The Federal Democratic Republic of Ethiopia

Ministry of Agriculture

Environmental and Social Management Framework (ESMF)

Resilient Landscapes and Livelihoods Project-2 (P174385)

(Updated Final)

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LIST OF ACRONYMS

AGP	Agricultural Growth Program
AOP	Alignment of Operations
BoA	Bureau of Agriculture
CBPWDG	Community Based Participatory Watershed Development Guideline
CC	Commune Centers
CDP	Commune Development Program
MW	Micro-Watershed
EFCCC	Environment, Forest and Climate Change Commission
CRGE	Climate Resilient Green Economy
CSA	Climate Smart Agriculture
CSA	Central Statistical Agency
DA	Development Agent
DBE	Development Bank of Ethiopia
DRDIP	Development Response to Displacement Impact Project
EA	Environmental Assessment
EIAR	Ethiopian Institute of Agricultural Research
EPLAU	Environmental Protection and Land Administration Unit
ESCP	Environmental and Social Commitment Plan
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESRS	Environmental and Social Review Summary
ESS	Environmental and Social Standards
FDRE	Federal Democratic Republic of Ethiopia
FTC	Farmers Training Centre
GCF	Green Climate Fund
GEF	Global Environmental Facility
GHG	Green House Gas
GIRP	Grievance Investigation and Resolution Process
GoE	Government of Ethiopia
GRM	Grievance Redress Mechanism
GRS	Grievance Redress Service
GTP	Growth and Transformation Plan
IAs	Implementing Agencies
IDA	International Development Association
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
IGAs	Income Generating Activities
IPMP	Integrated Pest Management Plan
KFW	Kreditanstalt fuer Wiederaufbau
KWT	Kebele Watershed Team
LDCF	Least Development Countries Fund
LMP	Labor Management Procedures
M&E	Monitoring and Evaluation

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

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EXECUTIVE SUMMARY

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

The World Bank, together with other Development Partners (DPs), has been financing Ethiopia's Federal Ministry of Agriculture (MoA) Sustainable Land Management Program in seven regional states of the Ethiopian highlands to transform the way landscapes are managed by convening sectors, providing resources and partners (IDA, Norway, Canada, Germany, GCF, GEF, LDCF, IFAD and PROGREEN) to invest in a holistic and coordinated fashion. Results from SLMP-II and RLLP financing are well documented in 135 and 17 major watersheds/ woredas (districts) in the seven regional states (Amhara, Benishangul Gumuz, Gambella, Oromia, Sidama, SNNPRS and Tigray,) during a major drought period, respectively. These include: water and food security are boosted, degraded lands are brought back into production for local farmers, dry season base flow of streams and depth to water table are improving. And protective vegetation cover was either maintained or expanded, as verified by remote sensing. Smallholder farmers regularly express how their identity and sense of place has also been restored through landscape restoration and improved legal resource rights.

Resilient Landscapes and Livelihoods Project-II (RLLP-II) would build upon the implementation structure and the built capacity that existed during the last two phases of SLMP and RLLP. Both at national and regional level environmental and social safeguard specialists are recruited; the institutions and their staff at all levels of the government existing implementation structure, i.e. federal, regional, zone, woreda (district) and kebele (sub-district) level are generally capacitated and ready to implement in the project environmental and social safeguard activities; Grievance Redress Mechanism (GRM) is in place at all levels of the project implementation and would be expanded and enhanced under the new operation. The project, i.e. RLLP-II is a five year

program and will be implemented during the period of 2020-2025. It builds on the results of the SLMP-I, SLMP-II and RLLP and introduces measures to address climate change/variability related risks and maximize Green House Gas (GHG) emission reductions and improve the livelihoods of the vulnerable small holder farmers so as to meet the Growth and Transformation Plan (GTP) and the Climate Resilient Green Economy (CRGE) goals of the country. This is achieved by reducing land degradation and improving land productivity of small holder farmers. The project will be implemented in 47 newly added GCF and PROGREEN-RLLP-II woredas through the existing government structures and community institutions in the six regional states mentioned above.

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

The RLLP-II has three major components with their own objectives: Component 1: Green Infrastructure and Resilient Livelihoods; Component 2. Investing in Institutions and Information for Resilience; and Component 3. Project Management and Reporting. Component 1 has range of activities, such as construction of community access road and water harvesting structures, degraded forest rehabilitation and reforestation, gully rehabilitation, area closure, most of which may involve manipulation of landscapes and resources. These activities may cause some unforeseen negative environmental and social impacts which may include biodiversity loss, natural habitat and cultural resources destruction, soil erosion and sedimentation, restriction of access to resources, flooding, loss of land, displacement of people, pollution and prevalence of diseases, and others. In addition, there might be a social risk from component 2 where inadequate attention to the use of locally available indigenous knowledge systems and time-tested adaptation strategies can undermine the potential positive role and contribution indigenous knowledge. Component 3 may not pose adverse environmental and social risks during implementation because it focuses more on monitoring and evaluation, finance, procurement, environmental and social safeguards. Therefore, this ESMF is prepared and updated mainly to

highlight issues associated with and to address environmental and social impacts that arise from the implementation of Component 1 & Component 2.

RLLP II funds won't be used to manufacture or directly purchase or distribute agrochemicals. Particularly those activities in Climate Smart Agriculture (introduction of high value crops, introduction of new varieties of crops, new fruit tree species and varieties, high yielding varieties) may instigate farmers to use agrochemicals (insecticides, herbicides, fertilizers, etc.). In such cases, the project promotes the use of Integrated Pest Management (IPM). Detailed mitigation measures including integrated pest management (following the WBG EHS guidelines), practicing reduced and/or zero tillage (often known as "low till" or "no till"), as well as direct seeding and planting, to minimize damage to soil structure, to conserve soil organic matter, and reduce soil erosion. Infringing on protected natural sites and critical habitats or areas with significant biodiversity (e.g. wetlands) will be avoided through the appropriate screening and implementation. As much as possible, apply the use of a variety of multipurpose and fast-growing indigenous tree species to avoid monoculture in afforestation/reforestation activities. Mitigation measures for the likely impacts of water harvesting activities (hand dug well, community pond, etc.) include locating irrigation schemes where water supplies are adequate, and the scheme will not conflict with existing human, livestock, wildlife or aquatic water uses. In addition, assessing ecology of disease carriers in the project area and employ suitable prevention and mitigation measures, e.g. siting and orienting water works, fields and furrows to ensure adequate natural drainage of surface water.

The ESMF outlines procedures to be followed during the screening of sub-projects against any potential environmental and social impacts. The RLLP-II positive impacts will contribute in creating resilient to the landscape through improving the rehabilitation of degraded areas, improving productivity of the agricultural landscape and thereby the livelihoods of the rural community and/or the vulnerable groups. At this stage of ESMF preparation, the specific sites are not known, and it is not time to establish an accurate and complete assessment of these impacts. However, site specific and less sensitive localized environmental and social impacts (e.g., pollution from agrochemicals, erosion, biodiversity loss, salinity, habitat destruction) may occur in the project implementation areas. As a result, RLLP-II is anticipated to implement the nine Environmental and Social Standards (of the ten) that are applicable to it (ESS1. Assessment and Management of Environmental and Social Risks and Impacts; ESS2. Labor and Working Conditions; ESS 3. Resource Efficiency and Pollution Prevention and Management; ESS4. Community Health and Safety; ESS5. Land Acquisition, Restrictions on Land Use and Involuntary Resettlement; ESS6. Biodiversity Conservation and Sustainable Management of Living Natural Resources; ESS 7. Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities; ESS 8. Cultural Heritage; and ESS 10. Stakeholder Engagement and Information Disclosure. ESS 9. Financial intermediaries are not applicable.

In RLLP-II the environmental and social management process starts with the sub-project planning process during the identification of sub-projects by local communities based on their needs and priorities through a participatory watershed planning process guided by the Community Based Participatory Watershed Development Guidelines (CBPWDG), technical support from Development Agents (DAs) and Woreda experts. The DA will screen/design/plan subprojects applying a simple checklist as a format (using Annex 2) for fast track eligibility checking of identified sub-projects. This is done in consultation with communities and kebele development committee at the early stages of subproject selection and prioritization phase. Once the checklist is approved at the kebele level, the project design/plan will then be sent to the Woreda Agriculture Office and/or the Woreda Technical Committee. The Technical Committee, depending on the scale, nature and type of subproject, will further screen the sub-projects. The Woreda Focal Person (WFP), woreda implementing office, and regional project support unit will ensure and document such procedures are properly followed. A team led by experts from the Woreda Environmental regulatory body will review the screened subproject and the mitigation measures planned. If any design modifications are required, the environmental regulatory body passes recommendations and gives clearance and/or certificate of subprojects. The Woreda council will then approve plans based on the recommendations of the team. After approval, the plan document is referred to the regional Bureau of Agriculture (BoA) with all the accompanying environmental and social screening documents/files. If sub-projects of any significant environmental and social concerns and subprojects having high and unknown impacts are included, then the plan document will be directed to the attention of the Zonal or Regional Environmental regulatory body. The Zonal or regional environmental regulatory body will make decisions if an Environmental and Social Impact Assessment (ESIA) or Environmental and Social Management Plan (ESMP) is required for those subprojects or not. Based on ESIA/ESMP outcomes (including application of the project exclusion criteria-Table 10), Zonal or Regional environmental regulatory body will recommend modifying the design, preparing ESMP,RPF/RAP, ESMF,SEP to mitigate negative impacts or reject/disapprove the project.

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

involve the monitoring compliance and effectiveness of the safeguards instruments, and the overall environmental, socio-economic and climate-related assessment of the Program's interventions. The monitoring will be done on an annual and quarterly basis by the RPCU Specialists with support from the NPCU Environmental Safeguard and Social Development Specialists, M&E Specialist and WB's Environmental Safeguards, Social Safeguards and Social Development team. Quarterly and annual reviews workshops will be held at regional and national level with a view to enhance the positive performances of ESMF, SA, RPF and GMG identifying bottlenecks and gaps in implementing the safeguard instruments and proposing solutions in addressing the gaps. Environmental and social auditing will be conducted on annual bases by the RLLP-II concerned specialists (both federal and regional) in collaboration with other stakeholders. In addition, during Mid-term Review (MTR) and project completion period the auditing will be conducted by independent consultants to be recruited by the project.

Sustainable Land Management Program (Phase I and II) and the Resilient Landscapes and Livelihoods Project conducted trainings and awareness creation at federal, regional, zonal, woreda, kebele and community level on ESMF, RPF, SA and GMG. Trainings and capacity building works will be done for environmental regulatory body experts, for experts engaged in water resources, NRM experts, gender experts, agronomists and Development Agents and others in the newly proposed GCF and PROGREEN woredas. Therefore, for the successful implementation of LMP, SEP, ESMF, RPF and SA, capacity building activities should be done in a systematic manner to have an environmentally sound and socially acceptable subproject that will address all the program beneficiaries. The capacity building works will give due emphasis to woreda and kebele level experts, DAs and community members focusing on the different safeguard instruments and the World Bank Environmental and Social Framework. Besides, awareness creation for the different platforms and community institutions (Technical Committee (TC), Steering Committee (SC), Water Users Associations (WUAs), the Public Sectors (PSs), Watershed Users Associations (WSUAs), Common Interest Groups (CIGs) at woreda and zonal level will be given. Technical assistance and backstopping support will be strengthened by federal and regional program coordination unit staffs in collaboration with other stakeholders including development partners.

The budget for the implementation of Environmental and Social risk management is estimated to be 2,136,760USD for the coming RLLP-II project life cycle. Similarly, the budget required for the gender mainstreaming is estimated 609,368 USD. The budget proposed include capacity building and trainings; administrative costs for federal and regional level specialists; environmental and social safeguard auditing; annual and quarter review workshops and reviews; implementation of mitigation measures; experience sharing and exposure visits; monitoring and technical backstopping.

1. Introduction

1.1.Background

Ethiopia is a country located between the coordinates of 3 – 15^0 N Latitude and 33 – 48^0 E Longitude. Its areal coverage is estimated to be 1,127,000 km^2. The diverse climatic conditions in Ethiopia are a result of the combination of factors such as latitude, altitude, angle of the sun, distance from oceans or other water bodies, terrain and the like. Ethiopia's ecological system is very fragile and vulnerable to climate change, in part due to stress on natural resources. Agricultural production in the country is largely rain-fed and practiced by small-holder farmers, which is heavily affected by land degradation resulting in food insecurity and rural poverty. Within Sub-Saharan Africa, Ethiopia is considered as one of the countries seriously affected by different forms of land degradation and struggling to cope with and reverse the situation. The key challenges include soil degradation, deforestation and loss of biodiversity, water degradation, climate deterioration and land conversion, weak environmental management and enforcement capacity.

Despite the efforts to reverse environmental degradation in the past many years, rampant degradation of natural resources continued to be a serious environmental problem in the country distressing land/agricultural productivity and slowing down economic progress. According to Policy Investment Framework (PIF) document soil fertility depletion and erosion, rangeland degradation are already threatening the sustainability of arable agriculture and there is an urgent need to rehabilitate damaged areas and prevent further deterioration through better soil fertility management, introduction of soil conservation measures, reforestation and appropriate conservation agriculture methods (PIF, 2012).

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

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

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

Figure 2. Degraded land rehabilitated through various SLM practices (photo 2017).

A comprehensive landscape approach to SLM is needed to address the broad multi-faceted nature of land degradation across the range of agro-ecological and climatic zones in arid, semi-arid, sub-humid and humid areas of the world.

1.2. Purpose, objectives and principles of the ESMF

1.2.1. Purpose of the ESMF

This ESMF is an update to the original ESMF prepared for parent RLLP(163383) in 2018. The risk mitigation measure rely on carefully designed and community assessed inclusive targeting criteria to identify eligible households prioritized based on local context. Since RLLP's (163383) ESMF, RPF, SA and GMG were prepared under the WB's Operational Policy, these instrument are updated to capture the requirements of the Environmental and Social Framework (ESF) of the World Bank and relevant Environmental and Social Standards. The instruments are updated to provide risk mitigation measures for the proposed GCF and PROGREEN finance reflecting the requirements of applicable environment and social standards. The purpose of the ESMF is to: (1) serve as environmental and social risk management framework; (2) examine the environmental and social impacts of sub-projects; (3) outline a procedure for environmental and social assessment of the proposed subprojects financed under the RLLP-II. The type and location of the sub-projects are not identified at this stage and their impacts cannot be determined until project planning is started by communities. Thus, the ESMF outlines the principles, rules, guidelines and

procedures to be followed during the screening of sub-projects against any potential environmental and social impacts at the community level. The document guides in designing and preparing appropriate measures and plans to reduce, mitigate and/or offset adverse impacts during preconstruction, construction or implementation and operational phases and enhance the positive outcomes caused as a result of the project interventions.

1.2.2. Objectives of the ESMF

- To establish clear procedures and methodologies for the environmental and social assessment, review, approval and implementation of mitigating the potential environmental and social impacts of investments to be financed under the project;
- To specify appropriate roles and responsibilities of the different implementers and stakeholders,
- To create sense of understanding and strengthen the health and safety performance, and labor and working conditions of the project,
- To outline the necessary reporting procedures for managing and monitoring environmental and social concerns related to project investments;
- To determine the training and capacity building needs of the implementing institutions;
- To establish the budget required to implement the ESMF requirements.

1.2.3. Principles of the ESMF

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

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

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

- To assess and document key socio-economic factors that require consideration;
- To identify vulnerable and historically underserved groups that may be excluded from project benefits and be adversely affected as a result, and the necessary impact mitigating measures;
- To assess any potential adverse social impacts of the RLLP-II;
- To recommend in the early stage of project preparation the appropriate measures towards addressing World Bank requirements on environmental and social standards (ESS2, ESS5, ESS7, ESS8, ESS10).

In addition, a Resettlement Policy Framework (RPF) is prepared based on the current applied RLLP RPF and updated to reflect the changes as per the ESF requirements; project location expanding, and new sites added. The RPF provides the overall principles and objectives of ESS5 and the relevant national laws and regulations, and guidance on how to manage land acquisition or potential restriction of access and the process to be followed in the case of voluntary land donation. The main objectives of the RPF include:

1) Establish the RLLP-II resettlement and compensation principles and implementation arrangements;
2) Describe the legal and institutional framework underlying Ethiopian approaches for resettlement, compensation and rehabilitation, and in line with ESS5 of the World Bank;
3) Define the eligibility criteria for the identification of Project Affected Persons (PAPs) and associated entitlements;
4) Describe the consultation procedures and participatory approaches involving PAPs and other key stakeholders;
5) Provide procedures for filing grievances and resolving disputes;
6) Define a participatory process by which potential reduced access to resources is identified and mitigation measures established; and
7) Describe implementation and monitoring arrangements

1.3.Methodology used in the preparation of the ESMF

1.3.1. Document Review

The Project Appraisal Document (PAD) of SLMP-II and RLLP; ESMF, SA and RPF documents of SLMP-I, SLMP-II & RLLP were reviewed to gather information on the project components and sub-components; institutional arrangements used for the implementation of the project; sub-project types and their anticipated potential environmental and social impacts and/or risks; the

proposed mitigation measures and how these were designed to be implemented vis-à-vis the applicable environment policies and Environmental and social framework of the country and WB, respectively. The information collected from the review was very helpful for RLLP-II in putting mechanisms to address the gaps identified during the preparation and implementation of ESMF. Similarly, the PAD, Project Funding Proposal (PFP) and Environmental and Social Review Summary (ESRS) Concept Stage documents of RLLP-II were also reviewed to understand the Environmental and Social Standards (ESSs), project components and sub-components, the institutional arrangement, *vis-a-vis* the anticipated environmental and social impacts for updating of this ESMF.

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

A thorough review of relevant environmental and social management policies, proclamations and guidelines in the country made for RLLP ESMF preparation also are helpful and utilized for RLLP-II ESMF updating that will assist in the preparation of sub-projects and environmental and social management plans to address negative impacts caused from the project. The proclamations and operational guidelines provide information on environmental and social management issues, the ESIA procedures on different environmental hazards (agricultural, industrial, road, etc.) and responsibilities of relevant institutions. The guidelines also provide not only the applicable procedures but also suggest appropriate mitigation measures for some anticipated negative impacts.

1.3.2. Consultation with key stakeholders

During preparation of this ESMF, consultations and discussions were made both at RLLP (163383) and RLLP-II selected woredas during the period of January to March 2018 and November 2020. It was conducted at different levels: consultations with SLMP staffs; consultation with experts of EFCCC at National and Regional level; consultations with Regional Environmental and Social Safeguard Specialists; consultations with other MoA programs safeguard specialists and with Woreda Focal Persons. The results of the consultation were very supportive and serves for the successful implementation of the RLLP environmental and social safeguard works.

1.3.3. Consultations with local communities

During the initiation period of RLLP (during the periods of January to April 2018 and November 2020) discussions and consultations were made with woredas proposed for RLLP (P163383) and GCF and PROGREEN (RLLP-II) financed woredas. Focus group discussions (FGD) were made using semi-structured checklist with male and female community members, vulnerable community members like female household heads, people with disabilities, the old, and the poor to get their insight on the likely impacts of the project investments with their possible mitigation options. Small group discussions were also held with local communities, KWT and CWT members of GCF and PROGREEN financed woredas. Totally, 647 people (468 male and 179 female) are participated during the consultation. Woredas of RLLP-II include Lare and Jikawo woredas; South Mecha woreda; Assosa, Debate and Yaso woredas; Eisra Adi Wejerat; kucha; Zala; Chefa; Esera; Gog; Jor and Hintalo woredas. The discussions reflected on issues regarding the participation and experience of the community members in watershed selection, their role in the planning, identification and implementation of the project activities; potential environmental and social impacts and the experience of addressing the impacts; existence and role of the different platforms in mobilizing the community for the project activities. The key findings of the consultation process, their views, concerns and recommendations are found in Annex 17. And the list of participants during the consultation process at community, kebele and woreda level is in Annex 18.

1.3.4. Disclosure of the ESMF

Because COVID-19, the government's restriction on social gatherings and it is not allowed to have meeting more than four persons, hence, the framework documents are not publicly disclosed. However, using the ministry website and other means of communications (using emails, distributing the soft copies, and printing the hard copies) it will be disclosed after approval. Publishing the executive summary of the document in widely read local newspapers in appropriate form, manner and language are other appropriate means of communication for disclosing. However, the parent RLLP ESMF were disclosed to the public in the ex-MoEFCC and MoA websites of http://mefcc.gov.et/about-us/working-with-us/ministry-agriculture-livestock-resource/. and in the MoA website http://www.moa.gov.et/documents/20181/35819/RLLP-II-ESMF+for+AF.pdf/bdcef166-bc7d-45dc-90ae-429d326439f4 and http://www.moa.gov.et/web/guest/RLLP-II, respectively.

2. Project Description

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

RLLP-II aims to create resilience to the treated landscape and improve the productivity and

livelihoods of the small holder farmers' through the provision of capital investments, technical assistance and capacity building at national, regional, woreda, kebele and community levels. The RLLP-II will build on the results of SLMP-I, SLMP-II & RLLP and it will introduce measures to address climate change/variability related risks, minimize Green House Gas (GHG) emission reductions so as to meet the Growth and Transformation Plan (GTP) and the Climate Resilient Green Economy (CRGE) goals of the country. The results of the project will be measured by the landscape to be put under sustainable and climate resilient land management practices and the amount of total carbon sequestered per unit area and time.

