over the land to be expropriated and owns property situated thereon.”	Proclamation No 455/2005
Rural Land Administration and Land use Administration Proclamation (No. 456/2005 Article 17(1)) gives regional states the power to enact regional laws for rural land administrations. The regional laws are to be consistent with the Federal Constitution (No. 1/1995, Article 52(2) (d))	Proclamation No. 456/2005
Several regional states (including Amhara, Oromia and Tigray) are now building on the constitutional provisions to improve security of tenure, albeit within the general framework of State ownership of land. Leases are being introduced, that would guarantee lessees a long-term right of	<i>Land Tenure</i>

Property Rights and Land Rights	Law/Regulation
<p>usage.</p> <p>Where leases are concluded between a regional administration and peasant farmers, it does not seem that these leases are reflected in any cadastral documentation (including maps) kept at <i>woreda</i> or region level.</p>	
<p>“Non-owners like renters and business are eligible for relocation and other assistance in finding a new location, compensation at replacement value for any immovable assets, compensation for loss of income during transition, assistance for physical transfer and follow-up services.”</p>	Uncited
<p>“People without titles or use right (e.g. squatters, encroachers) will be for specific assistance. They typically claim use rights or even ownership after occupation of unused or unprotected lands. They are likely to have invested in structures or land improvements that are eligible for compensation.”</p>	Uncited

ANNEX 7. List of Participates in the Public Consultations on RPF**Amhara****Name, status, sex and age of participants at Libokemekem Woreda Shamo Godguadit Kebele**

NO	Name	Status	Sex	Age
1	Worku Dessalegn	Farmer	M	20
2	Desale Engdayehu	Farmer	M	50
3	Guadie Embiale	Farmer	M	52
4	Wagshum Beyene	Farmer	M	56
5	Yirsaw Tigabie	Kebele Cabinet	M	45
6	Belayhun Engdaw	Land admin committee	M	52
7	Endalkew Chanie	Watershed committee	M	27
8	Muche Ferede	Farmer	M	69
9	Mekuria Andargie	Farmer	M	45
10	Berie Taye	Farmer	M	21
11	Kiflie Garede	Farmer	M	46
12	Dires Yalew	Farmer	M	65
13	Getaneh Sintie	Kebele court Judge	M	38
14	Mengesha Asefa	Farmer	M	28
15	Bosena wellie	Farmer	F	40
16	Maralem Muche	Women affairs	F	29
17	Gebayenesh Engdaw	Farmer	F	39
18	Lalew Abie	Admin & security affairs	M	36
19	Abeba Yigzaw	Watershed comittee	F	40
20	Mastewal Wubit	Farmer	F	26
21	Bewuketu Mesfin	Cooperative leader	M	47
22	Mastewal Wubet	Farmer	F	26

Amhara:**Name, status ,sex and age of participants at Lay Gayint woreda 01 kebele**



















NO	Name	Status	Sex	Age
1	Zewudu Desalegn	Farmer	M	38
2	Engdashet Jenber	Farmer	M	70
3	Kes Abebaw Aber	Speaker of Kebele council	M	35
4	Asmare Tesema	Farmer	M	76
5	Adane Asmie	Land admin committee	M	42
6	Amerie Yimam	Farmer	M	65
7	Misgan Tadesse	Farmer	M	60
8	Chekolech Dessie	Farmer	F	43
9	Sintayehu Terefe	1 for 5 leader	F	42
10	Tritie Yibabie	Farmer	F	35
11	Yeshi Baye	Local arbitrator	F	58
12	Fentaye Admasu	Farmer	F	53
13	Godada Admasu	Farmer	F	55
14	Alemn timer Fentaye	Farmer	F	48
15	Siyoun Fentie	Farmer	M	35
16	Anley Amare	Farmer	F	48
17	Wuletaw mekonnen	Farmer	M	28
18	Debrie Tegegne	Farmer	F	60
19	Mebrie Addisie	Farmer	M	66
20	Alemn timer Wubie	Kebele Administrator	M	42

SNPR

PSNP IV ESMF and RPF Consultation HABP

Place of Discussion: Homacho, Gibe Woreda, SNPR

Date of Discussion/Interview: 13/09/2006 to May 21, 2014

No	Name	Status	Sex	Age	Signature
1	Lapiso Wolro	Comm-mes	M	30	
2	Eliso Lalago	Comm-mes	M	32	
3	Miskamo Sumeto	Comm-mes	M	29	
4	Datar Manichiche	Comm-mes	M	48	
5	Wolde Anna	Comm-mes	M	60	
6	Kebede Abame	Comm-mes	M	40	
7	Ayelech Eiko Cho	Comm-mes	F	35	
8	Adanech Gotaclaw	Comm-mes	F	28	
9	Dano Anulo	Comm-mes	F	50	
10	Kibinash Abayelul	Comm-mes	F	40	
11	Feladu Ate	Comm-mes	M	40	
12	Etike Dambelo	Comm-mes	F	45	
13	Abayech Gebure	Comm-mes	M	48	
14	Dagale Etogo	Comm-mes	M	42	
15	Selamo Gobore	Comm-mes	M	58	
16	Tumebo Fikre	Comm-mes	M	45	
17	Wotalema Tiramo	Comm-mes	F	35	
18	Amarech Abere	Comm-mes	F	34	

SNNPR

PSNP IV ESMF and RPF Consultation HABP:

Place of Discussion: Matiya Dange, Dalocha-woreda, Sitte Zone, SNNPR

Date of Discussion/Interview: 14/06/2006 EC / 22, 5, 2014

No	Name	Status	Sex	Age	Signature
1	Sirmolo Husen	Comm-mes	M	55	
2	Sharame Mohamed	Comm-mes	M	45	
3	Wabale Tawo	Comm-mes	M	70	
4	Yekes Husen	Comm-mes	M	42	
5	Mestawot Belayneh	Comm-mes	F	35	
6	Fedila Mussa	Comm-mes	F	35	
7	Wolde Tefera	Comm-mes	M	42	
8	Skurata Wabala	Comm-mes	M	37	
9	Kamila Nasir	Comm-mes	M	30	
10	Ritbati Mosa	Comm-mes	F	35	
11	Jemile Abdilselem	Comm-mes	F	31	
12	Abshir Jamal	Comm-mes	M	40	
13	Kustamo Mahamed	Comm-mes	M	60	
14	Nisir Ditanis	Comm-mes	M	55	
15	Nuri Ebro	Comm-mes	M	35	
16	SheNegash Mosa	Comm-mes	M	50	
17	Kemal Shejamel	Comm-mes	M	35	
18	Shunkute Jewar	Comm-mes	M	35	
19	Sultan Ferejo	Comm-mes	M	40	
20	Kofale Are				
20	Husen Shukure	Comm-mes	M	35	
21	Endeliskachew wuletaw	Comm-mes		35	

OROMIYA

PSNP IV ESMF and RPF Consultation

Place of Discussion: Koloba Bale of Sire WoredaDate of Discussion/Interview: 14/05/2014

No	Name	Status	Sex	Age	Signature
1	Tune Komate Shaba	Former	M	38	Tusi:
2	Husien Aisenumer	Former	M	42	Husien:
3	Abdujabar Kedir Pami	vice chairman	M	40	
4	Taher Kajaba Gure	beneficiaries	M	38	
5	Bekere Shum	Eiders	M	53	
6	Baicha Bati	Youth	M	38	
7	Medda Wajaye	beneficiary	F	40	OD R 78
8	Tesfaye Senje	beneficiary	M	35	
9	Asfaw Yimaam	"	M	45	
10	Muussan Abdurro	"	"	31	
11	Muhammed Kado	"	"	32	
12	Birke Asfaw	"	F	30	
13	Abish Kedir	"	M	31	
14	Debo Husea	"	M	42	
15	Amana Tolla	"	M	35	
16	Husea Boru	"	M	38	
17	Mellessa Badada	DA	"	32	
18	Ahmed Muhammed	"	"	30	
19	Dinku Mengistu	"	"	30	

OKOMIYA

PSNP IV ESMF and RPF Consultation

Place of Discussion: Koro Degaga kebele of Dadota woredaDate of Discussion/Interview: 13/05/2014

No	Name	Status	Sex	Age	Signature
1	Grenna Gdov	rebel chairman (Keb. Hebrat)	M	42	GA
2	Ahmed Sultan		M	26	Ast
3	Ahmed Kadir		M	30	Ast
4	Sultii Tusir		M	57	M. S. S.
5	Ahmed Keso		M	30	Ast
6	Abbu Mohamed		M	45	Tin
7	Mohamed Husen		M	40	mohamed
8	Sultan Haji		M	25	SULIYA
9	Aliy Jeylen		M	22	Ast
10	menza Abdule		M	28	menza
11	Husen Dore		M	55	
12	Teju Ahmed		M	24	tajisu
13	Gren Bedo		F	35	
14	Sofiya Abbu		F	25	
15	Ibrahim Jeta		M	50	Ibrahim
16	Mohamed Lenjisu		M	46	Mohamed
17	Jemal Mohamed		M	52	Jemal
18	Ahmed Lenjisu		M	43	Ahmed
19	Sultan Hirphayez		M	21	Sultan
20	Sultan Mohamed	DA	M	29	Ast
21	Ture Kadiro	Farmer	M	36	Ture