In line with the different investment experience on forest, climate-smart agriculture, household energy, land tenure, livelihood improvement, watershed management and landscape restoration, the new project, i.e. RLLP-II would provide large-scale coordinated financial support to the MoA and its acclaimed SLMP to make a lasting impact at very large scale. The project is considered innovative and transformative as it emphasizes on multi-sectoral landscape approach. This approach will generate multiple benefits including contributions to, inter alia, productivity improvement, resilience to climate risks, enhancements to natural wealth and diverse livelihood opportunities, and water security – and ultimately poverty reduction and prosperity.

2.2. Project Development Objective (PDO)

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

2.3. Project Target Beneficiaries

With more than 87 percent of Ethiopia's poor living in rural areas, the project will benefit some of the poorest, as they are the most dependent on the degraded land resources targeted by the project, and the most vulnerable to the climate shocks that good natural resource management and improved tenure security can mitigate – as proven through interventions under SLMP-II and RLLP. RLLP-II would be implemented in 47 major watersheds/woredas in the seven National Regional States mentioned above.

Accordingly, approximately 1.27 million entire population in the selected watersheds (254,151 rural households) are expected to be benefited from the Project. Of the 254,151 rural households 213,480 are Male Headed Households and 40,671 are Female Headed Households. The indirect beneficiaries include: (i) communities adjacent to project intervention areas adopting SLM and Climate Smart Agriculture (CSA) practices through demonstration effects, as observed under

SLMP-II; (ii) private sector participants and end-consumers in value chains targeted by the project; (iii) households outside project areas benefiting from the creation of land certification capacity at woreda and regional level; (iv) recipients of capacity building at all levels of government, as well as in national partner organizations; and (v) communities outside project areas benefiting from groundwater recharge, reduced flooding, and lower sediment loads, as a result of SLM interventions.

2.4. Project Components

The Resilient Landscapes and Livelihoods Project-II (RLLP-II) has three major components:

Component 1:	Green Infrastructure and Resilient Livelihoods;
Component 2:	Investing in Institutions and Information for Resilience; and
Component 3:	Project Management and Reporting.

Component 3 may not pose adverse environmental and social risks during implementation. However, there might be a social risk from component 2 where inadequate attention to the use of locally available indigenous knowledge systems and time-tested adaptation strategies can undermine the potential positive role and contribution indigenous knowledge (RLLP-II ESRS Appraisal Stage). Therefore, this ESMF is prepared and updated mainly to highlight issues associated with and to address environmental and social impacts arising from the implementation of Component one, however ESMF applies to the overall project.

2.4.1. Component 1: Green Infrastructure and Resilient Livelihoods

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

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

Sub-Component 1.1: Land Restoration and Watershed Management: The objective of the sub-component will be achieved through biological and physical conservation measures that ensure reduced surface run-off and soil erosion, as well as improved land productivity, resulting in enhanced crop and livestock production. This sub-component will support restoration of degraded forest, pasture and woodlands that is communally owned, as well as privately-owned cultivated lands, through biophysical land and water conservation measures. Implementation of sustainable soil and water conservation practices in line with Multi-Year Development Plans ("MYDPs") in watersheds, including land rehabilitation measures and establishment of green infrastructure (including rehabilitation through biological and physical conservation measures that ensure reduced surface run-off and soil erosion, as well as improved land productivity, resulting in enhanced crop and livestock production) through, inter alia: soil and water conservation measures, gully rehabilitation, establishment of green corridors, area closure management and use, establishment of plantation blocks, and enrichment of degraded pasture and rangeland;

Sub-Component 1.2: Climate-Smart Agriculture: Enhance the livelihood resilience of beneficiary households in restored micro watersheds by implementing context-specific CSA activity packages comprising one or more of the following: farm water and soil moisture management, integrated soil fertility and soil health management, crop development and management, and environmentally-friendly livestock production through feed development and management.; and

Sub-Component 1.3: Livelihood Diversification and Connection to Value Chains: Further increase livelihood resilience by diversifying livelihoods and helping ensure livelihood sustainability by better connecting products with value chains in selected watersheds through a program of activities. This subcomponent focuses on the provision of technical assistance and in kind support to eligible Common Interest Groups ("CIGs") and financing activities that facilitate private sector engagement in Project-supported value chains directly or through primary cooperatives and/or coop unions, and include- processing equipment and training, and community storage receipts programs. Additionally, RLLP II will promote efforts to integrate producers and producer groups in the supply chains of large firms and small and mid-size enterprises (SMEs). Lastly, to further enhance the economic incentive for maintaining restored landscapes, RLLP II will build on the promising early experience of watershed-level payments for ecosystem services (PES) schemes.

PROGREEN supported Woredas:

The PROGREEN support will enable the RLLP II to integrate the forest and agricultural landscapes of southwest Ethiopia. Specifically, watersheds adjacent to the protected areas (PA) of Gambella National Park, Maze National Park and Chebera Churchura National Park, are being

targeted for inclusion within the project scope. Seven watersheds were selected for PROGREEN, of which three are from Gambella region and four are from SNNPRS. All the woredas selected from SNNPRS are adjacent to Chebera Churchura NP and Maze NP. The Gambella NP is also adjacent to the three woredas. The assessment made in these woredas revealed that the communities were dependent on the PAs for their lives and livelihoods exerting a significant impact on the natural resources of the areas. However, at the same time since they are dependent on the PAs, they do have a good knowhow on the existence of the areas. It is anticipated that the extension of RLLP II support to these new watersheds will help address the underlying drivers of natural resources degradation in areas adjacent to these protected areas – through improving agricultural productivity and reducing poverty. This should lead to improved biodiversity outcomes and the PROGREEN supported woredas.

Nevertheless, as PROGREEN/AF interferes in the woreda mainly targeting to address the risks and challenges associated with the various interventions. Hence, the RPCU and the NPCU concerned environmental safeguard and social development specialists will play a significant role in proper implementation of the ESMF including support local communities to establish, manage and protect green corridors between protected areas, and remaining or restored natural habitats within watersheds targeted for RLLP II support.

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

This component aims to enhance institutional capacity and improve information for better decision-making in supporting resilient landscapes and diversified rural livelihoods in the Project area through the following program of activities:

Sub component 2.1 Capacity building, Information Modernization and Policy Development: Provision of technical assistance, at the local government level, to implement the Project and build capacity to sustain land and water management practices in watersheds, including financing of selected staff positions, financing of technical vocational education and training, development of data management plan, piloting of new technologies for information modernization (such as the use of electronic tablets for gathering geospatial information and the use of unmanned aerial vehicles for land certification mapping), and development and application of a regulatory framework for the establishment of Water User Associations (WUAs) and community bylaws guiding land-use practices, and strengthening the Land Administration System.

2.4.3. Component 3: Project Management and Reporting

The objective of this component is to effectively implement and report on project activities with due diligence and integrity. The component will finance the operational costs of the Project Coordination Units (PCUs) in MoA and Regional State Bureaus of Agriculture. These PCUs will

carry out all fiduciary aspects of project implementation including financial management, procurement, environmental and social safeguards and monitoring and evaluation and reporting.

Additional Project Information

Rural Land Administration and Use. Land administration is an integral part of the SLM theory of change in which support for watershed management is reinforced with support strengthening land tenure security. Of the 47 new watersheds included for support under RLLP II, 15 watersheds have already received SLLCs from the UK-funded LIFT program, and the remaining 32 watersheds are scheduled to receive such support from the ongoing government program supporting land administration. While GCF proceeds cannot be used to the actual issuance of SLLC and the NRLAIS operationalization, the funds will cover public information awareness raising activities in the GCF project watersheds, provide capacity building training and equipment to process the geospatial and aerial mapping activities, and support modernization of information systems under RLLP II (Component 2).

3. Policy, Legal and Administrative Frameworks

3.1. The FDRE and Regional State Constitutions

The FDRE Constitution

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

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

- People have the right to improved living standards and to sustainable development,
- People have the right to full consultation and to the expression of views in the planning and implementations of environmental policies and projects that affect them directly,
- All persons have the right to live in a clean and healthy environment,

- People have the right to commensurate monetary or alternative means of compensation, including relocation with adequate state assistance for persons who have been displaced or whose livelihoods have been adversely affected as a result of State programs,
- The people and the state have common responsibility/obligation to protect the environment,
- The state endeavors to ensure all people live in a clean and healthy environment,
- The state shall ensure that the design and implementation of development projects will not damage or destroy the environment.

Regional states constitutions

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

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

3.2. Relevant Environmental and Sectorial Policies of Ethiopia

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

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

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

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

The National Social Protection Policy of Ethiopia: The National Social Protection Policy of Ethiopia was issued in March 2012. The overall policy goal is to ensure fair and sustainable utilization of resources from the economic growth of the country and to reduce poverty significantly, to take social protection measures to ensure access and equitable benefit for the poorest of the poor and vulnerable segments of the society from the social and economic development. "Ensuring social protection helps to reduce poverty and vulnerability with a meaningful impact, to protect the poorest segments of society from falling further deep in to destitution, to increase human development and productivity in order to break intergenerational cycle of poverty, to enhance equitable use of resources, to bring social justice and stable peace, to reduce discrimination and exclusion, to strengthen national feeling, and to enhance economic and social development. In general, to sustain social and economic development, to boost social

justice, to ensure the respect of dignity and rights of citizens, it was found out necessary to develop a social protection frame. The principal articles of the National social Protection Policy of Ethiopia are:

Article 4.4. The implementation of policy shall give special emphasis to gender issues and the principle of equality.

Article 4.8. Social Protection measures shall progressively ensure the economic, social and human rights of all Ethiopians,

Article 4.9. Social protection measures shall be implemented without discrimination and exclusion.

Article 4.11. The implementation of social protection services will be mainstreamed and implemented in different government and non-government development institutions programs, strategies and action plans;

The policy gives due emphasis to the following target groups:

- Children under difficult circumstances,
- Vulnerable pregnant and lactating women,
- Vulnerable people with disabilities and people with mental health problems,
- Elderly with no care and support,
- Labor constrained citizens unable to get basic social and economic services,
- Victims of social problems such as beggars, commercial sex workers, drug and medicine addicted,
- Citizens affected by HIV/AIDS and other chronic diseases that constrain their ability to work,
- Segments of the society vulnerable to violence and abuse,
- Segments of the society vulnerable to natural and manmade risks,
- Unemployed citizens,
- Citizens engaged in the informal sector and who have not social insurance coverage,
- Victims of human trafficking and repatriated emigrants.

The Constitution of the Federal Democratic Republic of Ethiopia on the Rights of Women: The Federal Constitution of 1995 has un-shelved the age old discriminatory laws and practices. The constitution in its Article 35 (3) took a historic measure on gender equality in a country where history vexed with traditions and religious matters made women to suffer due to their sex. Further this provision has recognized women's right to affirmative action and provides special attention to enable competition and participation in all spheres of life as well as exercise their democratic and human rights on equal grounds with men. Regional constitutions which by and large resemble and operate within the general framework of the Federal constitution have

also addressed the question of gender equality meticulously through it sub article. The principle of Article 35 sub article 1,3 and 4.3 are the following:

- women shall enjoy equal rights and protections as men. In order to secure fairness and equality throughout the country, Ethiopia has taken various steps and has recognized various International Conventions based on the Declaration of Human Rights. These Declarations include the Convention on the Rights of the Child (CRC), Convention on Elimination of All Forms of discrimination Against Women (CEDW) and various Labor Conventions.
- Women shall, in the enjoyment of rights and protections provided for by this Constitution, have equal right with men.
- The historical legacy of inequality and discrimination suffered by women in Ethiopia taken into account, women, in order to remedy this legacy, are entitled to affirmative measures. The purpose of such measures shall be provide special attention to women so as to enable them to compete and participate on the basis of equality with men in political, social and economic life as well as in public and private institutions.
- Women have the right to full consultation in the formulation of national development policies, the designing and execution of projects, and particularly in the case of projects affecting the interests of women.

3.3. Relevant Environmental Strategies

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

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

Climate Resilience Strategy for Water and Energy: The Climate Resilience Strategy for Water and Energy has three main objectives: identify the economic and social impacts of current climate variability and future climate change on water and energy in Ethiopia; identify priority

ways that the water and energy sectors can build climate resilience and reduce the impact of climate variability and climate change; and map the necessary steps to finance and implement measures in the water and energy sectors to build climate resilience in Ethiopia and deliver an integrated Climate Resilient Green Economy. This strategy is important and directly relevant to the RLLP-II, where the project plans to scale up energy options in targeted areas under the components set out to implement the activity focusing on the benefit of empowering and strengthening women. This relates to watershed management and reducing deforestation and forest degradation.

Climate Resilience Strategy for Agriculture and forestry: The country has recently released a resilience strategy document for Agriculture and Forestry which is directly relevant for the RLLP-II implementation. The strategy aims to identify the impact of both current weather variability and future climate change on Ethiopia ('challenge'), to highlight options for building climate resilience ('response') and to understand how these options can be delivered ('making it happen'). The document sets out a strategy to ensure Ethiopia's economic growth in agriculture is climate resilient. The sector, i.e. the agriculture sector is the most vulnerable to the impacts of climate change, but plays a major role in Ethiopia's economy, contributing to 43% of GDP, around 80% of employment and approximately 75% of export commodity value.

3.4. Proclamations and Environmental and Social Guidelines

3.4.1. Proclamations

Environmental Protection Organs Establishment Proclamation, No. 295/2002: The proclamation was made to re-establish the Federal Environmental Protection Authority, Sectorial Environmental Units and Regional Environmental Protection Agencies. The former MoEFCC (currently Environment, Forest and Climate Change Commission (EFCCC) established by Proclamation No. 803/2013) is established to formulate policies, strategies, laws and standards, which foster social and economic development in a manner that enhance the welfare of humans and the safety of the environment, sustainable development projects and to spearhead in ensuring the effectiveness of the process of their implementation. The Environment, Forest and Climate Change Commission, among others, has the powers, duties and responsibilities to:

- Coordinate measures to ensure that the environmental objectives provided under the Constitution and the basic principles set out in the environmental Policy of Ethiopia are realized;
- Prepare, review and update, or as necessary cause the preparation of environmental policies, strategies and laws in consultation with the competent agencies, other concerned organs and the public at large and upon approval, monitor and enforce their implementation;

- Coordinate actions on soliciting the resources required for building a climate resilient green economy in all sectors and at all governance levels as well as provide capacity building support and advisory services;
- Establish a system for the evaluation of investment projects submitted by their respective proponents by the concerned sectoral licensing organ or the concerned regional organ prior to granting a permission for their implementation in accordance with the environmental impact assessment proclamation;
- Prepare programs and directives for the synergistic implementation and follow up of environmental agreements ratified by Ethiopia pertaining to the natural resources base, desertification, forests, hazardous chemicals, industrial waste and anthropogenic environmental hazards with objective of avoiding overlaps, wastage of resources and gaps during their implementation in all sectors and at all governance levels;
- Liaise with competent agencies in the field of environmental protection and rehabilitation and support them in capacity development;
- Establish a system for environmental impact assessment of public and private projects, as well as social and economic development policies, strategies, laws, and programs, and
- Provide advice and support to regions regarding the management and protection of the environment.

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

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

- Coordinating the formulation, implementation, review and revision of regional conservation strategies,

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

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

Environmental Impact Assessment Proclamation, No. 299/2002: The Environmental Impact Assessment Proclamation was decreed in December 2002 in order to make ESIA a mandatory procedure for projects to be undertaken by the government, public or private entities that require environmental impact analysis. The Proclamation elaborates on considerations with respect to the assessment of positive and negative impacts and states that the impact of a project shall be assessed on the basis of the size, location, nature, cumulative effect with other concurrent impacts or phenomena, trans-regional context, duration, reversibility or irreversibility or other related effects of a project. Based on directives or guidelines pursuant to this proclamation, projects will be categorized as:

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

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

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

Rural land Administration and Use Proclamation, No. 456/2005: The main aim of the Proclamation is to conserve and develop natural resources in rural areas by promoting sustainable land use practices. In order to encourage farmers and pastoralists to implement measures to guard against soil erosion, the Proclamation introduces a Rural Land Holding Certificate, which provides a level of security of tenure. The former MoA is tasked with implementing the Proclamation by providing support and co-coordinating the activities of the regional governments. The REPAs are responsible for rural land administration. The Proclamation states that if a land, that has already been registered, is to be acquired for public works or for investment, compensation commensurate with the improvements made to the land shall be paid to the land use holder or substitute land shall be offered. The Proclamation imposes restrictions on the use of various categories of land, for example wetland areas, steep slopes, land dissected by gullies, etc.

Environmental Pollution Control Proclamation, No. 300/2002: The aim of the proclamation is to control and manage possible causes of environmental pollution from hazardous substances, waste and any other forms of pollutants that pose serious environmental, social and health threats. The proclamation has important provisions on environmental standards, inspection procedures, offences and penalties, etc. In its provision to control pollution, the proclamation states that, among others,

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

Physical Cultural Resources Management: Ethiopia has enacted Proclamation No. 209/2000 a proclamation to provide for research and conservation on of cultural heritage. Article 4 Sub

article 42 of this proclamation states that: 1) "The Council of Ministers may, upon the recommendation of the Minister, declare any area as reserved area and publish same in the Negarit Gazeta, where an assemblage of immovable Cultural Heritage is situated or where such an area is deemed to be an archaeological site. 2) Unless otherwise specifically decided by the Council of Ministers, no person may, without a permit issued by the Authority, carry out building or road construction, excavations of any type or any operation that may cause ground disturbance in an area declared reserved pursuant to Sub-Article (1) of this Article. 3) Any person who holds permit to conduct construction works in a reserved area and who discovers Cultural Heritage in the course of construction activities shall stop construction and shall forthwith report same in writing to the Authority." Environmental and Social impact Assessment Guidelines and Directives". EFCCC has published series of environmental and social impact assessment guidelines for the different sectors outlining the key issues, principles, procedures and processes to be adopted and adhered to avoid and/or mitigate potentially negative environmental and social impacts during project planning, implementation and operation by government, public and private entities.

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

- Covers agricultural, household, public health, and industrial pesticides;
- Provides registration and control responsibilities to the Ministry of Agriculture;
- Seeks to promote safer pesticide handling and use in the country;
- Requires that all pesticides should be registered based on demonstrated product effectiveness and safety for humans, non-target organisms and the environment;
- Prohibits importation of highly hazardous, severally restricted or banned pesticides (including most Organo-chlorines); and
- Obliges that all pesticides must display labels that meet specific Ministry of Agriculture label requirements.

Ethiopian Water Resources Management Proclamation, No. 197/2000: The proclamation is decreed to ensure that the water resources of the country are protected and utilized for the highest social, economic and environment benefits of the people of Ethiopia; to follow up and supervise that they are duly conserved; to ensure that harmful effects of water are prevented and that the management of water resources is carried out properly. It proclaims that all water resources of the country are the common property of the Ethiopian people and the state. It has provisions on general principles of water use and management, inventory of water resources,

professional engagement in water resource management and supply. Among other articles, the proclamation clearly indicates the requirements on water bank management and prevention of harmful effects on water resources in the articles 24 and 25 of the proclamation. The supervising body (the ministry), in collaboration and in consultation with the appropriate public body may:

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

Labour Proclamation (1156/2019): The Labour proclamation requires an employer to take the necessary measures to adequate safeguard the health and safety of the workers. The new Labor Proclamation No. 1156/2019 is enacted with a view to securing durable industrial peace, sustainable productivity and competitiveness that will contribute to the overall development of the country. The Proclamation has introduced new concepts. It has also modified some of the existing provisions which were unclear, and therefore, prone to various interpretations.

It is found necessary to reformulate the existing labour law (Proclamation 377/2003), with a view to attaining the below stated objectives and in accordance with and in conformity with the international conventions and other legal commitments to which Ethiopia is a party.

The major objectives of the proclamation include the following:

- To ensure that worker-employer relations are governed by the basic principles of rights and obligations;

- To lay down a working system that guarantees the rights of workers and employers to freely establish their respective associations and to engage, through their duly authorized representatives, in social dialogue and collective bargaining, as well as to draw up procedures for the expeditious settlement of labour disputes, which arise between them;

- To create favorable environment for investment and achievement of national economic goals without scarifying fundamental workplace rights by laying down well considered labour administration; and determine the duties and responsibilities of governmental organs entrusted with the power to monitor labour conditions; occupational health and safety; and environmental protection together with bilateral and tripartite social dialogue mechanisms; political, economic and social policies of the Country.

3.4.2. Relevant Guidelines and Directives

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

Environmental Impact Assessment Guideline, May 2000: The guideline provides the policy and legislative framework, the general ESIA process and key sectorial environmental issues, standards and recommendations for environmental management in key sectors such as agriculture, industry, transport, tannery, dams and reservoirs, mining, textiles, irrigation, hydropower and resettlement projects. Guidelines for the different sectors include the following:

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

Environmental and Social Management Plan Preparation Guideline, Nov. 2004: The guideline provides the essential components to be covered in any environmental management plan (e.g., identified impacts, mitigation measures, monitoring, capacity building, etc.) and structured formats for mitigation measures, monitoring and institutional arrangements.

A Directive Issued to Determine Projects Subject to Environmental Impact Assessment, Directive No.1/ 2008: The directive was issued to identify and list out those investment projects subject to mandatory Environmental Impact Assessment. The regions are entitled to issue similar directive to their own specific cases based on these directives.

3.5. World Bank Environmental and Social Standards applicable to RLLP-II

Proposed subprojects vary in their impact depending on type, location, sensitivity, scale and the nature and magnitude of potential environmental and social impacts. This updated ESMF is, therefore a framework document that serves as an instrument in the implementation of the environmental and social standards for RLLP-II financed woredas. The ESSs set out the requirements of the World Bank relating to the identification and assessment of environmental and social risks and impacts of RLLP-II, establish the standards that RLLP-II will meet throughout the project life cycle. The nine ESSs that apply to RLLP-II are elaborated in detail as follows:

ESS1: Assessment and Management of Environmental and Social Risks and Impacts

The objective of this ESS is to identify, evaluate and manage the environment and social risks and impacts adopt a mitigation hierarchy approach Including avoidance , minimize or reduce risks and impacts to acceptable levels, utilize national environmental and social institutions, systems, laws, regulations and procedures in the assessment, development and implementation of projects, whenever appropriate & promote improved environmental and social performance, in ways which recognize and enhance MoA capacity.

This standard sets responsibility to the MoA to assess, manage and monitor environmental and social risks and impacts to achieve environmental and social outcomes associated with RLLP-II. MoA will conduct environmental and social assessment of subprojects to ensure that projects are environmentally and socially sound and sustainable. Accordingly, the project will manage environmental and social risks and impacts throughout the project life-cycle in a systematic manner, proportionate to the nature and scale of the project and the potential risks and impacts. The environmental and social impact of RLLP-II is largely positive, especially given that activities play a pivotal role in rehabilitating degraded landscapes and conservation of valuable ecosystems through afforestation/reforestation, and biological and physical soil and water conservation practices on agricultural lands and other ecologically critical ecosystems. The project is designed to create resilient landscapes and livelihoods for vulnerable rural populations in Ethiopia and, hence its potential negative environmental and social impacts are not likely to be significant, because the project is not complex and does not involve activities that have significant potential for harming the environment and the people. The project will also improve climate resilience, land productivity and carbon storage, improve access to diversified sources of income in selected vulnerable rural major watersheds found in Amhara, Benishangul Gumuz, Gambella, Oromia, Sidama, SNNP and Tigray regional states.

Nonetheless, the Project will finance supporting infrastructure such as soil and water conservation activities, like for example, terraces, water harvesting trenches, and other civil works; soil fertility and moisture management; assisted natural regeneration, enclosures plus

backyard livestock land use rationalization, intercropping, low tillage, gully reclamation, watering points and wells, etc. that may entail potential negative impacts to the social and physical environment. Some of the environmental and social related concerns include: limited capacity at local levels for the E&S risk analysis and implementation; possible introduction of exotic/invasive species and genetic materials; safety issues due to labor works during the watershed management practices; increased use of improved crop varieties may demand the use of chemicals: fertilizers and pesticides and this might cause disposal of their packing materials; potential impact on biodiversity, mainly as a result of expansion of pasture and farm lands, introduction of new breed species of crops, seeds or animals; OHS hazards during any civil works and during operation phase such as disease transmission; competition over land, water and pasture (intra and inter woredas), lack of forages from expansion of agricultural crop production, Construction water harvesting structures, community pond may cause competing claims upper & down streams over water and conflicts, mismanagement of water may cause gully erosion and loss of water due to mismanagement, etc.

Hence, as per the ESS1 requirement, the MoA will undertake an environmental and social assessment to assess the environmental and social risks and impacts of RLLP-II throughout the project life cycle. The impacts will be minimized by addressing the capacity needs at all levels, carefully designed and community vetted inclusive targeting criteria to identify eligible households prioritized based on local context and incorporating site specific mitigation measures prepared in the ESMPs. The ESMF includes items in the screening checklist about potentials for both environment and social related risks including vector-borne diseases and acknowledge the disease outbreak are potential impacts of water harvesting structures as they could provide habitat to water- and vector-borne diseases, such as schistosomiasis and malaria. This risk will be given a little more emphasis by: (i) including in the scope of screening and assessments of individual subprojects; and, (ii) requiring a system of disease surveillance (alert system) in the project areas.

ESS 2: Labor and Working Conditions

ESS2 recognizes the importance of employment creation and income generation in the pursuit of poverty reduction and inclusive economic growth. The objectives of ESS2 are: To promote safety and health at work, promote the fair treatment, nondiscrimination and equal opportunity of project workers, protect project workers, including vulnerable workers such as women, persons with disabilities, children (of working age, in accordance with this ESS) and migrant workers, contracted workers, community workers and primary supply workers, as appropriate, prevent the use of all forms of forced labor and child labor, support the principles of freedom of association and collective bargaining of project workers in a manner consistent with national law and provide project workers with accessible means to raise workplace concerns.

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RLLP II project is not expected to create large-scale labor influx. Within the project implementing entities most staff are civil servants under the Bureaus of Agriculture. The project implementation will involve direct, contracted and community labor coordinated by the MoA, under National Program Coordinator for Sustainable Land Management Program (SLMP). The direct labor includes, the MoA, under SLMP, RLLP II staff, Regional RLLP II staff, Woreda experts, development agents and Kebele community facilitators. Contracted workers will include local companies hired to undertaken small scale civil works such as community infrastructure (water sources and roads.) Community workers will be involved in soil and water conservation work under component 1 as well as sustainable land use practices. Project workers will be subject to the relevant requirements of ESS2 via the Labor Management Procedures (LMP) including clear information on the terms and conditions of employment, principles regarding non-discrimination and equal opportunity, rules regarding child labor and forced labor, and occupational health and safety measures.

ESS 3: Resource Efficiency and Pollution Prevention and Management

This standard recognizes that increased economic activity and urbanization often generate increased levels of pollution to air, water, and land, and consume finite resources in a manner that may threaten people, ecosystem services and the environment at the local, regional, and global levels. There is also a growing global consensus that the current and projected atmospheric concentration of greenhouse gases (GHG) threatens the health and welfare of current and future generations. Simultaneously, more efficient and effective resource use, pollution prevention and GHG emission avoidance, and mitigation technologies and practices have become more accessible and achievable.

The project largely contributes for positive outcomes in terms of efficient use of energy resources and pollution prevention through supporting and encouraging enterprises and formal and traditional saving groups to manufacture, promote and sale fuel saving cook stove and alternative cooking fuels, and as well for the purchase of renewable energy/energy efficient products.

Farm water and soil moisture management practices (Climate Smart Agriculture (CSA) practices are part of promoting sustainable livelihoods. Some of these CSA practices may indirectly involve and may demand the use of agrochemicals; including fertilizers, herbicides and insecticides for both crop and livestock improvements. In due of this, MoA promotes IPM approaches, such as biological control, cultural practices and use of crop varieties that are resistant or tolerant to pests. The use of chemicals is in accordance with Recommended Classification of Pesticides by Hazard and Guidelines to Classification (WHO, 1994/95). However, the following criteria must be applied during selection of pesticides, that pesticides (i) should not have adverse human health effects; (ii) should be effective against the target species; (iii) should have no/minimal effect on non-target species and the natural environment; (iv) should not lead to the development of resistance in pests. In view of this, Ethiopian legislation requires that all pesticides to be used in the country should be registered by the respective authority (MoA) on the basis of demonstrated product effectiveness and safety for humans, non-target organisms and the environment. The ESMF provision will include a description of Integrated Pest Management (IPM) approaches that would elaborate on what actions need to be undertaken to minimize environmental, health and safety impacts. The guideline prepared on IPM can be referred from Annex 5. In line with this, integrated pest management tools and manuals developed for certain crops and livestock by Ethiopian MoA, in collaboration with the UN Food and Agriculture Organization (FAO), will be consulted and/or applied, as required.

Nevertheless, MoA shall ensure that all pesticides used will be manufactured, formulated, packaged, labelled, handled, stored, disposed of, and applied according to relevant international standards and codes of conduct.

ESS 4: Community Health and Safety

The standard recognizes that project activities, equipment, and infrastructure can increase community exposure to risks and impacts. Communities that are already subjected to impacts from climate change may also experience an acceleration or intensification of impacts due to project activities. It addresses the health, safety, and security risks and impacts on project-affected communities and the corresponding responsibility of the project to avoid or minimize such risks and impacts, with particular attention to people who, because of their particular circumstances, may be vulnerable.

In line with safety provisions in ESS2, it is equally important to ensure the health and safety of communities from the potential impacts and risks of sub projects including soil and water conservation work such as stone bunds, roads, water harvesting structures, check dams construction of flood control structures, bridges, etc. which may pose risks to slips and falls due to wet surface and hillside activities, dust that can affect eyes, and other respiratory problems. Water structures such as community earth ponds, hand-dug well, shallow wells have risks

associated with water borne and vector borne diseases and physical fall safety risks for children and animals.

This ESMF includes provisions to integrate response and mitigation strategy including: allocate budget to fence or put clear sign on projects with potential risk; implement dust suppression techniques; plan for training and awareness creation on community health and safety hazards; and possible protection measures for coordinators and implementers at all level and for the communities. The guideline for small dam construction prepared by the MoA will be used to ensure safety of small dams (Annex 13). Further, the project will use AGP Small Dam Safety Guidelines. Generic dam safety measures designed by qualified engineers in accordance with Good International Industry Practice (GIIP) will be adopted and implemented with respective requirements to be outlined in the ESMF. The environmental and social assessment will confirm that there will be no or negligible risk of significant adverse impacts due to potential failure of the dam structure to local communities and assets, including assets to be financed as part of the proposed project. Prevalence of vector borne disease as a result of water logging and possible drowning of children or animals will also be another area of concern that will be addressed through the site specific ESMPs.

It is also equally important to ensure the safety of communities from the potential impacts and risks with rehabilitation, treatment of gully sites and community infrastructure works. This will include unlikely occurrence of environmental and social impacts; such as, invasive species prevalence, possible health impacts, labor influx (even if there is minimal labour influx) that disrupts communities, Gender-Based Violence (GBV) and sexual exploitation. While the watershed management works to be financed are limited in scale and scope, the project will develop a project level Health, Safety and Environment (HSE) protocol in line with World Bank Group Environment, Health and Safety Guidelines (EHSG) which serves as a basis for the preparation of subprojects HSE plan and implement for construction activities.

Further, the risk of sexual exploitation due to workers' relations with local women or girls will be mitigated through reliance on the analytical work and proposed action plan which define the RLLP-II's approach on gender, which is based on an exploration of values and norms, and the legal, social and economic context. Establish Community Communication Protocol: the project will adopt a comprehensive community communication and outreach protocol which will cover community health and safety with specific provisions to be included in each sub-project ESMP, SEP, LMP. By its very nature, RLLP-II involves large community based work force and therefore application of any precautionary measures against introducing the COVID 19 epidemic will be taken based on the ESMF/Safeguards Interim Note: COVID-19 Considerations in Construction/Civil Works Projects Guidance note, and guiding tools prepared by the PCU to protect the local communities. However, if subproject civil works will be undertaken by

contractors, MoA shall enter in to contract agreements with contractors in determining what obligations should be considered in relation to the current situation.

ESS 5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

ESS5 recognize that project related land acquisition and restriction on land use can have adverse impacts on communities and persons. Project related land acquisition or restriction on land use may cause physical displacement (relocation, loss of residential land or loss of shelter), economic displacement (loss of land, assets or access to assets, leading to loss of income sources or other means of livelihood) or both. The term "involuntary resettlement" refers to these impacts. Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in displacement.

The environment and social standard on land acquisition and restriction on land use aims to: avoid involuntary resettlement or, when unavoidable minimize involuntary resettlement by exploring project design alternatives; To avoid forced eviction; to mitigate unavoidable adverse social and economic impacts from land acquisition or restrictions on land use by (i)providing timely compensation for loss of assets at replacement cost; and (ii) Assisting displaced persons in their efforts to improve, or at least restore their livelihood and living standards in real terms to pre-displacement levels or to levels prevailing prior to the beginning of project implementation whichever is higher

To improve living conditions of poor or vulnerable persons who are physically displaced, through provision of adequate housing access to services and facilities and security of tenure

- To conceive and execute resettlement activities as sustainable development programs, providing sufficient investment resources to enable displaced persons to benefit directly from the project as the nature of the project may warrant.
- To ensure that the resettlement activities are planned and implemented with appropriate disclosure of information, meaningful consultation, and the informed participation of those affected.

RLLP II deals with rehabilitation, civil works, treatment of gully sites and community infrastructure. The scope of land take would be small. ESS5 is applied recognizing that Component 1 may induce land acquisition or affect access to and use of natural resources. Therefore, this ESS applies to permanent or temporary physical and economic displacement resulting from land acquisition or restrictions on land use undertaken or imposed in connection with project implementation:

Under RLLP II, activities related to afforestation and reforestation sub-projects may not necessarily cause significate involuntary land acquisition since such projects will be implemented on communal lands. However, such activities may trigger ESS5 during enclosure of areas for rehabilitation and natural regeneration since it restricts access to natural resources.

ESS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources

ESS6 recognizes that protecting and conserving biodiversity and sustainably managing living natural resources are fundamental to sustainable development. This ESS addresses conservation of biodiversity, which is defined as the variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species, and of ecosystems. This ESS also addresses sustainable management of living natural resources, which are defined as plants and animals produced or harvested for human or animal consumption and use. ESS6 recognizes the importance of maintaining core ecological functions of habitats and the biodiversity they support and that all habitats support complexities of living organisms and vary in terms of species diversity, abundance and importance. ESS6 also addresses the need to consider the livelihood of affected communities, including Indigenous Peoples, whose access to, or use of, biodiversity, ecosystem services, or living natural resources may be affected by a project. The potential, positive role of affected communities, including Indigenous Peoples, in biodiversity conservation and sustainable management of living natural resources will also be considered.

RLLP-II is to finance afforestation/re-afforestation and other natural resource management (range land management, area enclosure) related activities for which ESS6 would apply., RLLP-II sub projects will exclude areas that qualify as critical natural habitats and sub-projects that would infringe upon protected areas. However, it may affect rangelands and other natural habitats, for which ESS6 will apply to protect even those non-critical natural habitats from any adverse impacts. Hence, this updated ESMF ensures that sub-projects will be screened in conformity with the requirements of the ESS6 and that appropriate preventive or mitigation measures are formulated and executed. The ESS6 is applicable as the project areas are likely to encompass some forests which may be reforested and rehabilitated. The project ESMF provides guidance that subprojects are screened against these kinds of environmental related risks and that appropriate preventive or mitigation measures are formulated and executed.

RLLP-II should monitor gains and losses in biodiversity or individual species in the project areas, to understand the level of impact these changes over the course of the project and beyond as part of annual environment audit (potential environmental and social impacts with their mitigation measures are in Annex 8 and Annex 9).

ESS 7: Historically Underserved Traditional Local Communities

The ESS 7 recognizes that Historically Underserved Traditional Local Communities have identities and aspirations that are distinct from mainstream groups in national societies and often are disadvantaged by traditional models of development. In many instances, these groups are among the most economically marginalized and vulnerable segments of the population. The aim of ESS 7 is to contribute to poverty reduction and sustainable development by ensuring that projects supported by the World Bank enhance opportunities for Historically Underserved Peoples to participate in, and benefit from, the development process in ways that do not threaten their unique cultural identities and well-being. Their economic, social, and legal status frequently limits their capacity to defend their rights to, and interests in, land, territories and natural and cultural resources, and may restrict their ability to participate in and benefit from development projects. In many cases, they do not receive equitable access to project benefits, or benefits are not devised or delivered in a form that is culturally appropriate, and they may not always be adequately consulted about the design or implementation of projects that would profoundly affect their lives or communities.

The project will be implemented in Gambella, Benishangul, and areas where there are pastoralists and agro pastoralists in Oromia and SNNP regional states who meet the criteria of ESS7.

The RLLP II SA is made in all the seven regions including Gambella and Benishangul Gumuz where these underserved people are found. The social risks and impacts relating to ESS7 have been assessed through an enhanced SA and extensive engagement process with potential project beneficiaries, including those identified as vulnerable groups and underserved peoples. The engagement process will enable communities to voice their views, concerns, and a range of recommendations resulting from the SLMP-II implementation experience, have already been incorporated into the project design. Based on the assessment report, some of the interventions may pose some undesirable impacts on these peoples. To avoid and mitigate the potential impacts social development plan prepared and will be implement accordingly. Therefore, to avoid/mitigate the impacts ESS7 is applicable by RLLP II.

ESS 8: Cultural Heritage

ESS 8 recognizes that cultural heritage provides continuity in tangible and non-tangible forms between the past, present and future. Cultural heritage, in its many manifestations, is important as a source of valuable scientific and historical information, as an economic and social asset for development, and as an integral part of people's cultural identity and practice. ESS 8 aims to ensure that the MoA protects cultural heritage throughout the project life-cycle. This ESS sets out general provisions on risks and impacts to cultural heritage from project activities.

In the project location that may constitute physical cultural resources in the sense described in ESS8. Although the nature and scope of the proposed subprojects is not known at this stage, they are unlikely to involve any major excavation work or inundation of areas with water and are thus not likely to affect any physical cultural resources. Furthermore, subprojects will be carried out only in areas selected, through a broader consultative process that includes prior informed consent, by local citizens (including engagement of cultural or religious leaders) who would normally give great importance to safeguarding their cultural resources. Nonetheless, ESS8 will be consulted on the assumption that there could be "chance find". There are national procedures and guidelines for reporting chance finds to be followed, and a national entity for coordinating and facilitating the archiving, safekeeping and documentation of physical cultural resources. Furthermore, the screening process will be conducted in consultation with the communities and kebele development committee at the early stages of subproject selection and prioritization phase. It should be done by applying a simple checklist and used as a format for fast track eligibility checking of identified sub-projects. RLLP II will work closely with the national authority, should any chance find issues arise. The ESS8 is applicable to RLLP-II, because access road construction, small scale dam construction, and other similar infrastructures may possibly affect physical and cultural resources.

ESS 10: Stakeholder Engagement and Information Disclosure

This ESS recognizes the importance of open and transparent engagement between the Borrower and project stakeholders as an essential element of good international practice. Effective stakeholder engagement can improve the environmental and social sustainability of projects, enhance project acceptance, and make a significant contribution to successful project design and implementation.

The objective of stakeholder engagement is to incorporate views from stakeholders through meaningful consultations and feedback to improve the environmental and social sustainability of the project, enhance its acceptance, and make a significant contribution to successful project design and implementation. Thus, SEP were prepared prior to the project appraisal which will be used throughout the project life. The SEP outlines the ways in which the project team will communicate with stakeholders and includes a mechanism by which people can raise concerns, provide feedback, or make complaints about project activities. The involvement of different stakeholders, including the local population is essential to the success of the project in order to ensure smooth collaboration between project staff and local communities. These will help to minimize and mitigate environmental and social impacts and risks related to the proposed project activities. In the context of RLLP II, broad, culturally appropriate, and adapted awareness raising activities are particularly important to properly sensitize the communities to the potential benefits and risks related to project activities implementation, and measures to be taken to avoid and if

avoidance is not possible to minimize and mitigate those risks. The SEP will also assure the participation of men and women. As a key focus of the project is to ensure that vulnerable groups including historically underserved people can access project benefits, the stakeholder engagement process shall ensure that their views are incorporated in project design and implementation, and that risks particularly affecting women and girls are adequately assessed and mitigated. Due to the presence of underserved communities in regions, Gambella, Benishangul Gumuz, in parts of regions Oromiya and SNNPR, any specific engagement requirements for their participation will be provided in the SEP.

SEP also helps to clearly identify roles and responsibilities of stakeholders at different level. As consultation as a continuous activity, RLLP II will engage stakeholders at different level, including communities as per the stakeholder engagement plan which will be adapted to the evolving nature of COVID 19.

Environmental, Health and Safety Guidelines

EIA Guideline, July 2000

The EIA Guideline Document provides essential information covering:

- Environmental Assessment and Management in Ethiopia
- The Environmental Impact Assessment Process
- Standards and Guidelines
- Issues for sectoral environmental impact assessment in Ethiopia covering: agriculture, industry, transport, mining, dams and reservoirs, tanneries, textiles, hydropower generation, irrigation projects and resettlement projects.
- The guideline also contains annexes that: (i) identify activities requiring a full EIA, partial measure or no action; (ii) contain sample forms for application and; (iii)provide standards and guidelines for water and air.

EIA Procedural Guideline, November 2003

The guideline outlines the screening, review and approval process for development projects in Ethiopia and defines the criteria for undertaking an EIA.

Guideline for Environmental Management Plan (draft), May 2004

The guideline outlines the necessary measures for preparation of an Environmental Management Plan (EMP) for proposed developments in Ethiopia and the institutional arrangements for implementation of EMPs.

Waste Handling and Disposal Guideline, 1997

The Government has developed Waste Handling and Disposal Guideline which is being used by health facilities since 1997. The Guidelines are meant to help industry and local authority to deal with the waste situation at a local level.

National Sanitation Protocol

The Ministry of Health has developed a National Sanitation Protocol which is designed to follow the national strategy for hygiene and sanitation improvement with its focus on universal access (100% hygienic and sanitized households) in rural or peri-urban environments.