AFAR

PSNP IV ESMF and RPF Consultation

Place of Discussion: Adabaq woreda, Jeldi kebele

Date of Discussion/Interview: 30 May 2014

No	Name	Status	Sex	Age	Signature
1	Mohammed Liben Mohammed		M	25	
2	Hawei Oumer dedu		F	35	
3	Arebu Hamedu Liben		M	38	
4	Dehilei Hass Ali		F	36	
5	Medina Hassen Ali		F	46	
6	Ali Mohammed Gassen		M	30	
7	Mohammed Hamed Haleto		M	35	
8	Fatuma Oumer Ali		F	40	
9	Arbakhim Ali Hawino		M	28	
10	Ahmed Haleto Arbakhim		M	28	
11	Zehara Dega Oumer		F	37	
12	Ibrahim Hassen		M	30	
13	Ali Dega Deto		M	30	
14	Zehara Seid Ali		F	22	
15	Marika Hassen Ali		F	28	
16	Abdu Hassen Ali		M	29	
17	Oumer Mohammed		M	28	
18	Zehabu Hamed Hussen		M	32	
19	Fatuma Ali Gassim		F	25	
20	Humed Hassen Ali		M	27	

PSNP IV ESMF and RPF Consultation

Place of Discussion: HIGLALEY - KABALE

Date of Discussion/Interview: 23, May, 14

No	Name	Status	Sex	Age	Signature
1.	ALI ARALE	Kabale Chairman	M	52	Caro
2.	Abdulkadir Bashir	Managers	M	24	Asif
3.	Mohammed Ahmed	Education	M	29	Myke
4.	Bashir Mo'atim Osman	Elder	M	38	Asif
5.	Fadwan Abdifaruq	Women's Affairs	F	37	Caro
6.	A/rahman Abdi Sheikh	Youth	M	24	Asif
7.	Abdi Mohamed	D. A	M	32	Asif
8.	Ahmed Jams	Elder	M	54	Caro
9.	Fadwan Tahir	Mother	F	49	Caro
10.	A/rahman Mohamed	Elder	M	36	Asif
11.	Mohamed Mahmoud Mahammed	Elder	M	55	Caro
12.	Farax Al/Kadir Mohamed	Elder	M	36	Asif
13.	Tahir Mohamed Abdi	Education	M	44	Asif
14.	Sheik Ahmed Abdi	Elder	M	62	Caro
15.	Fabyan Abdi Ali	Mother	F	45	Caro
16.	Fadwa Osman Ismail	Youth	F	23	Caro
17.	Mohamed Omar Ahmed	Elder	M	59	Caro
18.	Shuria Sheik Ahmed	Elder	M	54	Caro
19.					

Afari?
SOMALI

PSNP IV ESMF and RPF Consultation

Place of Discussion: *Boothley Kabate*Date of Discussion/Interview: *23 May 1X*

No	Name	Status	Sex	Age	Signature
1.	<i>Ibrahim Hesse</i>	<i>Kabate Chairman</i>	M	49	<i>Ibrahim</i>
2.	<i>Idin Abdi Hussein</i>	Manager	M	25	<i>Idin</i>
3.	<i>Aminu OSMAD</i>	<i>Woman Affairs</i>	F	38	<i>Aminu</i>
4.	<i>MUR YUSUF</i>	D.A	M	25	<i>MUR</i>
5.	<i>Mohammed Jem</i>	educator	M	27	<i>Mohammed</i>
6.	<i>SHEIK Ahmed</i>	<i>Religious leader</i>	M	64	<i>SHEIK</i>
7.	<i>Muse Abdirashid</i>	Youth	M	21	<i>Muse</i>
8.	<i>Haji AHMED Abdi</i>	Elder	M	49	<i>Haji</i>
9.	<i>Pahir Mohammed Ali</i>	Elder	M	51	<i>Pahir</i>
10.	<i>Fadumo Ibrahim MUR</i>	<i>Woman Affairs</i>	F	38	<i>Fadumo</i>
11.	<i>Aminu Abdi MOHAMED</i>	Youth	F	28	<i>Aminu</i>
12.	<i>Farah Dubad</i>	COUNCIL	M	45	<i>Farah</i>
13.	<i>Elmi Adley's Abdi</i>	Council	M	32	<i>Elmi</i>
14.	<i>Abdikadir Mohammed Ali</i>	Elder	M	36	<i>Abdikadir</i>
15.	<i>Aboluyahid Osman Ahmed</i>	Elder	M	60	<i>Aboluyahid</i>
16.	<i>Haitano Muhammed Badel</i>	Mother	F	58	<i>Haitano</i>
17.	<i>Jamal Abdirani Ibrahim</i>	Elder	M	39	<i>Jamal</i>
18.	<i>Ahmed Othman Bihi</i>	Elder	M	56	<i>Ahmed</i>
19.	<i>Kaman Mohammed Egal</i>	Elder	M	66	<i>Kaman</i>