International Conventions

Ethiopia has also ratified several environmental related international conventions, agreements and protocols, which are to be enforced nationally with appropriate regulations. These include:

- The Rotterdam Convention on Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade
- The Bamako Convention Basel Convention on the Control of theTrans-boundary Movements of Hazardous Wastes and their Disposal
- Convention on Biological Diversity (CBD) and the Cartagena Protocol on Biosafety
- Convention to Combat Desertification

3.5.1. The World Bank Occupational and Health Guidelines on COVID-19

The World Bank Groups Environment, Health and Safety Guidelines (EHSGs) will be applied as part of implementation of the RLLP. The following WB guideline will apply on Occupational Health and Safety: https://www.ifc.org/wps/wcm/connect/1d19c1ab-3ef8-42d4bd6bcb79648af3fe/2%2BOccupational%2BHealth%2Band%2BSafety.pdf?MOD=AJPERES&CVID=ls62x8l.

The World Bank Group, CPF for Ethiopia for 2018-2022 strives to assist Ethiopia in forging a more inclusive and sustainable growth path. The CPF, which has been adjusted to meet the challenges posed by COVID-19, includes focus areas and objectives for implementing the World Bank Group global approach in addressing the pandemic's impact. Support is being provided across four pillars, consistent with the overall World Bank Group approach: (i) Saving Lives, (ii) Protecting Poor and Vulnerable People, (iii) Ensuring Sustainable Business Growth and Job Creation, and (iv) Strengthening Policies, Institutions and Investments. World Bank Group support under these pillars is geared to three expected stages of crisis response: relief—emergency assistance to confront the immediate threat to public health, as well as short-term economic, financial and

social impacts; restructuring—strengthening health systems, restoring human capital, and pursuing economic reforms, debt resolution, and recapitalization of firms and financial institutions; and resilient recovery—exploiting new opportunities for more inclusive, resilient, and sustainable longer-term development.

Current World Bank engagement aims to provide a rapid response to COVID-19 while ensuring that recent poverty reduction gains are not lost, and longer-term development impact is supported through expanded jobs creation and transformational structural reforms. The World Bank Group in Ethiopia is applying the corporate approach to helping the country address the COVID-19 challenge through relief, restructuring, and resilient recovery. Relief is being supported by emergency response and longer-term health systems support as well as maintaining strong social protection programs in rural and urban areas to mitigate the social and economic impacts of the crisis. Restructuring is to be pursued through support for business environment improvements, including for the financial sector; for enhanced infrastructure financing and debt management; and for a strong human capital focus. Finally, resilient recovery – building back better – will be achieved through continued work on safety nets, national agriculture program, as well as support for rapid expansion of access to power and renewable energy and improved connectivity both in transport and telecommunication. Most importantly, reforms for growth and competitiveness will have a central role in recovery, including for an improved financial sector and better business climate.

Additional sources on COVID-19

https://www.worldbank.org/en/news/feature/2020/05/19/community-responses-to-covid-19-from-the-horn-of-africa-to-the-solomon-islands
https://www.worldbank.org/en/news/feature/2020/04/11/women-self-help-groups-combat-covid19-coronavirus-pandemic-india
https://worldbankgroup.sharepoint.com/sites/wbunits/opcs/Knowledge%20Base/Public%20Consultations%20in%20WB%20Operations.pdf
https://www.who.int/docs/default-source/coronaviruse/covid-19-sprp-unct-guidelines.pdf

3.5.2. National COVID-19 Comprehensive Management Guideline

Ethiopia, being one of the countries with limited trained human and material resources, is expected to be affected most by the global COVID-19 pandemic. In order to make all preventive and treatment endeavors uniform in Ethiopia the need for national COVID-19 prevention and treatment guideline is given priority by Ministry of Health (MOH) and Ethiopian Public health

Institute (EPHI). The guideline has taken into consideration the culture, leaving condition and background of the people and is made as much as possible understandable and usable by most levels of health care professionals. This prevention and treatment guideline encompasses principles of infection prevention and control, starting from the scene up to discharge and safe burial system in case of death. Management of critically ill patients, in wards and ICU is discussed in the guideline. Ethical considerations regarding safety of health professionals and bioethics have been included. The recommendations in this guideline are based on limited studies available and recommendation by WHO and CDC. The guideline requires all healthcare facilities must ensure that health professionals are well trained and able to implement infection control procedures and COVID-19 management. The guideline consists of various sections on relevant protocols including emergency operation, infection prevention and control, laboratory testing and case management, risks assessment and mitigation of exposure as well as rights, roles and responsibilities, OHS of healthcare workforce in the management of COVID-19 and risks communication and community engagement protocols.

In addition, in line with the WHO guidance on the water, sanitation and health care waste that is relevant to viruses, including coronavirus, the MoE and EPHI has developed a WASH guideline to be adopted by water and sanitation practitioners as well as health care providers. The provision of safe water, sanitation, and hygienic conditions is essential to protecting human health during all infectious disease outbreaks, including the COVID-19 outbreak. Ensuring good and consistently applied WASH and waste management practices in communities, homes, schools, marketplaces, and health care facilities will help prevent human-to-human transmission of the COVID-19 virus.

3.5.3. The Ministry of Agriculture Guideline on COVID-19

In low- and middle-income countries (including Ethiopia), the stress placed on health systems by the COVID-19 pandemic is likely to be disproportionately felt by the poor who suffer from lower access rates and public systems struggling to meet last mile service delivery in the best of times. With the outbreak and spread of COVID-19, people have been advised, or may be mandated by national or local law, to exercise social distancing and avoid community gatherings to prevent and reduce the risk of virus transmission. The proposed Project (RLLP-II) is consistent with both the CPF and the COVID-19 response adjustments of the WB, contributing directly to the economic recovery phase of the COVID-19. The MoA currently have prepared draft document/specific guidance for project teams and regional Bureaus of Agriculture (BoAs) for COVID-19, and these are relevant and applicable to project implementation work in RLLP watersheds. The NPCU has also developed specific operational guideline, through an integrated approach, to help RLLP-II achieve its PDO while minimizing the health and socio-economic risks that are associated with the pandemic. The guideline is to set to follow an approach that will help the rural communities

in the watersheds, stakeholders and the PCUs staff during consultation, beneficiary targeting, trainings and monitoring and technical support and undertake in a safe manner.

Given Ethiopia's projected fall in growth, increase in unemployment, and overall expected increase in poverty, RLLP-II, also will be one and an important intervention during the recovery phase by targeting support to vulnerable populations, promoting jobs and food security through access to diversified livelihoods, and helping the country build back better through a climate resilient economy. The Project therefore provides essential support for COVID-19 affected populations during the recovery phase. The project will ensure the application of Occupational Health and Safety measures associated with the pandemic (e.g. inclusion in the site specific ESMPs, SEP, LMP, environmental construction contracts and monitoring systems). The ESMF and RPF of RLLP-II will consider safety and environment measures and procedures, along with the required training and adoption of other international good practice on observing occupational health and safety related matters.

3.6. Relevant and applicable International Conventions ratified by Ethiopia

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

Cartagena Protocol on Bio-Safety to the Convention on Biological Diversity: Aims to ensure the safe handling, transport and use of living modified organisms (LMOs) resulting from modern biotechnology that may have adverse effects on biological diversity, taking also into account risks to human health.

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

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

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

UN Framework Convention on Climate Change: Provides a framework for international cooperation to combat climate change by limiting average global temperature increases and the

resulting climate change and coping with its impacts. The objective of this convention is to stabilize greenhouse gas concentrations in the atmosphere at a level that will prevent dangerous interference with the climate system.

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

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

The Rotterdam Convention (formally, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade: Promotes shared responsibilities in relation to importation of hazardous chemicals. The convention promotes open exchange of information and calls on exporters of hazardous chemicals to use proper labeling, include directions on safe handling, and inform purchasers of any known restrictions or bans.

Paris Climate Agreement/UNFCCC/ NDCs: Ethiopia intends to limits its new GHG emissions in 2030 to 145 MtCo2 or lower. This would constitute a 64% reduction from the business as usual scenario. Ethiopia's NDC intends to undertake adaptation initiatives to reduce the climate vulnerability of its population and economy by building on existing good practices including mainstreaming and scale-up of large-scale sustainable land and natural resource management initiatives.

Sustainable Development Goals: RLLP-II's activities around creation and diversification of community livelihoods will support Ethiopia's commitment to SDGs' objectives of ending poverty (Goal 1), Gender Equality and Women's Empowerment (Goal 5), urgent action to tackle climate change and its impacts (Goal 13), and effective management of PAs will halt biodiversity loss (Goal 15).

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

The RLLP-II will be implemented in different agro-ecological and administrative regions characterized by different regimes of rainfall, temperature, growing periods, socioeconomic and biophysical environments. The project will be implemented in 47newly proposed woredas. Majority of the areas are located in typically highland agro-climatic zones (in Dega or high altitude and dry Woina Dega or mid-altitude). The environmental and socioeconomic milieu of

the intervention areas are characterized by high production potential but with significant limitations due to severe land degradation, high agro-ecological variability and diverse farming systems, high population density and land fragmentation.

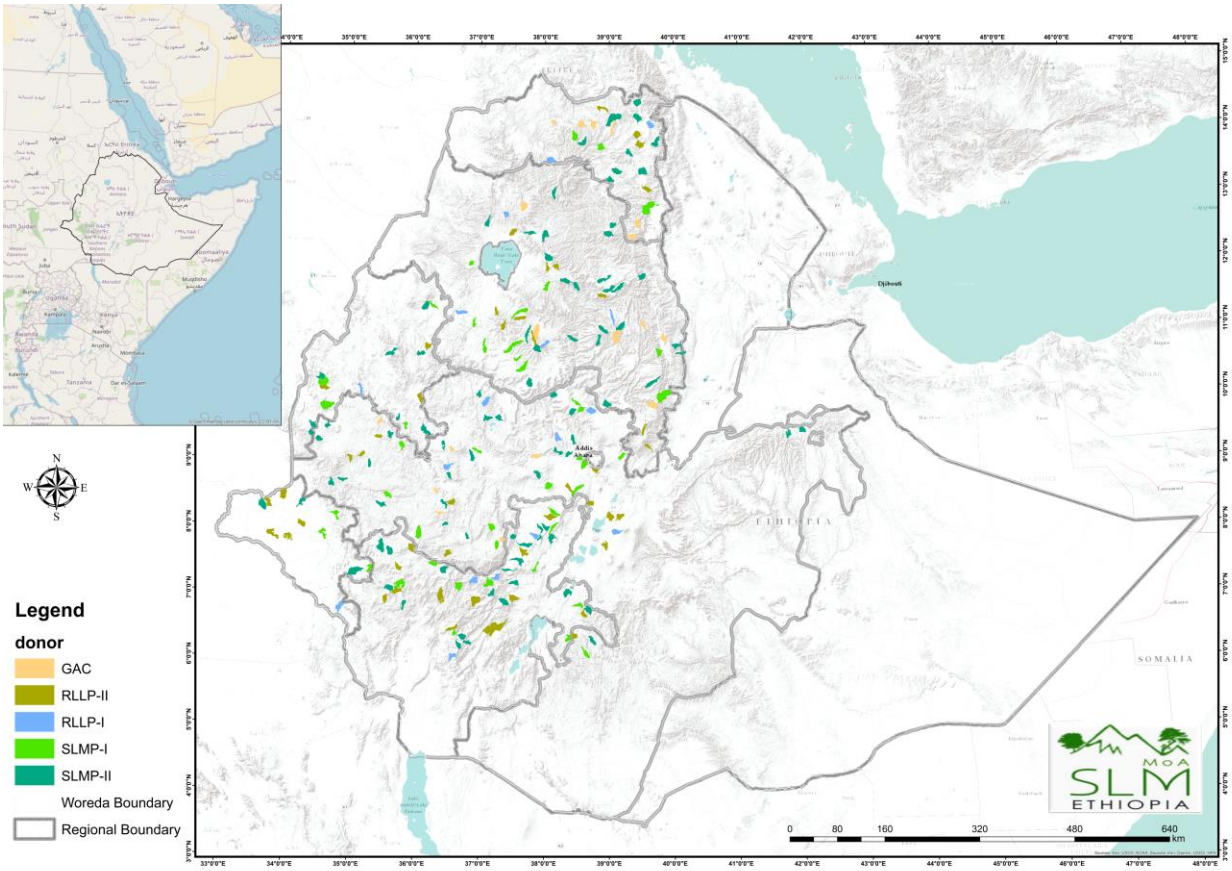

Figure 3. Location map of the RLLP-II Watersheds/woredas

Physical and Socio-demographic characteristics:

Climate: The lowlands of RLLP-II regions are characterized by high temperature and low precipitation, whereas the highland parts enjoy suitable temperatures and ample rainfall. In general, mean annual temperature in the six regions varies from less than 10^0c in high altitudes to over 30^0c in tropical lowlands. The amount, duration and intensity of rainfall in RLLP-II regions also vary considerably. The annual rainfall in the regions ranges from 303-2,553 mm.

Soil and Geology: The major types of soil in RLLP-II region include Nitosols, Vertisols, Cambisols, Acrisols, Luvisols, Lithosols, Aluvisols, Arenosols and Regolsols, most of which carry high agricultural potentials. However, soils on the highlands of the regions have been subjected to serious erosion due to human activities (deforestation, over cultivation, and poor farming practices). The Precambrian, Palaeozoic, Mesozoic, and Cenozoic rocks are the three main

geologic formations found in the RLLP-II regions. Additionally, the Proterozoic rock formation is found in Tigray Region.

4.1. Amhara National Regional State

Demographic, economic and ecological features: The Amhara National Regional State covers a total land area of approximately 154,000 km^2. The regional average landholding is 0.3 ha/household. According to the CSA, 2013 national population projection data from 2014-2017, the region has a total population of 20,018,988, out of which 84% live in rural areas. Even if more than 15 soil types are found in the region, leptosols, followed by Vertisols and Cambisols exist predominantly. RLLP-II will be implemented in 10 newly proposed woredas (Table 1).

Table 1. Amhara region newly added RLLP-II targeted woredas

RLLP-II GCF woredas		
Angolelana Tera	Farta	Quarit
Guna Begemidir	Gonji Kollela	Sedie
South Mecha	Gonder Zuriya	Berehet
Dawunt		

The climatic condition of the Region is divided into temperate (Dega), subtropical (Woina Dega) and arid (Kola) agro-climatic zones, constituting 25%, 44% and 31% of the total area of the region, respectively. Mean annual rainfall of the Region varies from 700 mm to over 2,000 mm and the temperature range is between 10^{0}C and 26^{0}C. Most of the region is on a highland plateau and characterized by rugged mountains, hills, valleys and gorges. Hence, the region has varied landscapes composed of steep fault escarpments and adjoining lowland plains in the east, nearly flat plateaus and mountains in the center, and eroded landforms in the north. The high population growth rate of the region has led to severe land shortages and rapid natural resource degradation. Cereals, pulses, and oilseeds are the major crops grown in the Amhara. Principal crops include teff, barley, wheat, maize, sorghum and millet. Pulses include horse beans, field peas, haricot beans, chickpeas and lentils. The region also has large livestock resources.

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

4.2. Benishangul-Gumuz National Regional State

Demographic, economic and ecological features: According to the CSA 2013 national population projection data from 2014-2017 accounts for a total of 50,380 km2, with a total population of

1,066,001 (541,002 males and 524,999 female). Of these, 80.63% live in rural areas. The region is located in the western part of Ethiopia, sharing borders with Gambella, Amhara, and Oromia regional states, and the Republic of South Sudan. Benishangul-Gumuz National Regional State has an altitude ranging from 580 up to 2,731 m.a.s.l and has topography dominated by river valleys which join the Abay River before it enters the Sudan.

The climate of the region is generally favorable for crop and livestock production, but agriculture remains at subsistence level mainly due to lack of experience, low technology, and underdeveloped infrastructure. The region has climatic condition of 85% Kola (Hot climate), 10% Woina Dega (Semi –Temperate) and 8% Dega (Temperate) climatic conditions. It is endowed with rich natural resources, including fertile land, water, forest, minerals, and fish. Abundant water resources are available in the region. Abay River and most of its major tributaries flow across the region that can be used for irrigation. The region is endowed with a variety of natural resources. Over 50% of the land is covered with natural forest, which also has commercial value. RLLP-II targets and will be implemented in 3 newly proposed woredas (Table 2).

Table 2. Benishangul Gumuz region newly added RLLP-II woredas

No	RLLP-II GCF woredas
1	Debati
2	Assosa
3	Yaso

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

4.3. Gambella National Regional State

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

The average annual rainfall of the region varies according to the different altitudes. While areas with 400 - 500 m.a.s.l of the western part receive 900 mm - 1500 mm/annum, areas over 2,000 m.a.s.l (eastern part) receive average rainfall ranging from 1,900 to 2,100 mm/annum. Accordingly, the average temperature is 17.5^{0}C – 27.5^{0}C and the mean annual rainfall is 900-2200mm. The majority of the population of the region lives in rural areas where their livelihood is based on sedentary agriculture (crop based, livestock based, and agro-forestry based) in which the region's economy is predominantly dependent. The region is endowed with abundant natural resources of expansive land and water which are the main source of livelihoods of the people. The main habitats of Gambella Region are forests, woodlands, swamps and rivers. Out of the total area 25% of the land is covered with forest. The region is very rich in water sources especially availability of five major rivers, namely, Baro, Akobo, Itang, Gillo and Alwero Rivers that are also trans-boundary makes the region a water tower. The RLLP-II will be implemented in 5 woredas.

Table 3. Gambella region newly added RLLP-II woredas

RLLP-II-GCF woredas	RLLP II-PROGREEN woredas
Lare	Gog
Jikawo	Jor
	Abobo

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

4.4. Oromia National Regional State

Demographic, economic and ecological features: With a total land area of approximately 353,000 km2, Oromia is the largest region accounting for about 34.3% of the country. Oromia is bounded by the country's all regional states except Tigray. Oromia also shares common borders with the neighboring countries of Sudan and Kenya. According to the 2007 national census, the region has an estimated population of 27. 2 million, the largest of all the nation's regional states. More than 87% of the people of Oromia live in rural areas while 13% reside in urban areas.

The topography of Oromia Region varies from high rugged mountain ranges, undulating plateaus, panoramic gorges and deep incised river valleys, and rolling plains, with altitudes ranging from less than 500 m.a.s.l. to over 4500 m (Mt. Batu being the highest peak at 4607 m). Oromia accounts for 51.2% of the crop production, 45.1% of the area under temporary crops and 44% of the total livestock population of Ethiopia. Coffee is the main cash crop in the region. The

major crops grown in the region are coffee, maize, wheat, barley, teff, sorghum, peas, bean and oil seeds. The average land holding size per household in the rural areas is 1.14 hectares, compared to the national average of 1.01 hectares. 24% of the population is engaged in non-farm activities (compared to the national average of 25%). RLLP-II will be implemented in 12 newly added proposed woredas (Table 4).

Table 4. Oromia region newly added RLLP-II woredas

RLLP-II GCF woredas		
Akaki	Hetosa	Tole
Boji Chokorsa	Borecha	Dale Sadi
Dale Wabera	Dama	Shebe Senbo
Dugda	Ziway Dugda	Munesa

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

4.5. Sidama National Regional State

Demographic, Economic and ecological Features: Sidama Region is one of the regional states (*kililoch*) of Ethiopia. Sidama is bordered on the south by the Oromia Region (except for a short stretch in the middle where it shares a border with Gedeo zone), on the west by the Bilate River, which separates it from Wolayta zone, and on the north and east by the Oromia Region. The region has a population of around 3.2 million in 2017 who speak the Cushitic languages Sidama (also known as Sidaamu Afoo). It has a total area of 10,000 km^2, of which 97.71% is land and 2.29% is covered by water. Of the land, 48.70% is cultivated, 2.29% is forested, 5.04% is shrub and bush land, 17.47% is grazing land, 18.02% is uncultivated, 6.38% is unproductive and 2.10% has other uses. Some of the cultivated lands are in undulating escarpment and create difficulties for the farmers in the area.

Sidama region has a variety of climatic conditions. Warm conditions cover 54% of the area, locally known as Gamoojje or Woinadega, this is a temperate zone ranging from an elevation of 1500 m

to 2500 m above sea level, mean annual rainfall varies between 1200 mm and 1599 mm, with 15 °C to 19.9 °C average annual temperature. A hot climatic zone, Kolla, covers 30% of the total area, elevation ranges from 500 m to 1500 m above sea level with a mean annual rainfall of 400 mm to 799 mm, and the mean annual temperature ranges from 20 °C to 24.9 °C. Cool climatic conditions known as Aliicho or Dega exist in the mountainous highlands. This covers 16% of the total area with an elevation between 2500 m and 3500 m above sea level. This part gets the highest amount of rainfall, ranging from 1600 mm to 1999 mm and it has a mean annual temperature of 15 °C to 19.9 °C.

Most residents are subsistence farmers and the economy of the region is based primarily on subsistence agriculture characterized by archaic production techniques. The communities in Sidama Region have been practicing integrated agriculture (crop production like Enset false banana, wheat, maize, sugar cane, etc. and livestock) for their survival and as income generation. Sidama is a major organic coffee growing area, where the majority of the communities are producing coffee, which is the main cash crop and main income generating agricultural activity. The region supplies over 40% of washed coffee to the central market. Most coffee producing farmers use natural fertilizers and not artificial fertilizer. As the coffee of Sidama is local variety, it has special aroma (unique test). The prevalent farming system of the midlands of Sidama is under stress mainly because of burgeoning human population. Land erosion is commonly observed by farmers who consider it a major problem though in some plots nutrients surplus, as unused manure, was observed. Pastureland is shrinking and degrading in its botanical composition. Most of the abundant water resources are now polluted. RLLP-II targets 1 woreda.

Table 5. Sidama region newly added RLLP-II woreda

RLLP-II GCF woreda
Bursa
1

Ethno-Religious Features: The four largest ethnic groups reported in the Region were the Sidama (88.6%), the Amhara (4.15%), the Oromo (2.97%), and the Wolayta (1.84%); all other ethnic groups made up 2.44% of the population. 62.54% of the population practiced Protestant, 13.64% observed traditional religions, 8.24% practiced Ethiopian Orthodox Christianity, 8% were Muslim, and 4.24% embraced Catholicism.

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

Demographic and Economic Features: SNNPR covers an area of 105,887.15 km2, and accounts for 9.5% of the total area of the country. The region is home to more than 45 indigenous ethnic groups. SNNPR is located in the southern and south-western parts of the country. The SNNPR

borders Kenya to the south (including a small part of Lake Turkana), the Ilemi Triangle (a region claimed by Kenya and South Sudan) to the southwest, South Sudan to the west, the Ethiopian region of Gambela to the northwest, and the Ethiopian region of Oromia to the north and east. According to the Central Statistics Agency (CSA), the population projection data of all regions of 2017, SNNPR has a total population of 19,170,007 (9504395 males and 9,665,075 female). This region has an estimated average population density of 141 persons per square kilometer. The region has undulating topography and is dissected by the Omo river basin into western and eastern parts. The elevation ranges from 376 to 4207 m.a.s.l, the lowest part being Lake Rudolf in South Omo and the highest being Mount Goge in North Omo. About 56% of the total area of the region lies below 1500 m.a.s.l, and is largely categorized as hottest low land, *Kolla*. The rest 44% is found in the temperate climatic zone. The mean annual rainfall of the region ranges from 500 to 2200 mm, its intensity, duration and amount increases from south to northeast -northwest. The mean annual temperature ranges from 15^0C to 30^0C.

The larger portion of the Region is cultivated land (35%), followed by forest land (21%), and grazing land (14.9%). Agriculture is still the single most important economic activity of the Region. The land holding of peasants is generally very small and the average land holding is less than one hectare per household. Livestock production is the region's major economic activity, followed by *enset* and coffee production, fisheries, irrigation, and eco-tourism. Teff, wheat, maize and barely are the main crops grown in most of the areas in the region. SNNPR has five national parks (Mago, Nechsar, Omo, Chebera Churchura and Maze), and two wild life reserves (Chewbahir and Tana) (PASIDP, ESMF 2016). RLLP-II will be implemented in 12 proposed woredas of SNNPRS.

Table 6. SNNPRS region RLLP-II GCF and PROGREEN woredas

RLLP-II GCF woredas		PROGREEN woredas
Bita	Gombora	Esera
Debub Bench	Kindo Koysha	Cheta
Ezha	Melekoza	Zala
Gewata	Shey Bench	Kucha

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

4.7. Tigray National Regional State

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

Table 7. Tigray region newly added RLLP-II woredas

RLLP-II GCF woredas	
Hawzien	Rama Adi Arbaete and Ahsa-a
Kilteawlalo and Gheralta	Eisra Adi Wejerat and Hintalo

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

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

5. Environmental and Social Risk Management of RLLP-II

Since RLLP-II is not introducing new project activities, the potential risks and impacts assessed, and mitigation measures proposed for RLLP (P163383 and P172462) can be used. The potential environmental and social risk of the project is classified as substantial. This is because more of the project works aimed enhancing the positive outcomes and nonetheless some unforeseen negative impacts might occur during and after the implementation of the project activities. The former RLLP's environmental and social risk management instruments were prepared under the WB's Operational Policies and now updated to reflect the enhanced environmental and social risk identification and management and create new ones where needed in line with the mandates

under the Environment and Social Framework. Notwithstanding its positive impacts, RLLP-II can impose some potential negative impacts which in fact most of them are site-specific, less adverse and reversible in nature. The impacts of the project are primarily associated with subproject activities under Component 1 and 2. Causes and types of negative impacts are mentioned in this document. Even though an ESIA is not always required, some environmental and social analysis is necessary and an ESMP and other instruments as necessary need to be prepared with recommended measures to prevent, minimize, mitigate or compensate for adverse impacts.

5.1. Potential environmental and social impacts and mitigation measures

The proposed RLLP-II project is a landscape management, livelihood improvement and capacity building project, which will implement various interventions that will have a direct impact on the biophysical and human environment. The ESMF is prepared and updated to ensure that the implementation of the RLLP-II will be carried out in an environmentally sound and socially acceptable manner.

5.1.1. Positive Impacts

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

TABLE 8. POSITIVE SOCIAL AND ENVIRONMENTAL IMPACTS OF RLLP-II

Component/ sub component	Positive social impacts	Positive environmental impacts
1. **Component 1. Green Infrastructure and Resilient Livelihoods.**	• Farm and landscape productivity will be improved; • Local livelihoods will be diversified and improved;	• Important habitats and biodiversity will be restored at the landscape level,

Component/ sub component	Positive social impacts	Positive environmental impacts
Subcomponents are • Land Restoration and Watershed Management, • Climate-smart Agriculture • Livelihood Diversification and Connection to Value Chains,	• Adaptive capacity of local communities will be improved by promoting climate smart agriculture; • Food security will be improved through better crop yields, managed agricultural resource base; • Increase income of the local community, create job opportunity (employment opportunity) for landless community members; • Reduce farmer's economic loss; • Enhance ecosystem service for the local community; • Creates additional job for cook-stove producers and improve their income • Reduce exposure to indoor air pollution especially to women and children, • Increase productivity of livestock; • participation of stakeholders (private and government) in the value chain will increase, • Reduce the burden of women by reducing the time for fuel wood gathering and by reducing the time & energy for fetching water from long distance, • Improve access to reliable lighting and reduce in indoor air pollution due to soot or particulate matter typically associated with the combustion of firewood and charcoal, from kerosene lamps, which resulting health benefits with respect to respiratory and eye diseases;	• Critical ecosystems will be rehabilitated, and ecosystem goods and services will be revitalized; • Increase crop diversification and agricultural practices will be improved; • Local climate will be regulated; • Carbon sequestration will increase and GHG emission will be reduced; • improved soil fertility and yields, • soil conservation, erosion control, • Improves environmental conditions by increasing vegetation cover, • enhance biodiversity conservation; • Lower environmental contamination, • The different Soil and Water Conservation practices (SWC) help to hold soil in place during and after harvest of farm crops. This allows for ground moisture levels to remain regular; • Emissions from livestock will reduce; • Trees planted on physically treated farm and communal lands will serve as wind break, feed for livestock and improves soil fertility, • Reduce deforestation and forest degradation in areas where non-renewable biomass is used as a source of fuel, which implies that the demand for firewood and charcoal is reduced.
2. Component 2: Investing in Institutions and Information for Resilience	• Improve the awareness on the project by the community, • Improve ownership of the interventions, • Bring on board the various indigenous knowledge	• Preserve the environment, • Maintain the ecosystem services of the local environment

5.1.2. Potential negative impacts and mitigation measures

Some sub-projects of RLLP-II: those related to construction and maintenance of water harvesting structures (e.g., ponds, storage tanks); construction of community access roads; construction of roadside flood harvesting/drainage systems; diversion canals, small dams; area closures;

reforestation and afforestation in communal and private lands might require land acquisition and might affect the ecosystem services of the local environment. Furthermore, in the PROGREEN supported woreda the development of ecotourism around national parks may result in labor influx to the area and uncontrolled growth of small businesses with a possibility of conflict with the community, disturbance of local cultures, practices, and values, and risks of increased prostitution, sexual abuse and exploitation of minors and adolescents. In some cases, the project activities may rely on Voluntary Land Donation (VLD). Establishment of green corridors to connect with the protected areas can ensure that selected natural environment is protected and guarded. It can also ensure that a protected area does not experience further ecological decline but there may be also negative impacts may increase illegal fuel wood collection, charcoal production and grass cutting; conflicts between the park management and local communities in the use of natural resources; and inappropriate disposal of solid waste, decrease the abundance and diversity of fauna and flora.

In such cases, the procedure allows to avoid and/or minimize by finding other alternatives, such as changing design or location. Otherwise if the land holders are willing/agree to donate the land the activity will be implemented. During implementation of VLD, if it's the property of the household/family, donors (including spouses) have been appropriately informed and consulted about the project and the choices available to them. The family members must be aware that refusal is an option (RPF of RLLP-II, 2020), and have to confirm in writing their willingness to proceed with the donation. If the land is communal or collective land, individuals using or occupying the land must be identified and consulted to minimize the risk of restriction on the use right of the land. In such cases, donation can only occur with the consent of individuals using or occupying the land.

If a family member needs to donate the land willingly, the proportion of the land must not exceed 10% of the total land holding and must not be the donor's main source of income that affects the donors' livelihood. Moreover, VLD should not occur if requires physical relocation, loss of structures or loss of fixed assets on affected portion of land. A formal statement or minutes for all consultation and discussion with the land holders, their interest and agreed actions including schedule should be signed and documented at kebele and woreda office of agriculture and should be reported to the PCU and the WB, as according to ESS5. The likely negative impacts associated with RLLP II activities and the possible mitigation measures are outlined in Annex 8 and 9.

5.1.3. Risks associated with COVID-19 in RLLP watersheds

The Environmental and Social Risk Management instruments of RLLP consider risks and approaches required for operating in the COVID-19 context, including risks and mitigation measures applicable to sexual exploitation and harassment/gender-based violence, occupational health and safety, labor, social inclusion and stakeholder engagement. Annexed to these

instruments are responses to guiding questions on COVID-19 Specific Risk Considerations. The RLLP is already supporting specific measures to address Covid-19 risks including through awareness activities, adherence to social distancing measures and provision of protective equipment. Travel restrictions have been in place in Ethiopia. As part of preparations for restructuring, COVID 19 risk management and mitigation measures have been incorporated into the revised ESMF, including specific sections on COVID-19, including a reference list, forms for monitoring and reporting, recommendations on infection control, references to national public health guidelines and relevant World Bank Group and WHO documents. Most of the works of the project are labor intensive which includes infrastructure works construction and rehabilitation work of the physical and biological conservation structures (bunds, terraces, water harvesting trenches, check-dams, small reservoirs, and other civil works; gully reclamation, etc.), afforestation and reforestation on communal and private lands and others. In all these practices, the community members play a significant role during consultation, subproject identification, planning, designing, during implementation, monitoring and evaluation of the interventions that impose a significant positive change on the lives and livelihoods of the small holder farmers' and the vulnerable groups.

The PCU in consultation with development partners and other staffs of the project at regional level, a guideline "Operational Guideline for COVID -19 response in SLMP watersheds (Community Driven Development (CDD) Guideline)" was prepared. The guideline sets an approach that helps the different community group members of the project implementing woredas and/or watersheds in protecting themselves from the pandemic especially during consultation, beneficiary targeting, trainings and monitoring and technical support.

Table 9 : Risks and mitigation measures of Covid-19 in the SLMP watersheds

Type of subproject	Risks/challenges	Mitigation measures	Responsible body
The different sustainable land management practices including SWC (terracing, check dams, gully treatments, etc.)	• Easily transmission of the disease to others, • Contamination of the hand tools, • Refusal of the community, • Poor communication with relevant	• Capacity assessments and risk analyses to identify high-risk and vulnerable populations; • Strengthen the linkages with civil society and national NGOs to extend the reach of public health and socioeconomic interventions, • Undertake a risk assessment to determine the preventive and control measures, • Ensure physical distancing of at least 2 meters at all times and in all work-related situations, • Thoroughly clean and disinfect the different materials used during implementing SWC, • Make COVID-19 impact risk minimization and/or reduction measures as one of ESMP;	MoA, MoH, and other stakeholders

	offices and bureaus,	• Provide basic updated information on COVID-19 to woreda project coordinators (focal persons) and other SLMP/RLLP stakeholders, • Minimize contact during payments and encourage hand cleaning after cash payment, • buy and distribution of masks, hand sanitizer, soaps and hand washes, • Disallow participants from sharing work tools and equipment, • Post pamphlets, brochures etc. In community resident areas, • Use DAs, community facilitators, CWT, KWT, KLAUCs, village and religious leaders, traditional institutions, and other to deliver culturally appropriate health and safety messages to communities (especially vulnerable groups), and others.	

6. ESMF Process for RLLP-II Subprojects

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

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

- The project planning process will be made in consultation with communities in a participatory manner and they have the opportunity to prioritize needs. Participation in the community projects will be entirely voluntary.
- The design of sub-project activities will be guided by technical guidelines mentioned above which incorporates specific design procedures to avoid or minimise adverse impacts and encourage positive environmental and social effects.
- Project planning and implementation should integrate appropriate Environmental and Social Management Principles, i.e. identified sub-projects by the communities will be screened, vetted and adopted in the kebele watershed management plan on the basis of

selection criteria and screening designed to eliminate projects with major or irreversible environmental or social impacts.

- Sub-projects with special environmental and/or social concerns (subprojects of moderate, substantial or unknown impacts) will be directed to the attention of the technical body at the regional level. Approval at regional level will involve the Regional Environmental Regulatory body or its equivalent (as different regions have different agencies responsible for environmental protection) which has the right to decline a project on environmental or social grounds, OR to assess likely impacts prior to approval.
- Special attention will be given to the impacts of small-scale irrigation projects, water harvesting structures, and community roads which involve land/asset acquisition and for those projects whose level of impact is moderate, substantial or unknown during subproject identification and planning. The zonal or Regional regulatory body will decide whether an ESIA or ESMP is required or not along with any other instruments. Following the ESIA/ESMP, the regulatory body may modify the project, recommend a management plan, or disapprove the project.
- Project implementation will be supervised and monitored at Kebele, woreda, zonal and regional levels. The DAs, (with assistance as deemed necessary from the woreda), will ensure that the specified mitigating measures are implemented.

Importance of subproject screening: Screening is the process of determining whether a project requires ESIA or ESMP or RAP/SDP and also it determines the level at which the assessment should occur. Screening of sub-projects can only be carried out after the specific site and location is identified. Conducting field visit to the sub-project site and understanding of the biophysical and socio-economic environments including the rural setting around the project site is essential to appraise how the sub-project activities are environmentally sound and socially acceptable. The aim of the screening form in Annexes 2 to 5 are used to assist DAs in identifying subprojects that are eligible to be financed by RLLP-II, to help the WTC for further screening and develop management plan, to enable WTC/IAs at woreda level to rate the risk of the identified environmental and social impacts, and to help the environmental regulatory body in the approval and clearance process. The screening mechanism seeks to focus on those sub-projects with potentially significant adverse environmental and social impacts or whose impacts are not fully known. Thus, appraisal of the subproject site/environment/human environment and having adequate level of information about future subproject activities is quite essential to anticipate and identify the magnitude of potential impacts which is necessary to carry out the screening exercise.

6.1. Procedures and responsibilities in subproject screening and approval process

The primary responsibility to conduct the screening of sub-projects rests on the project implementing body at Woreda and kebele levels and the regional PCU is responsible for

facilitating and implementing the RLLP-II ESMF procedures. Sub-projects selected by communities have to be checked by Development Agents whether the identified sub-projects fall into the categories that are not eligible to be financed under RLLP-II. These not-eligible sub-projects may include (1) that may cause damage to physical and cultural resources; (2) that may involve construction of reservoir dams that are above 4.5 meters height; (3) that may potentially affect the quality or quantity of water or a waterway shared with other nations; (4) that require significant involuntary land acquisition; (5) that require physical relocation of people, (6) that require restriction of access to assets; and (7) that affect underserved people and vulnerable groups etc.

The woreda and zonal FPs and regional safeguard specialists will be responsible for the project initiation process by properly preparing and submitting the required formats to kebele level DAs and then the screening report to their respective responsible officers or departments for review and approval. The woreda focal person will be supported by members of the woreda technical committee (OR implementing agency) and by the Kebele Development Agents in conducting the environmental and social screening of sub-projects. The project design/plan will then be sent to the Woreda Technical Committee. The technical committee members, which are led by the Natural Resource Process Owner (case team) including experts from the Woreda concerned sectoral offices, will further screen those eligible sub-projects

Before submitting the environmental and social screening checklists to the woreda environment regulatory body for approval, it will be checked and approved internally (whether all the required documents are attached) by the Woreda Technical Committee Team. The woreda Environmental regulatory body review the screening report and will:

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

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

In addition to that, in 2015 it was agreed with the Ministry of Finance of the Government of Ethiopia (GoE) that (i) no World Bank (WB) funded projects will knowingly be implemented in the GoE's Commune Development Program (CDP) sites, and (ii) that any geographic overlaps with Bank-financed operations will be subject to the Alignment of Operations (AOP) Checklist – (Annex 6)- to screen for availability of basic services provided by the CDP. The objective of the AOP checklist is to help the development partners Task Teams proactively manage the operational interface between the Government of Ethiopia's CDP and Bank-financed projects or sub-projects in, or in the vicinity of the CDP sites. This program is implemented in regions of Gambella and Benishangul Gumuz, where RLLP-II will be implemented.

If there is a live Commune Development Program being undertaken in RLLP-II target areas of these two regions, the federal and regional environmental safeguard and social development experts together with woreda focal persons and other experts should collaborate and check the viability of all CCs located within or in proximity to the target woredas. A procedure is prepared to check the viability of CCs so as to enable the project identify non-viable CCs in advance and avoid financing sub-projects in these sites The procedure is simple and is designed to be embedded within this regular Environmental and Social Frameworks (ESMF) and/or other safeguards instruments (RPF, SA, and subproject level instruments – ESIA, ESMP, RAP) already in use by the project (AOP checklist and accompanying explanatory note is attached in Annex-6).

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

TABLE 10. SUMMARY OF ROLES AND RESPONSIBILITIES FOR THE ESSS IMPLEMENTATION

Activity	**Lead Role for preparation and/or implementation**	**Lead role for review, approval & monitoring**
Identification of subprojects and completion of screening using the eligibility checklists (Annex 2),	DAs, CWT, KWT communities with the support of woreda concerned experts	WTC, IAs, Woreda Environmental regulatory body
Further screening of subprojects against environmental and social compliance	WTC, IAs, depending on the level of environmental and social risks,	Woreda and zonal Environmental regulatory body
Subproject review, approval and clearance,	Woreda Environmental regulatory body, WTC,	Environmental regulatory body, WSC,
ESCP, SEP, LMP, ESIA; IPMP, ESMP, PESIA or RAP preparation,	WTC, WoA, Independent consultant or regional or federal level safeguard experts (NPCU),	Regional or Woreda Environmental regulatory body

Activity	Lead Role for preparation and/or implementation	Lead role for review, approval & monitoring
Implementation of ESCP, LMP, SEP, ESIA, ESMP and RAP,	WTC and Steering Committee + KWT & Stakeholders (e.g. Contractor + Regulatory Authorities), Woreda and regional IAs, RPCU	NPCU, RPCU, WSC, WTC,
Monitoring and evaluation of the implementation of ESCP, LMP, SEP, ESMP and RAP.	Regional PCU, Woreda technical committee and Steering Committee + KWT & Stakeholders (e.g. Contractor + Regulatory Authorities), Woreda and regional IAs,	NPCU, RPCU, WSC, WTC
Annual Audit,	RPCU, environmental regulatory body	NPCU, RPCU, environmental regulatory body, DPs
Quarter and Annual ESMF Report	Regional and Federal safeguard and/or M & E specialists; Woreda and regional Implementing Agencies (IAs)	WTC, ZTC, WSC, RSC, NPCU.