*Am**SOMALI*

PSNP IV ESMF and RPF Consultation

Place of Discussion: Guyo - Kabale

Date of Discussion/Interview: 25. May. 1X

No	Name	Status	Sex	Age	Signature
1.	Abdi Ahmed Adou	Kaave Chairman	M	48	Abdi
2.	Hussen Hashi	Council	M	43	Xrsen
3.	Maryam Ahmed Hayle	Woman Affairs	F	36	CVH
4.	Ahad Afirko	D. A	M	28	Afirk
5.	Mirhan Dey	Youth	F	21	Xrsen
6.	Fareh Miskander	Education Expert	M	27	Fareh
7.	Sheik Muktar Abdulahi	Religious leader	M	58	Sheik
8.	Abir Aw-Bashir	Women Affairs	F	36	Abir
9.	Abdi-rahman Mohammed Shari	Mayor	M	28	Abdi
10.	Abdi Budhi Mohammed	Elder	M	59	Abdi
11.	Abdi-rahman Mohammed Elmi	Elder	M	63	Abdi
12.	Masal Ahmed Noor	Mother	F	40	Masal
13.	Fogah Yusuf Ahmed	Elder	M	49	Fogah
14.	Fadumo Abdi Ali	Youth	F	22	Fadumo
15.	Walays Ibrahim Abdi	Elder	M	56	Walays
16.	Mohamed Abdi Ahmad	Elder	M	71	Mohamed
17.	Abdi DAUD EGAL	Elder	M	42	Abdi
18.					
19.					

PSNP IV ESMF and RPF Consultation

Place of Discussion: *Garbi Kalate*Date of Discussion/Interview: *25. May. 14*

No	Name	Status	Sex	Age	Signature
1.	Mohamed Rashid	Kalate Chairman	M	44	<i>[Signature]</i>
2.	Abdi Malik Mohamed	Kalate Manager	M	32	<i>[Signature]</i>
3.	Rukia Sayid Ali	Women Affairs	F	36	<i>Rukia</i>
4.	Kamal Mukhtar Gadal	D. A	M	32	<i>[Signature]</i>
5.	Asad Abdulahi Sheik	Youth	F	24	<i>[Signature]</i>
6.	Sheik Alghannam Duh	Religious Leader	M	49	<i>[Signature]</i>
7.	Sabah Mohamed Ahmed	Elders	F	55	<i>[Signature]</i>
8.	Amimo Mohamed Abib	Women Affairs Member	F	44	<i>[Signature]</i>
9.	Mohamed Mohamed Abib	Council	M	57	<i>[Signature]</i>
10.	Abdi-nasir Mohamed Fakih	Council	M	32	<i>[Signature]</i>
11.	Mohamed Aw-Omar Jibri	Elder	M	62	<i>[Signature]</i>
12.	Mohamed Ahmed Yasin	Elder	M	43	<i>[Signature]</i>
13.	Abdulahi Sheik Mohamed	Elder	M	52	<i>[Signature]</i>
14.	Kalif Bada	Elder	M	39	<i>[Signature]</i>
15.	Shara Gadal Agus	Youth	F	24	<i>[Signature]</i>
16.	Noor Ahmed sheik osman	Youth	M	19	<i>[Signature]</i>
17.	Ali Abdulahi Abdi	Elder	M	48	<i>[Signature]</i>
18.	Budur Ahmed Muse	Elder	M	47	<i>[Signature]</i>
19.	Said Sheik Parig	Women Affairs	M	72	<i>[Signature]</i>

TIGRAY

ESMF and RPF Consultation

Place of discussion **ARATO FARMERS TRAINING CENTER**

No.	Name	Status	Sex	Age	Signature
1	Berhe G/michel	PA Leadership member	M	35	
2	Mebhrate Tadele	Community Member	M	30	
3	Haftu Tadesse	Community Member	M	25	
4	Ayalew G/hiwet	Community Member	M	27	
5	Timinit Kebede	Community Member	F	30	
6	Teklu G/kidan	Community Member	M	24	
7	Teamer Selemon	Community Member	F	27	
8	Tsega Tesfay	Community Member	F	19	
9	G/amlak Berhe	Community Member	M	22	
10	Zafu Halefom	Community Member	F	18	
11	Elfu Desta	Community MemberF		18	
12	Kidan Weldu	Community Member	F	32	
13	Abadit Mehari	Community Member	F	22	
14	Aberu Bayru	Community Member	M	25	
15	Tekea Asefa	Community Member	F	25	
16	Molach Asmerom	Community Member	F	25	
17	Kidu Gubru	Community Member	F	22	
18	Kidanane Abreha	Community Member	M	28	
19	Abera Hagos	Community Member	M	32	
20	Brhanu Desta	Community Member	M	29	