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

Step (i): Subproject identification and eligibility check

(a) Guidance for the DAs

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

Table 11. Checklist for sub-project eligibility screening at kebele level by DAs

	Yes	No
Will the sub-project:		
Cause displacement of people or social disturbances, involuntary loss of assets? The Project deals with rehabilitation, civil works, treatment of gully sites and community infrastructure where the scope of land take would be small in scope. ESS5 is triggered recognizing that Component 1 may induce land acquisition or affect access to and use of natural resources. The project's potential impact of		

	Yes	No
Will the sub-project:		
physical or economic displacement, or restriction of access to natural resources will be managed through application of the VLD guideline and principles outlined inESS5. Application of judgment is necessary in assessing the potential significance of resettlement-related impacts, which vary in scope and scale from project to project. Projects that would require physical relocation of residents or businesses, as well as projects that would cause any individuals to lose more than 10 percent of their productive land area, are not financed. Scale may also be a factor, even when the significance of impacts is relatively minor.		
Involve removal or conversion of forests and other natural resources? Natural forests are forest lands and associated waterways where the ecosystem's biological communities are formed largely by native plant and animal species and where human activity has not essentially modified the area's primary ecological functions. According to ESS6, RLLP will not perform with the potential for significant conversion or degradation of natural forests.		
Disrupt the quality or quantity of water in a waterway shared with other nations?		
Cause degradation of critical natural habitats? Cause any large-scale physical disturbance of the site or the surroundings The project will be classified as high risk if the screening indicates the potential for significant conversion or degradation of critical or other natural habitats. ***Significant conversion*** is the elimination or severe diminution of the integrity of critical or other natural habitats caused by a major, long-term change in land use or water use. Significant conversion may include, for example, land clearing; replacement of natural vegetation; permanent flooding; drainage, dredging, filling, or channelization of wetlands; or surface mining. Conversion can result directly from the action of a project or through an indirect mechanism (e.g., through induced settlement along a road). *Degradation* is modification of a critical or other natural habitat that substantially reduces the habitat's ability to maintain viable population of native species.		
Involve land use changes such as drainage of wetlands and cultivation		
Affect physical and cultural resources (historical, religious, archaeological sites and monuments)? Physical Cultural Resources are defined as movable or immovable objects, sites, structures, groups of structures, and natural features and landscapes that have		

	Yes	No
Will the sub-project:		
archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. A project that will likely have significant adverse impacts on PCR is classified as high risk.		
Involve construction of dams more than 4.5 meters high?		
Likely to use pesticides or other agro-chemicals? Projects that include the manufacture, use, or disposal of environmentally significant quantities of pest control products are classified as high risk. Environmental significance takes into account the impacts, including benefits, on human health.		
Cause any loss of biodiversity? Check threats to biodiversity, for example habitat loss, degradation and fragmentation, invasive alien species, overexploitation.		
Affect any vulnerable group or underserved people? Disadvantaged or vulnerable refers to those who may be more likely to be adversely affected by project investments and/or more limited than others in their ability to take advantage of a project's benefits. Such individual/group is also more likely to be excluded from/unable to participate fully in the mainstream consultation process and as such may require specific measures and/ or assistance to do so. This will take into account considerations relating to age, including the elderly and minors, and including in circumstances where they may be separated from their family, the community or other individuals upon whom they depend.		
Have any potential direct or indirect impacts on commune centers or on the people in a CC (because it is located inside a CC or close enough to a CC) ;		

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

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

Once the subprojects designed/planned at Kebele level are sent to woreda, they should be further screened by Woreda TC (subjected to the type of subproject need to be screened) led by the Natural Resource Case team. This step helps to identify subprojects of environmental and social concern. The screened subprojects by WTC will, then be reviewed by the woreda environmental regulatory body. The Woreda environmental regulatory body designated expert follows two steps (desk review and field appraisal) to appraise subprojects that are screened by DAs and WTC

and sent to Woreda for further analysis. The desk review is reviewing the application, screened subprojects with their concern, and aligned with the associated safeguard instruments. The field appraisal is conducted when the environmental regulatory body expert feels that (a) the DAs and WTC have not thoroughly considered all potential adverse effects of the subproject, (b) to identify whether ESMP, SDP/RAP is prepared or not, and finally (c) to identify that subproject which require special attention and environmental and social concern are listed separately. After carrying out desk review and field appraisal, the Woreda environmental regulatory body or delegated regulatory body gives Environmental and Social Clearance (ESC) to the Woreda IAs to which the type of subproject is subjected for.

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

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

Agricultural sub-projects may introduce high value crops and new varieties (activities listed in the climate smart agriculture component 1.2 of the project) may demand the use of agro-chemicals including pesticides and fertilizers. Some infrastructures may demand land acquisition as well and restrict access to resources. Eligible sub-projects are further screened for potential impacts and environmental and social concerns by the Woreda Technical Committee at the Woreda Agriculture Office to be led by the woreda environmental regulatory body expert. The following table can be used by the team for further screening and the format indicated in Annex 3 & 4 can be used for reporting.

Table 12. Screening sub-projects requiring special attention

	Yes	No
Will the sub-project:		
Involve land acquisition?		
Involve loss of assets or access to assets on the land?		
Cause displacement of people?		

If the sub-projects have any of the above features ('Yes' answers), the Woreda Environmental regulatory body expert notifies the Woreda Technical Committee OR Implementing Agency (with special reference to the type of subproject implementing agency) to make sure that the necessary procedures and guidelines are followed in the Environmental and Social Management Plan, i.e. IPMP and RAP are incorporated.

Similarly, some SWC practices, land rehabilitation, community access road construction, water harvesting structures, gully treatment and afforestation/reforestation … might involve land acquisition, loss of assets or access to assets; and when such cases happen RLLP-II primarily proposes to rely on Voluntary Land Donation (VLD). The procedure should follow to avoid VLD by finding other alternatives, changing design or location or otherwise. If alternatives are not available and if the land holders are willing/agree to donate the land (VLD) the activity will be implemented. During implementation of VLD (a) if it is household/family land consultation with family members (including spouses) must be made and family must be aware that refusal is an option; (b) if the land is communal land individuals using or occupying the land must be identified and consulted to minimize the risk of settlers and local communities losing their livelihood due to the land donation decision. Besides, the RPCU safeguard specialist together with the regional Bureau of Agriculture and concerned sector experts will provide technical support in the preparation of IPMP and RAP for WTC and the Implementing Agencies.

Then, sub-projects have to be screened for any potential environmental and social concern and can be screened using the checklist shown below. Annex 4 can be used for reporting purpose.

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

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

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

For sub-projects of environmental and social concern, a checklist of potential impacts and level of adversity shown in table 13 can be used to judge if the sub-projects should be modified either to avoid, minimize/mitigate the impacts or should be referred for further environmental and social analysis because of complex or unknown impacts. Annex 5 can be used by checking/ticking (✓) the approximate degree of adversity (none, low, medium, high and unknown). Once the checklist is filled, count the number of potential impacts marked as None, Low, Medium, High and Unknown. The table helps (i) to determine what to do after filling the impact rating checklist, and (ii) to describe further actions needed to be taken at this stage before proceeding to the next level based on the results. Annex 5 can be used for reporting purpose.

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

Table 14: Checklist of potential impacts and level of adversity of subprojects

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

Those sub-projects with no potential adverse impacts can be directly approved. For those sub-projects likely to have low to moderate impacts may be modified if suitable mitigation measures are incorporated into the design by Woreda experts (Woreda technical team). Then environmental and social clearance will be given by the woreda environmental regulatory body and return back to the implementing office at woreda level for implementation. Mitigation

measures can be referred from this ESMF, RPF, (in Annex 8 & Annex 9) and also from the CBPWDG (under revision). Those sub-projects likely to have 'high' adverse impacts and 'unknown' impacts should be tagged as 'sub-projects of environmental and social concern' before referring the plan for approval.

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

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

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

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

The regional environmental regulatory body experts conduct review of the sub-projects taking into account that most sub-projects may not necessarily need a full scale ESIA since RLLP-II's environmental and social risks are substantial; those sub-projects tagged as 'sub-projects needing special attention' are already identified following the special procedures and guidelines referred in Annex 10.

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

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

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

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

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

The ESMP should include both environmental and social management measures and it should be based on the result of screening and technical information about the proposed subproject (i.e. the type, scale, and extent of the subproject). The ESMP consists of the set of environmental and social negative impacts, mitigation, monitoring, time of implementation, and institutional measures to be taken during implementation and operation phases. This is just either to eliminate the adverse impacts, offset them, or reduce them to acceptable levels. The plan also includes the actions needed to implement these measures.

Similarly, identified social adverse impacts with their mitigation measures, responsible implementing body and required budget (social assessment report) should be followed to avoid, minimize and/or mitigate adverse social impacts with special focus on underserved people and

vulnerable group. The impacts and the measures identified in the ESMP/SMP should be consistent with the findings of the screening results. It serves as a pertinent instrument to guide the subproject proponents and other implementers to implement effective mitigation measures, design, and conduct sound environmental and social monitoring program.

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

The Woreda environmental regulatory body office together with the WTC is responsible for ensuring that the required ESIA is conducted, in liaison with the BoA and with the support from the environmental regulatory body. The ESIA can be conducted by a team of experts drawn from the zonal/Woreda sector offices (or the zonal/Woreda implementing agencies) supported by the Woreda Environmental regulatory body focal person. In this case, zonal and woreda experts have to be given the necessary trainings on safeguard policies, relevant international and national policies, ESIA procedures and guidelines before the ESIA is done. Or the ESIA can be conducted by a national consultant to be hired by the Regional Bureau of Agriculture licensed by EFCCC/BoREFCC. The cost of conducting the ESIA should be covered from the budget earmarked for the implementation of the ESMP of the subproject for that particular RLLP-II implementing woreda.

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

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

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

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

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

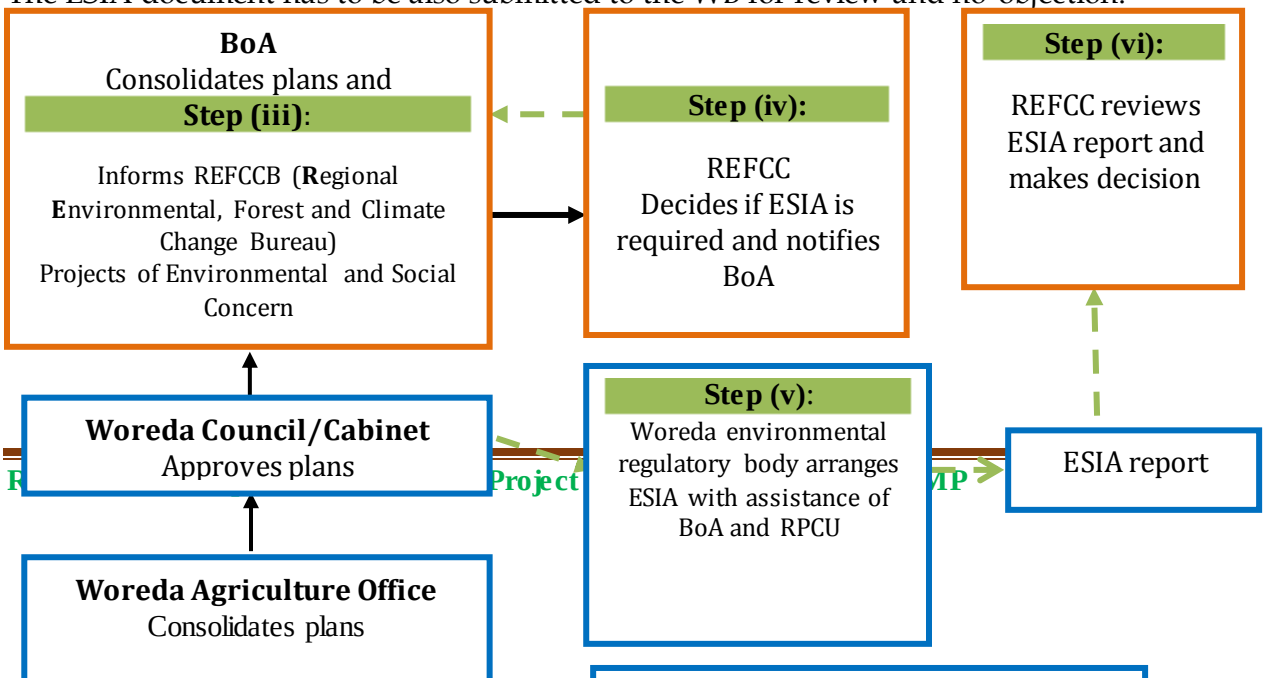

Figure 4. Flow of the environmental and social management process

Keys on colors and flow of activities:

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

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

The World Bank task team will undertake periodic checks of the sub-project instruments, reviews the screening procedures periodically to ensure compliance with the eligibility criteria and reviews substantial risk sub-project instruments during site visits including Joint Implementation Support Mission and other technical support field visiting programs.

6.2. Disclosure of ESMF and other ESS instruments

In compliance with the Government of Ethiopia EIA proclamation no. 299/2002 and guidelines, and the WB environmental and social standards (Environmental and Social Standard 10:

Stakeholder Engagement and Information Disclosure), public consultation on, and disclosure of RLLP-II safeguards instruments are mandatory. MoA initiates such consultations as early as possible. Before the RLLP-II subprojects gets approval (before initiation of physical works), ESMP, SEP. LMP, IPMP, ESIA, RAP and others need to be prepared as required, and make available for public review at a place accessible to local people and in a form, manner and language the community can understand. The borrower consults project-affected groups about the project's environmental and social aspects, and the plans and reports, takes their views into account before approval. The general public should also participate and be consulted at all levels of environmental and social assessments including eligibility checks, screening, scoping, impact identification and rating. The environmental and social safeguard instruments will be printed and available at Woreda Information Centers, at regional libraries, at the relevant institutions offices at all levels, hard and soft copies will be distributed, and be publicly disclosed in the MoA websites both in country and at the World Bank's external website.

6.3. RLLP-II ESMF Implementation Arrangement

6.3.1. Institutional arrangements of the RLLP-II

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

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

The NSC has high level representations from the MoA, MoF, MoWIE, EFCCC, EIAR and BoAs of the SLMP regions. The Committee is chaired by the State Minister for Natural Resource and Food Security Sector in the MoA and will be responsible for (a) establishing policy guidelines and providing overall supervision for project implementation; (b) approving the annual federal and regional work plans and budget, and the annual procurement plan; and (c) reviewing the annual

implementation performance report to be prepared by the SLMP PCU on RLLP-II; and overseeing the implementation of corrective actions, when necessary.

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

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

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

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

6.3.2. Implementation arrangements for environmental and social standards

The Environmental and Social Safeguards (ESS) is one of the program support section of the Resilient Landscapes and Livelihoods Project (RLLP-II) with the aim to ensure that subprojects to be implemented are not only technically, economically and financially viable, but are also

environmentally friendly and socially acceptable for the sustainable of the project investments. For the attainment of the Development Objective of the project in general and that of the environmental and social safeguard activities in particular, the institutional arrangement should have the following structure:

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

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

Zonal Focal Person of the Project: The RLLP-II at zonal level is led by a steering committee. The Focal person at the zonal level is responsible, also, for the overall coordination and monitoring of the environmental safeguard and social development activities at woreda and kebele level. He/she will compile and consolidate quarter and annual reports submitted by the woredas and

will send to the RPCU. He/she will facilitate the implementation of the review process for those subprojects sent to zonal environmental regulatory body for ESIA purpose. And support woredas in properly directing the steps while conducting the ESIA by own human resources at woreda level and/or by a consulting firm licensed by the EFCCC or other international entities entrusted for the purpose.

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

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

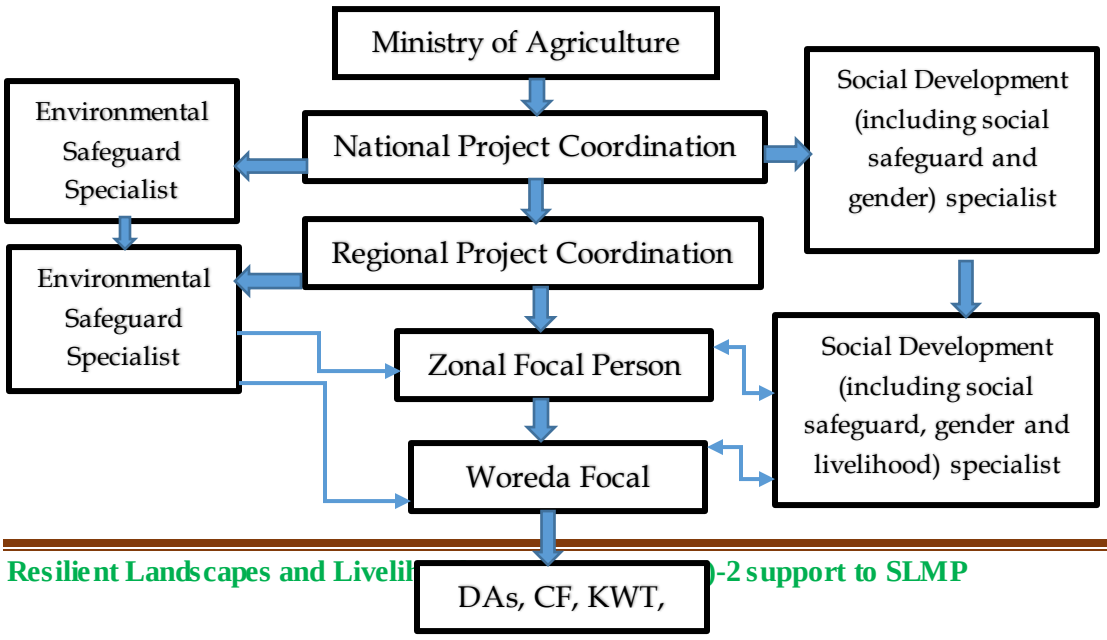

Figure 5. Institutional arrangement for environmental and social safeguards

6.4. Training and Capacity Building for environmental and social standard

For effective implementation of the LMP, SEP,ESMF, RPF, SA and GMG it is necessary to provide capacity building and technical backstopping to experts of different implementing agencies and stakeholders at regional, zonal, woreda and community levels. Capacity building is critical in the implementation of RLLP-II environmental safeguard and social development works. Capacity building includes both human and material resources. Human resource capacity building enables implementers and stakeholders of RLLP-II woredas to equip with the understandings, skills and access to information, knowledge and to achieve the required objectives of RLLP-II Environmental and Social risk management instrument documents, i.e. SEP, LMP, ESMF, RPF, GMG and GRM. Implementers and collaborators need to know the basics of social and environmental issues of RLLP-II through sustainable capacity building in the form of training and material support such as preparations and distributions of relevant documents. During the last two phases of SLMP (SLMP- I and II) and during RLLP (P163383), a number of trainings and awareness creation sessions were conducted at different level on safeguard instruments, WB Safeguard policies and others. However, to align the project with the new WB Environmental and Social Standards refreshment training and knowledge based on job trainings need to be conducted for the newly added RLLP-II woredas. The required human power for environmental & social safeguard specialists are mentioned somewhere in this document with the duties and responsibilities. Trainings including long and short-term trainings, workshops and seminars on different aspects of environmental and social issues of the implementation of RLLP-II will be further strengthened. The specialists both at national and regional level will be equipped with the necessary office equipment, Laptops and Desktops and others.

In addition, technical backstopping and support at regional, zonal, woreda and community level will be strengthened for the successful implementation of ESMF, SMP, RPF, GMG, GRM and subsequent subproject level instruments. The technical backstopping includes training and capacity building need assessment, assessment of effectiveness of trainings conducted during the previous years, monitoring of the implementation of mitigation measures, utilization of the different steps of checklists, and others. This will be done on quarterly bases. The technical assistance will also be done during Joint Implementation Support Mission (JISM) twice a year together with the different stakeholders and development partners. The technical support and implementation of ESMF procedures in the GCF and PROGREEN woredas will follow a detail plan and budget. The type of trainings, list of trainees and number of training days are explained

in Annex 14 and the total cost for training and capacity building activities for environmental safeguard and social development and gender mainstreaming can be referred from table 13 and 14, respectively.

6.5. ESSs Implementation Monitoring and Evaluation

Implementation monitoring and support: After approval of subprojects (i.e., after getting clearance of the safeguard instruments) by the woreda and/or regional Environment regulatory body, the recommended mitigation measures will be implemented at the community or woreda level with the support of the regional Agriculture Bureau. With the support from the Woreda experts, the DA will be responsible for the effective implementation of the mitigation measures at any stage of the project operation (before construction, during construction or after construction) as specified in the management plan. The regional environmental safeguard and social development specialists will monitor the overall ESMF, SEP, LMP, SA, RPF, GMG, GRM and subproject level instruments implementation.

The environmental safeguard and social development specialists of the PCU will closely work with the Woreda Agriculture Office, RLLP-II focal person and with the expert from Woreda environmental regulatory body. The experts, either as a team or individually, will inspect the implementation of the mitigation measures. During inspections, the expert will verify that the proper procedures are being followed in screening of the RLLP-II activities and in the implementation of the mitigation measures in the woreda. They also make field observations to inspect that no negative environmental impacts are taking place anywhere in the project area. Where such impacts may occur, the experts (mainly the Woreda environmental regulatory body expert) will provide advice on further actions and this will be communicated to the safeguard specialist at the SLMP-PCU. The implementation, monitoring and supervision of the ESMF, SA, RPF,, GMG and GRM activities in general is a joint task of the SLMP-PCU (through the safeguard specialist), the BoA and the Regional EFCC bureau.

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

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

6.6. Environmental and Social Monitoring Indicators

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

1. Number, sex and type of target groups participated on ESMF, SA, and RPF training and awareness creation program;
2. Number and group types involved during community consultation and participation;
3. Documentation of community consultation in planning, implementation and monitoring (gender disaggregated);
4. Maintaining of ecosystem services through the adoption and implementation of different afforestation/reforestation, rehabilitation of degraded lands and SWC Practices;
5. Number and percentage of subprojects for which environmental and social issues are integrated into the project cycle;
6. Environmental and social screening checklist filled or not;
7. Environmental and Social Management Plan (ESMP) was prepared or not;
8. Environmental and social enhancement and adverse impact mitigation measures mentioned in ESMP, SMP have been incorporated and considered during project planning, design and site selection;
9. Compensation effected according to the agreement made;
10. Number of subproject types implemented mitigation measures identified in ESMP, SMP;
11. Number of beneficiaries equally benefited from the project investment;

12. Number of established/functional GRMs; and documenting appealed and resolved cases;
13. Environmental consequences as a result of places for collection of construction materials (quarry sites, borrow pits);
14. Increase in landslide, soil erosion and slope instability due construction of subprojects;
15. Impact on water quality and disruption of natural water courses, drainage work and its consequences;
16. Documentation at woreda concerned offices and DA offices;
17. Types and area of critical natural habitats, forests and ecological sensitive areas;
18. Conflict in water use right between the upstream and downstream water users during water source selection (check whether balance is done or not, sufficient water is allocated for both community and ecological services);
19. Conflict in water use with in targeted group for water use;
20. Number of developed resource use and management bylaws applied;
21. Documentation of community consultation both the upstream and downstream including their opinions;
22. Water quality is suitable or not for irrigation and/or drinking purpose, quantity of water supplied as per the demand; regular supply of water as per its capacity for irrigation;
23. Water logging and salinity problem because of mis-management of irrigation subprojects;
24. Impact in the form of pollution to the environment due to RLLP-II interventions (disposal of construction materials or wastes and its environmental and social consequences);
25. LMP, SEP prepared or not and implementation of OHS measures; and
26. Platforms engagement in the technical support and monitoring of the safeguard works.

6.7. Environmental and Social Standards compliance reporting

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

The reporting formats proposed for the environmental safeguard and social development (including social safeguard and gender) will be included in the program KMS software developed by the Water and Land Resource Center. Currently, the planning and reporting mechanism follows the normal M&E system of the program using the format developed. And all concerned experts at all level of the structure will be trained on how to use and how to fill the planning and reporting formats using the developed software. This will simplify the reporting mechanism. The software will include all the reporting periods including quarter, annual, etc. The objective of the report is to provide a feedback on the activities of and observations on the implemented RLLP-II subprojects and their compliance with the environment and social over the review period.

The regional environmental safeguard and social development specialists will prepare quarterly, and annual reports based on the woreda report including his/her accomplishment report by filling the report format and will submit to the RPCU M&E team and a standalone report to federal SLMP-PCU. At the federal level, the stand alone & the quarterly and annual report will be collected from the M&E team, the Environmental Safeguard and the Social Development Specialists will check the regional report and submit a consolidated report with the necessary narration and standalone report to the M&E team and Development Partners including WB, respectively. The objectives of national level report are 1st. to consolidate and summarize the performance of each regions; 2nd. to assess the overall progress of the RLLP-II subprojects at the national level; and 3rd. to give feedback to regions.

6.8. Environmental and social auditing/review

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

One of the issues of reviewing is the review of the performance of environmental and social safeguard works annually and quarterly. The annual reviews are intended to be used by project management to improve procedures and capacity for integrating natural resources and environmental/social management into project operations. The review will also be a principal source of information to Bank supervision missions. Annual reviews of the project and the implementation of the ESMF, SEP, LMP, SMP, RPF will be conducted at the end of each year facilitated by the SLMP-PCU. The review will require two to three weeks depending on the regional performance of the environmental and social safeguards. The objectives of the annual reviews include (i) Assess project performance in complying with ESMF, SA, RPF, GMG procedures, gaps identified, lessons learnt, and improve future performance, and (ii) Assess the occurrence of, and potential for, cumulative impacts due to project-funded and other development activities.

It is necessary that the audit/review should be conducted by an independent entity (local consultant). The compliance assessment and performance review reports, which will be produced by the independent review body, will be used as a monitoring and review tool to track ESMP and SMP results. The annual review report should be delivered to project management (region and federal), to each woreda office responsible for appraisal, approval and implementation of subprojects and to the Bank as well. In the review process, the SLMP-PCU and the Regional environmental regulatory body will play the lead role in coordinating the process with the key stakeholders. The principal output is a review report that entails the methodology, summarizes the results, and provides practical recommendations. On the other hand, environmental and social audit can be conducted by the regulatory body, which is the Environment, Forest and Climate Change office at various level. However, it can be carried out by the environmental safeguard and social development specialists of the PCU and this can be verified by an independent local and/or international consultant hired by the Development Partners (DPs). For the effective performance, the concerned specialists of the federal and regional PCU, woreda and zonal focal persons, other relevant experts at woreda level, and Development Agents at kebele level should receive relevant environmental and social auditing trainings.

6.9. Grievance Redress Mechanism

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

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

Grievance Redress Mechanism in RLLP-II: Grievance Redress Mechanisms (GRMs) will be implemented in accordance with ESS10. GRMs can be an effective tool for early identification, assessment, and resolution of complaints on projects. GRMs are institutions, instruments, methods, and processes by which a resolution to a grievance is sought and provided. It is a way to receive, assess or review and resolve complaints that may arise from the RLLP-II-supported activities. Understanding when and how a GRM may improve project outcomes can help both project teams and beneficiaries improve results. An adequate social and environmental impact assessment process is essential to the success of a grievance redress mechanism. The goals of GRM are (i) open channels for effective communication, (ii) demonstrate that RLLP-II is concerned about community members and their well-being, (iii) mitigate or prevent adverse impacts on communities caused by RLLP-II projects activities, (iv) improve trust and respect, and (v) promote productive relationships.

As communities are the primary beneficiaries of the project, they have been encouraged to participate fully in all aspects of the project including problem/need identification, preparation, work planning, implementation, monitoring, operation and maintenance. The planning process followed a bottom-up approach to lay foundation for all of the interventions and to ensure sustainability. In addition to avoid/minimize and mitigate potential adverse impacts of the project, activities are screened and checked for negative impacts using checklists prepared and corrective measures are taken. Since the whole process is participatory and transparent, the occurrence of complaint is very rare. Even though the existence of complaints was minimal, a functional GRM document which serves as a guideline was prepared after consultation with participants from regional, zonal and woreda natural resources, land administration, and regional PCU experts and a mechanism has been put in place by the project to address unforeseen events. Therefore, a transparent GRM with credible process has been established in all project watersheds.

The GRM guideline includes the procedures, focal persons, and time frame at each level of administrative hierarchy. Awareness creation training was given to responsible woreda experts of stakeholder offices, DAs. Communities are aware of the mechanism (their rights, where to apply) and any person within targeted watershed who had complaints regarding the activities of the project during preparation/designing, implementation and operation phases had access to the mechanism and to get responses. Experiences of SLMP 2 shows that common cases of

complaints are targeting for IGA, targeting for SWC activities on communal land and daily wage rate (payment). Therefore, as the mechanism was functional in SLMP & RLLP watersheds, it will continue to serve the same purpose in newly added woredas of RLLP-II.

The MoA/SLMP National PCU in collaboration with concerned regional and woreda (Bureau of Agriculture and Woreda Agricultural Office) will make the public aware of the GRM through awareness creation forums, training and capacity building. Contact details in support of the Mechanism will be publicly disclosed and posted in the offices of concerned woreda offices, Kebele administration, kebele development centers/agriculture office and FTCs. These will also be incorporated in the RLLP-II information materials (e.g. reports, magazines, brochures, flyers and posters). The MoA/SLMP-PCU in collaboration with its regional and woreda counter parts will strengthen the established GRM that allows any person, who has complaints regarding the activities of the RLLP-II, to raise issues, feedback and complaints about the effects of RLLP-II activities implementation/performance. Complaints can be communicated in written form using the standard complaint form to community watershed team. All received complaints and responses given should be documented and copies sent to kebele watershed team.

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

7. Anticipated cost for safeguards compliance in RLLP-II

The anticipated cost for successful management of environmental safeguard and social development issues and for gender mainstreaming for RLLP-II is presented in detail in table 13 and 14 below. The budget for mitigation measures implementation will depend on the plan to be submitted from the regional concerned coordination units taking into account of the existing plans of the types of subprojects to be financed by the project. However, during planning of the different interventions of component I of the project (access roads, water harvesting structures, etc.) mitigation costs should be incorporated in the design cost and therefore, it is not included here. The implementation budget includes those proposed for capacity building in the form of

trainings and equip with goods and materials to staff of PCU and other stakeholders at all levels, logistics costs, annual review workshops, technical support and backstopping, awareness creation to kebele and community members, environmental and social auditing, monitoring and evaluation activities and others.

The aggregated total cost estimated is about 2,136,760 USD (for ESMP, RAPs, SDP) and 609,368 USD (for gender mainstreaming) for the coming five years (as indicated in the tables 14, 15 and 16 below). The budget stands open for revision and improvement as and when needed.

TABLE 15: Budget proposal for ESMF, SEP, LMP, RPF and SA implementation of RLLP-II (GCF woredas)

Environmental safeguard and Social development management system	PY1	PY2	PY3	PY4	PY5	Total
	184,130	414,000	376,400	409,640	358,990	1,743,260
Environmental and Social Safeguard Specialist (Salary +Office Eq. & Fu)	-	12,000	4,000	3,500	4,000	23,500
Goods (Printing and distribution of safeguards instruments)	-	-	-	-	-	-
Goods (Office and field equipment)	-	-	-	-	-	-
Capacity Building: Trainings and Awareness	100,430	205,500	228,000	257,140	138,490	929,560
Training for Regional, zonal and federal staff on safeguards	-	-	-	-	-	-
Logistics for regional and zonal stakeholders training	-	-	-	-	-	-
ToT Training for Woreda experts who will cascade to Kebele - mainly WTCs	-	-	-	-	-	-
Training for field workers from Woreda (WTC, WSC, other experts trainee) including consultation, participation, and awareness creation to kebele level for DA and community	-	-	-	-	-	-
Monitoring and evaluation training at federal, regional and woreda level	-	-	-	-	-	-
Awareness creation to ZSC and ZTC zonal level	-	-	-	-	-	-
Logistics & stationeries at regional, zonal and district level	-	-	-	-	-	-
Monitoring, technical support, and supervision of the implementation of ESMF, SA (SMP), RPF, GRM by RLLP NPCU, RPCU, NTC, and RTC members (Operating cost)	83,700	97,000	98,000	100,000	100,000	478,700
Logistics (Air ticket, Fuel, maintenance and others) at all level	-	-	-	-	-	-
Stationery (Lump-sum) at federal level	-	-	-	-	-	-
DSA for Supervision of ESMF, SA, RPF and GRM performance	-	-	-	-	-	-
Experience sharing	-	22,000	16,500	24,000	36,500	99,000
Within regions (E&S ambassadors - one male and one female per watershed)	-	-	-	-	-	-
In other best performing regions	-	-	-	-	-	-
NPCU and RPCU coordinators visit to best safeguard performing region	-	-	-	-	-	-
Logistics (fuel and car rent) for the experience sharing (Lump-sum)	-	-	-	-	-	-
Exposure visit to foreign countries (Lump sum)	-	52,500	-	-	50,000	102,500
Periodic monitoring, annual review (auditing) and JISM (Lump sum)	-	25,000	30,000	25,000	30,000	110,000

TABLE 16: Budget proposal for ESMF, SEP, LMP and SA, implementation of RLLP II (PROGREEN woredas)

PROGREEN Costs of the environment and social safeguard (US$)	PY1	PY2	PY3	PY4	PY5	Total
Safeguards Management	**101,000**	**56,500**	**79,500**	**75,500**	**81,000**	**393,500**
Capacity Building: Trainings and Awareness	**68,500**	**33,500**	**43,500**	**53,500**	**44,500**	**243,500**
DSA for Regional and federal staff of the program	1,000		1,000		-	2,000
DSA and other lojistics for regional and zonal stakeholders training (BoANR, BoLF, BoEFCC, BoWE, Bo youth ad women, etc)	2,000		2,000	-	-	4,000
DSA for Woreda experts who will cascade to Kebele (WoA, EPLAU, WoLF, WoWE, WoLE and etc training)	10,000	-	5,000	-	10,000	25,000
DSA for field works of from Woreda (WTC,WSC, other experts training) including consultation, participation, and awareness creation to kebele level for DA and community	50,000	30,000	30,000	50,000	30,000	190,000
Awareness creation to SC at woreda and zonal level	2,000		2,000		1,000	5,000
Logistics & stationeries at regional, zonal and district level	1,500	1,500	1,500	1,500	1,500	7,500
Monitoring and evaluation training at federal, regional and woreda level	2,000	2,000	2,000	2,000	2,000	10,000
Monitoring, technical support, and supervision of the implementation of ESMF, SA (SMP), RPF, GRM by RLLP NPSU and NTC members (Operating cost)	**12,500**	**12,500**	**13,000**	**12,500**	**12,500**	**63,000**
Logistics (Air ticket, Fuel, maintenance and others) at all level	1,500	1,500	2,000	1,500	1,500	8,000
Stationery (Lump-sum)	1,000	1,000	1,000	1,000	1,000	5,000
DSA for Supervision of ESMF, SA, RPF and GRM performance	10,000	10,000	10,000	10,000	10,000	50,000
Experience sharing	**15,000**	**4,500**	**18,000**	**4,500**	**18,000**	**60,000**
Within regions	3,000	3,000	3,000	3,000	3,000	15,000
In other best performing regions	10,000		10,000		10,000	30,000
Logistics (fuel and car rent) for the experience sharing (Lumpsum)	2,000	1,500	5,000	1,500	5,000	15,000
2.4.6 Periodic monitoring, review (auditing) and participate in the JISM (Lump sum)	5,000	6,000	5,000	5,000	6,000	27,000

TABLE 17: Five-year Gender Mainstreaming activity plan with budget (USD) in RLLP-II woredas

Gender Mainstreaming - Total Budget	Year 1	Year 2	Year 3	Year 4	Year 5	Total
	84,900	385,200	223,750	187,650	42,250	923,750
1 Capacity Building: Trainings and Awareness	**25,900**	**95,450**	**51,000**	**41,400**	**0**	**213,750**
1.1 DSA for Regional and federal staff of the program	3,900	3,900		1400	-	9,200
1.2 DSA and other costs for zonal and woreda experts- training- on gender concepts, mainstreaming etc.	12,000	32,500	22,000	10,500		77,000
1.3 DSA and other expenses for training to Kebele DAs, Community facilitators and community including KWT and CWT	10,000	29,550	29,000		-	68,550
1.4 Awareness creation to SC at woreda and zonal level		29,500		29,500		59,000
2. Technical support, monitoring the planning and implementation of Gender mainstreaming and social development activities	**9,000**	**23,500**	**21,500**	**15,000**	**6,000**	**75,000**
2.1 Technical support &Monitoring, the planning and implementation of Gender mainstreaming (woreda experts)	7,000	17,000	16,000	11,000	6000	57,000
2.2 Technical support & Monitoring, the planning and implementation of Gender mainstreaming activities(regional experts)	2,000	4,000	3,500	1500		11,000
2.3 Technical support and monitoring by federal experts		2500	2000	2500		7000
3. Experience sharing		**110,000**	**45,000**	25,000		**180,000**
3.1 Within regions		50,000	45,000			95,000
3.2 In other best performing regions		60,000	-	25,000	-	85,000
5. Gender assessment and GBV	**50,000**	**86,250**	**86,250**	**86,250**	36,250	**345,000**
5.1 Baseline situation assessment on gender mainstreaming and GBV	50,000					50,000
5.2 Implementation of GBV action plan after baseline situation assessment		36,250	36,250	36,250	36,250	145,000
5.3. Gender assessment		50,000	50,000	50,000		150,000
6. Gender sensitive value chain analysis & mapping of gender roles, relations and challenges		**50,000**				**50,000**
7. Monitoring & supervision of Female participation and benefit share by WCY directorate		20,000	20,000	20,000		**60,000**

Table 18: Proposed budget for Covid-19 Management of RLLP (Occupational Health and Safety Measures) in USD

Occupational Health and Safety Management	PY1	PY2	PY3	PY4	PY5	Total
	72,500	**69,000**	**57,500**	**65,000**	**64,500**	**328,500**
Goods and materials	20,500	17,000	15,500	13,000	12,500	78,500
Goods (Protective materials: face masks, Alcohol, Sanitizer)	17,000	17,000	13,000	13,000	10,000	70,000
Goods (brochures, pamphlets, etc.)	3,500	-	2,500	-	2,500	8,500
Capacity Building: Trainings and Awareness	20,000	20,000	10,000	20,000	20,000	90,000
Training and awareness creation on COVID-19 for all actors from federal to woreda level	20,000	2,000	10,000	20,000	20,000	72,000
Awareness creation to community and vulnerable groups on COVID-19	-	-	-	-	-	-
Monitoring, technical support, and supervision on COVID-19 in RLLP watersheds	32,000	32,000	32,000	32,000	32,000	160,000
Logistics (Air ticket, Fuel, maintenance and others) at all level	30,000	30,000	30,000	30,000	30,000	150,000

NB: 1. The above data prepared not based on detail assessment made. And therefore, it stands open for revision and improvement as and when needed. Your input and supportive comments are welcome.

2. The source of the budget is from the incoming Norway Additional Finance (already approximately budgeted NOK 15 million RLLP co-financing through the existing MDTF,).

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9. Annexes

Annex 1. Definitions of terms

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

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

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

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

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

- **Environmentally/Ecologically sensitive areas:** are places that have special environmental attributes worthy of retention or special care. Besides, they are critical to the maintenance of productive and diverse plant and wildlife populations. Some of these environmentally sensitive areas are home to species which are nationally or regionally significant, others are important in a more local context. Examples include rare ecosystems, habitats for species at risk and areas that are easily disturbed by human activities, wetlands, lakes, flood and land slide prone areas, rivers, etc.

- **Forest:** Land spanning at least 0.5 ha covered by trees, attaining a height of at least 2 m and a canopy cover (or equivalent stocking level) of more than 10% or trees with the

potential to reach these thresholds in situ in due course. Forest may consist of either closed forest formations or open forest; and includes areas normally forming part of the forest area that are temporarily unstocked as a result of human intervention - but that are expected to revert to forest.

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

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

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

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

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

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

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

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

- **Resettlement**: in RLLP-II context, covers all direct economic and social losses resulting from land taking and restriction of access, together with the consequent compensatory and remedial measures. Resettlement is not restricted to its usual meaning-physical relocation. Resettlement can, depending on the case, include (a) acquisition of land and physical structures on the land, including businesses; (b) physical relocation; and (c) economic rehabilitation of displaced persons (DPs), to improve (or at least restore) incomes and living standards.

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

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

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

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

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

Sub-project:_____ Woreda: _____
Kebele: _____ Name of micro Watershed _____,
Person/DA who filled the eligibility checklist _____
Date: _____ Signature: _____

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

Recommendations:

Sub-project is not eligible and rejected: ☐

Sub-project is eligible and approved: ☐

Persons/DAs who did the eligibility check:

1. _____
2. _____
3. _____

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

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

Reasons for rejection:

1. _____
2. _____

Annex 3: Sub-projects needing special attention

Sub-project: _____ woreda: _____

Name of micro watershed _____ Responsible person/expert who did the screening: _____Date: _____
Signature: _____

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

Recommendations:

Sub-project needs special attention: ☐

Sub-project does not need special attention: ☐

Screening is approved by the Woreda NRM Head:

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

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

Guidance for Woreda TC

Sub-project:_____ Woreda: _____

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

Sub-projects of environmental concern

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

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

Guidance for woreda technical committee

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

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

Recommendations:

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

Reasons for rejection

1) _____
2) _____

Completed by:

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

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

Reviewed and approved by: Woreda environmental regulatory body

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

Annex 6. Alignment of Operations Procedure

Summary

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

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

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

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

The Procedure

Step 1: Screening

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

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

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

Step 2: Managing the Interface

The Bank Task Team classifies the CC based on the completed checklist (attached here with). This classification indicates to the WB what strategy to adopt.

The factors used to classify the CC as set out in the checklist, and their significance, are as follows:

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

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

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

The principles of CC classification as are follows:

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

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

For Category I CCs:

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

For Category II CCs:

If there are rectifiable shortcomings in Mandatory Resources:

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

If there are shortcomings in Basic Services:

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

- The Bank may support sub-projects designed to provide basic services to the CC.

If there are shortcomings in Prior Conditions:

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

For Category III CCs:

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

Table : Screening Checklist[1]

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

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

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

Annex 7. A Guiding Note for addressing issues of Moderate and Significant Environmental and Social Impacts of RLLP-II

I. Introduction

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

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

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

a. *Extent / spatial scale of the impact*

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

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

b. *Intensity / severity of the impact*

This is related to the magnitude of impact in relation to the sensitivity of the receiving environment; taking into account the degree to which the impact may cause irreplaceable loss of resources. It is expressed in terms of relative severity of the impact in terms of its potential for causing either negative or positive effects. Intensity also takes account of other aspects of impact whether or not an impact is reversible and the likely rate of recovery.

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

c. Duration of the impact

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

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

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

Consequence of Impact = I + E + D

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

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

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

d. Probability – the likelihood of the impact occurring

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

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

e. Impact Aggregation Method 1

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

Consequence of Impact X **Probability of the Impact** = **Impact Significance**

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

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

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

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

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

III. Impact identification and classification:

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

Issue	Scope of Impact definition		
	Significant	Medium	No Impact
Involuntary Resettlement	• If the activity takes more than 20% of households land, • If it displaces greater than 200 people,	• If the activity takes less than 20% of households land, • If it displaces less than 200 people,	• No land take, • No economic or physical displacement, • No land acquisition, • No non-Land Economic Displacement,
Land acquisition	• If more than 10% of the land taken, • If economic status of the HH affected	• If more than 10% of the land taken, • No serious impact on the economic wellbeing of the HH	• Very minor or less than 10% of the land taken, • No economic wellbeing affected.

Annex 8: Potential negative impacts and possible mitigation measures of RLLP-II subprojects

Types of sub-projects	Potential negative impacts	Examples of possible mitigation measures
Construction water harvesting structures and maintenance of small scale irrigation schemes built (Diversion weir, canal, road constructions; small reservoir; Hand Dug Well and Spring Development for Small Scale Irrigation)	• Competing claims over water use and conflicts • Risk of erosion to downstream areas • Reduced water flow and limited access to water in the downstream areas • Development of salinity due to mismanagement of water and irrigated land, • May demand the use of agro-chemicals and pesticides • Soil and air pollution from agro-chemicals, • Ground and surface water pollution, • Faulty designs cause flooding, • Reservoirs (small dams for irrigation) become breeding place for disease vectors (malaria) and schistosomiasis, • Land acquisition, loss of assets, loss of land • Risk of land clearing and biodiversity loss, • Mismanagement of water may cause gully erosion • Loss of water due to mismanagement, • Reduced flow, erosion and sedimentation on international waterways, • Impacts on physical cultural resources, • Destruction of natural habitats through land clearing for cultivation,	• Carry out assessment study on water demand and availability, • Community consultations and consensus with upper and downstream community, • Carful design and installation of canal structures so that excess flows will be directed to natural waterways, • Regulate water flow and maintain the optimum flow to downstream dwellers and ecological requirements, • Adopt or promotion of the use of IPM for pest and weed control, • Promote the use of organic fertilizers among irrigators, • Use only prescribed and standard agro-chemicals (avoid unpermitted chemicals that are classified by WHO), • Consult Project Affected Persons, pay compensation/replace land for land, compensate for loss of land, livelihoods or economic benefits, • Conduct social assessment, • Plant mosquito repellent tree and shrub species around water ponds, use boiled water, • Construct fence, • Apply water efficient technologies and techniques, • Provide alternative designs and locations or • avoid if sub-projects affect physical cultural resources, destruct natural habitats, inflict deforestation, or cause biodiversity loss,
Construction and rehabilitation of community access roads and path	• Road side erosion and initiation of flooding and gully erosion in agricultural fields, • Quarry site opening causes pollution of surface and ground water,	• Apply road drainage guidelines and include standard road side stabilization activities as part of the design, • Chanel road spillways to natural waterways built with check dams,

Types of sub-projects	Potential negative impacts	Examples of possible mitigation measures
	• Roads may cross and cause destruction of natural habitats and forests • Disturbance to ecologically important habitats, cultural, religious and historical sites or resources • Loss of biodiversity thought cut and fill activities and soil excavations • Restriction of wildlife movement • Disturbance of ecologically sensitive areas • Erosion and sedimentation to water infrastructure and water sources • Land acquisition.	• Rehabilitate quarry sites with natural vegetation, rip raping, shaping and refilling, and avoid creation of standing water, • Avoid disturbance to cultural or religious sites. Unavoidable incidences must be agreed with stake holders such as leaders of churches, mosques and community. • Reroute/redesign if alignment crosses important habitats and forests, • Avoid effects on habitats and wildlife movement corridors through alternative routes, or relocate species for ex-situ conservation, • Assess each forest, riparian and wetland habitat within the proposed project site and avoid such sites with identified biodiversity value, avoid if project causes relocation of people, • OHS measures during construction, • Community health and safety around project sites,
Degraded land treatment and rehabilitation on communal and private lands using physical and biological SWC measures (including gully treatment, afforestation, area ex-closures, agro-forestry interventions, etc.) and through natural regeneration and reforestation	• Restriction of access to communal lands • Restriction of human and livestock mobility • Risk of introduction of invasive exotic species • Risk of harboring rodents and other crop pests • Risk of wildlife, rodents and other pests • Low standard physical structures due to lack of capacity • Risk of significant involuntary land acquisition and causing relocation of households • Risk of conflict over diverse interests • Loss of economic or livelihood benefits • significant involuntary land acquisition • Wildlife attack on domestic animals and increase of crop pests (birds, primates, mammals) • Risk of mono-cropping (resorting to one or two exotic species).	• Community awareness and training on pest management, • Provide alternative routes formed for mobility • Compensations for loss of access (if caused economic loss) • Select non-invasive exotic and indigenous species • Use those species that disfavor pests (pest resistant crops) • Selection and use of non-invasive exotic and indigenous species, pest repellent and species that doesn't harbor rodents • Implement physical structures as per the standards in relevant guidelines (CBPWMG) • Provision of alternatives (options for cut and carry, awareness on alternative forage sources, forage species provision) • Consecutive inclusive community consultations and consensus on benefits and costs, responsibilities of management, benefit sharing arrangements • Prepare and implement IPMP, where cultural pest management practices are the one,

Types of sub-projects	Potential negative impacts	Examples of possible mitigation measures
	• Loss of farmland due to structures. • Compromise to local biodiversity (indigenous species).	• Training of communities on cultural practices to manage pests, • Avoid appropriation of land or eviction of households • Prioritize indigenous and multiple mix of species for planting
Introducing Participatory Forest Management for forest and woodland management	• Restriction of access, • Loss of economic and livelihood benefits • Rising of conflicting interests • Disruption to indigenous/traditional resource use and management systems • Risk of creating competing claims • Risk of GBV and SEA/SH	• Consultative meetings and community consensus on benefits and responsibilities • Build community consensus and constitute regulatory mechanisms • Integrate traditional systems Create opportunities for wider participation • Baseline situation assessment Gender base violence including SEA/SH will be conducted. • The SEA/SH risk will be continuously assessed, and mitigation will be integrated in the sub project plans-including a code of conduct, referral pathway and GBV/SEA GRM access. • Make certain the availability of an effective grievance redress mechanism (GRM) with multiple channels to initiate a complaint. It should have specific procedures for GBV including confidential reporting with safe and ethical documenting of GBV cases; • Have project workers and local community undergo training on GBV/SEA and SH
Introduction of EE and RE technologies	• impact on biodiversity, • Loss of vegetation cover, • social conflict,	• Avoid sites that require cutting of sensitive species (as per subproject ESMP and consultations with relevant authorities), • Avoid and/or minimize cutting of big trees, especially due attention be given for indigenous trees and undertake replanting of trees.
Establishing and/or strengthening community	• Land acquisition • Restriction of access for humans and livestock	• Provide alternatives sources before starting implementation or compensate for loss of economic and livelihood benefits,

Types of sub-projects	Potential negative impacts	Examples of possible mitigation measures
level protected area system, conservation zones, communal reserves, groves, wildlife corridors	• Loss of economic and livelihood benefits • Wildlife attack on livestock and increased crop pests	• Prepare wildlife management plans and training of communities on cultural practices to manage pests • Carry out social assessment report and prepare social management plan
Integrating agro-silvo-animal husbandry systems/practices	• Loss of land (grazing land shortage) due to increased density of trees • Increased risk of crop pests	• Avoid competing claims on land (for grazing and tree planting) • Provide alternatives sources (feed sources) before starting implementation • Introduce cultural pest management practices
Establishing pockets of wood stands at homestead level	• Increased risk of crop pests • Competition with annual or food crops • Ground water depletion through deep root system • Disruption to nutrient cycle if species have allelopathic effects	• Introduce cultural pest management practices, • Planting sites should be different and with sufficient distance from crop fields • Avoid planting close to water bodies, wetlands, shallow water table areas, • Select species that do not have substantial water consumption requirements, • Select species that do not cause allelopathic effect
Introduction of high value crops (vegetables, root crops and fruit seeds, seedlings)	• Increased load of agro-chemicals to control pests and plant diseases, • Contamination of surface water with agro-chemicals	• Introduce and apply cultural pest management practices, • Promotion of the use of IPM and organic fertilizers among irrigators association members.
Introducing new varieties of plant species for forage and food crops	• Risk of introducing new pests and crop diseases with new the germ-plasm	• Conduct quarantine checks and follow national guidelines for introduction of new germ-plasm
Development of ecotourism around national parks	• Risk of immigration of labor to the area and uncontrolled growth of small businesses with a possibility of conflict with the community, • Disturbance of local cultures, practices, and values, and • Result in potential increased health risks, including of increased prostitution, sexual abuse and exploitation of minors	• Consecutive and inclusive community consultation at all stage (planning, implementation… • Due attention should be given to maximizing the benefit share of local communities • Consecutive consultation with clan leaders, religious fathers, elders, traditional institutions leaders

Types of sub-projects	Potential negative impacts	Examples of possible mitigation measures
	• People living on the edge of a park unable to collect firewood, • unable to walk to their farms on the other side of the park, • conflicts between the park management and local communities, • expansion of farming, hunting, cutting living tree, • risk of uncontrolled fire, population increase result in wildlife depletion and deforestation, • illegal fuel wood collection, charcoal production and grass cutting, • Risk to endangered species, • Risk of introducing alien invasive species, • Overgrazing and illegal killing of wildlife's, • Inappropriate disposal of solid waste • Endemic species may be hunted as tourist attractions	• Enforcing the implementation of prohibited activities in the Project Areas • Continuous awareness programs from planning to implementation • Put alternative routes for their movement, • Provide fuel saving technologies, • Participate the communities in the different IGAs of the project, Promote use of modern beehives, • Adopt or promotion of the use of IPM for pest and weed control, • Promote the use of organic fertilizers, • Compensations for loss of access (if caused economic loss) • Use only non-invasive indigenous species • Consult with relevant stakeholders (community, EFCCC and EWCA) and create a waste management-focused community outreach plan e.g. open burning and composting • Create awareness to local community about importance of endemic animals.

Annex 9: Potential social risks, challenges and mitigation measures related to RLLP-II by component

Component	Potential risks and challenges	Proposed mitigation measures	Responsible body	Required Budget
Component 1: Green Infrastructure and Resilient Livelihoods	• Focus on supporting smallholder farmers to scale up and adopt best-fit sustainable land and water management technologies and practices. Hence there is a possible risk/ challenge of not properly addressing the circumstances of people such as hunters and gatherers, who peruse peculiar livelihood systems and natural resource management strategies.	• Device a mechanism to include "hunters and gatherers" livelihood strategies into the RLLP activities. For example, traditional beekeeping though largely takes the form of forest honey collection, can be integrated into the RLLP activities with an injection of modern knowledge and technology based on their demand such as beekeeping technology as the latter is more productive, sustainable and environmentally and appropriate for women to manage.	MoA-PCU	The proposed mitigation measures are integrated in to component 1.3
	• The creation of benefit streams through markets and other market based instruments like results-based payments involve the risk /challenge of not properly considering the elderly, people with disability and poor members of the community.	• It is recommended that the project through consultation with the beneficiary communities, devise possible mechanisms on how to make the old, the sick and people with disability benefit from the project even when they might not afford to contribute either labor or cash to the project implementation. For example, the elderly people can be used as advisors, people with disability as time keeper, etc.	MoA-PCU	The proposed mitigation measures are integrated in to component 1.1
	• Watershed community saving is part of the project activities that helps Users' Groups who voluntarily organize themselves to engage in IGA suitable to their respective environment. In principle membership is open to all members, but the minimum cash contribution and	• The project should devise a mechanism (e.g., interest free loan, for those who cannot involve in the regular scheme) by which watershed community members who are likely to be left out due to the inability to meet the minimum membership requirement can also benefit from the scheme.	MoA-PCU	The required budget will be covered from component 1.3

Component	Potential risks and challenges	Proposed mitigation measures	Responsible body	Required Budget
	active participation requirement to run the IGA leaves out some members of the community who could not afford. This involves the risk of further disadvantaging the vulnerable groups.	• For vulnerable and historically underserved communities unable to join cooperatives due to inability to pay the registration fee should be supported through flexible local level solutions such as means-test-based exemption of registration fee; allowing them raise registration fee from project activities; keeping the registration fee as low as much lower as the poorest of the poor can afford; and by introducing installment based payment.		
	• Female household heads may face the risk of not benefiting from the Project in equal measure with male counterparts because of not being able to balance their domestic responsibilities with their project-related role in the treatment of communal lands.	• Especial support needs to be provided to women playing the dual role of mothers and household heads, and active participation in the Project with male community members. Arrangements may be made in consultations with watershed committees in this respect. Suggested ways to help them balance their competing responsibilities may be allowing them to a certain number of hours or days off from the minimum required time of labor contribution to the Project.	MoA-PCU	More measures are identified in the gender action plan
	• Potential impacts and risks of Gender-Based Violence (GBV) and sexual exploitation in project implementation area	• Make certain the availability of an effective grievance redress mechanism (GRM) with multiple channels to initiate a complaint. It should have specific procedures for GBV including confidential reporting with safe and ethical documenting of GBV cases; • Have project workers and local community undergo training on GBV/SEA and SH.	MoA-PCU	The required budget will be covered from component 1 and 2

Component	Potential risks and challenges	Proposed mitigation measures	Responsible body	Required Budget
		• Baseline situation assessment Gender base violence including SEA/SH will be conducted. • The SEA/SH risk will be continuously assessed, and mitigation will be integrated in the sub project plans- including a code of conduct, referral pathway and GBV/SEA GRM access.		
	• Development of ecotourism around national parks may result in immigration of labor to the area and uncontrolled growth of small businesses with a possibility of conflict with the community, disturbance of local cultures, practices, and values, and risks of increased prostitution, sexual abuse and exploitation of minors • Decrease the abundance and diversity of fauna and flora (e.g. change the behavior and movement of animal due to close exposure with tourists, and endemic species may be hunted as tourist attraction	• Consecutive and inclusive community consultation at all stage (planning, implementation… • Due attention should be given to maximizing the benefit share of local communities • Consecutive consultation with clan leaders, religious fathers, elders, traditional institutions leaders • Consult with relevant stakeholders (community, EFCCC and EWCA) and create a waste management-focused community outreach plan e.g. open burning and composting. • Stakeholders and concerned authorities would consider this issue for sustainable development of ecotourism • Creating awareness to local community about importance of endemic animals. •	MoA, SNNPR & Gambella Bureau of culture & tourism and other implementing organizations	The required budget will be covered from Component 1

Component	Potential risks and challenges	Proposed mitigation measures	Responsible body	Required Budget
Component 2: Investing in Institutions & Information for Resilience	• Lessons learned from SLMP II show that inadequate attention to the use of locally available indigenous knowledge systems and time-tested adaptation strategies can undermine the potential positive roles	• It is highly recommended that locally available social capital such as traditional and indigenous knowledge of land use and natural resources conservation practices, conflict resolution for effective implementation of project activities to facilitate and speed up the implementation.	MoA-PCU	The required budget will be covered from Component 1 and 2

Annex 10: Guidelines for sub-projects requiring special attention

I. Agricultural sub-projects involving use of agro-chemicals: Guidelines for IPM

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

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

- Based on the Guide, an IPM Plan will be produced for each small-scale irrigation scheme or other agricultural sub-projects of the CSA component of RLLP-II.

II. Sub-projects involving any form of involuntary resettlement

As much as possible, significant involuntary land acquisition and physical displacement should be avoided. All viable alternative options for designs have to be checked. When sub-projects trigger involuntary resettlement, a social assessment must be carried out and RAP must be prepared. A brief action plan may be developed when less than 200 people are affected by the sub-project. The Resettlement Action Plan must include measures to ensure that the displaced persons are informed about their options and rights pertaining to resettlement. The

displaced persons are consulted on, offered choices among, and provided with technically and economically feasible resettlement alternatives and provided prompt and effective compensation at full replacement cost for losses of assets attributable directly to the project.

Annex 11: Questionnaire for consultative meeting and discussions with different stakeholders

I. Checklist for discussion with regional PCU staffs and Woreda focal persons

General on SLMP II (Phase 2 of the program)
Project identification and planning process

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

Major impacts observed and mitigation measures taken?

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

Unaddressed impacts

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

ESMF application

- Did the ESMF contribute to the identification, avoidance or management of any negative environmental and social impacts of the projects?
- What were the processes of impact identification, screening of projects and approval?
- Which types of project activities did require critical EAI analysis? Who did the EAI analysis and how were the mitigations measures implemented? Who monitored the implementation?

- What were the major bottlenecks, in your opinion, in implementing the ESMF?
- Which step of the Environmental management process is critical and what kinds of problems did you experience at the different stages? (e.g., at community/Kebele, Woreda, regional)
- What were the major environmental and social impacts that were effectively addressed through the implementation of the ESMF?

Capacity gap in implementation

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

Improvements in RLLP-II

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

II. Checklist for discussions with community members

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

Self-Administered Questionnaire for consultative meeting with regional SLMP staffs

General on RLLP-II

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

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

Major impacts observed and mitigation measures taken

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

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

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

ESMF application

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

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

Capacity gap in implementation

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

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

MoA main task in the ESMF process:

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

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

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

Woreda ----------

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

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

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

Improvements in ESMF

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

Annex 12: ToR for ESIA

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

The ESIA report should include the following items:

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

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

J. **Appendixes**

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

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

1. Introduction

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

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

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

2. Planning of small Dams

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

i. the competence and experience of the owner's agents relative to the nature and dam hazard category of the dam, must be appropriate in all areas;

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

3. Dam site investigation

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

4. Considerations at Investigation Stage

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

a. The catchment is the area of land from which run-off is to be collected. If it is the main source of water supply, make sure that it is capable of yielding enough water to maintain both, the supply in the dam and the required releases over all periods of intended use. The catchment area however should not be too large, as it will then require a big and expensive overflow system (or spillway) to safely pass excess run-off from heavy rainfall without overtopping the dam.
b. Topographical features such as slope, width and height of dam, as well as reservoir capacity will influence construction costs.
c. Conducting site tests to establish the material properties for the embankment and foundation.
d. A good location for a spillway that will effectively handle runoff and minimize erosion.
e. Watershed activities that can affect the water quality or quantity of runoff.

II. ***Environmental Considerations:*** Dams with their associated reservoirs can have substantial environmental effects and any existing dam or new project must comply with the Ethiopian environmental and environmental legislations and associated licensing or

permit requirements. It also complies with World Bank Safety of Dam ESS 4 . It should be recognized at the outset that dam developments have effects extending beyond the immediate confines of the dam and inundated areas. For example;

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

5. Dam Design

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

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

Sedimentation: The effective life of many of small dams is reduced by excessive siltation – some small dams silt up after only a few years. This issue is poorly covered in the many small dam design manuals that are available, as they mostly focus on the civil engineering design and construction aspects. Appropriate methods/tools have to be chosen to predict, and where possible reduce, siltation rates in small dams.

6. Construction of a Dam

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

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

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

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

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

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

7. Safety Surveillance

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

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

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

Adoption of the inspection frequency for a particular dam is the responsibility of the owner, though professional advice should be sought for large dams or those categorized under significant and high hazard dams. According to the dam safety guidelines prepared for AGP, the suggested inspection frequencies for small dams of less than 15 m height for the two levels surveillance (quick visual inspection and comprehensive examination) is presented in the table below and should be followed critically.

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

Special Inspections: Special inspections will be required after unusual events such as earthquakes, major floods, rapid drawdown or volcanic activity. Special inspections should enable the dam owner to become aware of faults before partial or total failure occurs. Times when inspections additional to those above are recommended are:

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

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

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

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

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

8. Operation and Maintenance of Dams

Effective and ongoing operation, maintenance and surveillance procedures are essential to ensure the continued viability and safety of a dam and its appurtenant structures. Poor operation, maintenance and surveillance will invariably result in abnormal deterioration, reduced life expectancy and possibility of failure. The proper operation, maintenance and surveillance of a dam provide protection for the owner and the general public. Furthermore, the cost of good operation, maintenance and surveillance procedures is small compared with the cost and consequences of a dam failure which could include major repairs, loss of life, property damage and litigation.

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

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

Annex 14. Proposed capacity building and training schedules

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

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

Annex 15. Grievance application form

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<u>የዘላቂ መሬት አያያዝ ፕሮግራም የቅሬታ ማቅረቢያ ቅፅ</u>

1. የቅሬታ አቅራቢ ስም……
2. የሚገኝበት ቦታ፣ ወረዳ……..

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   ንዑስ ተፋሰስ ስም……
3. የቀረበው ቅሬታ

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4. የችግሩ መንስኤ (በቅሬታ አቅራቢው አስተያየት)

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5. የቅሬታ አቅራቢው እንዲሆንለት የሚፈልገው ፍላጎት

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6. የቅሬታ ተቀባይ ስም……..

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Annex 16: Environmental and Social Clauses for Contractors

General

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

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

- Ensure that existing water flow regimes in rivers, streams and other natural or irrigation channels is maintained and/or re-established where they are disrupted due to works being carried out.
- Prevent and minimize the impacts of quarrying, earth borrowing, piling and building of temporary construction camps and access roads on the biophysical environment including protected areas and arable lands; local communities and their settlements. In as much as possible restore/rehabilitate all sites to acceptable standards.
- Minimize the effect of dust on the surrounding environment resulting from earth mixing sites, vibrating equipment, temporary access roads, etc., to ensure safety, health and the protection of workers and communities living in the vicinity dust producing activities.
- Ensure that noise levels emanating from machinery, vehicles and noisy construction activities (e.g. excavation, blasting) are kept at a minimum for the safety, health and protection of workers within the vicinity of high noise levels and nearby communities.
- Upon discovery of ancient heritage, relics or anything that might or believed to be of archeological or historical importance during the execution of works, immediately report such findings to the Supervising expert so that the appropriate authorities may be expeditiously contacted for fulfillment of the measures aimed at protecting such historical or archaeological resources.
- Discourage construction workers from engaging in the exploitation of natural resources such as hunting, fishing, and collection of forest products or any other activity that might have a negative impact on the social and economic welfare of the local communities.
- Implement soil erosion control measures in order to avoid surface run off and prevents siltation, etc.

- Ensure that garbage, sanitation and drinking water facilities are provided in construction workers camps.
- Ensure that, in as much as possible, local materials are used to avoid importation of foreign material and long distance transportation.
- The Contractor shall indicate the period within which he/she shall maintain status on site after completions of civil works to ensure that significant adverse impacts arising from such works have been appropriately addressed.

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

Rehabilitation and Soil Erosion Prevention

- To the extent practicable, the Contractor shall rehabilitate the site progressively so that the rate of rehabilitation is similar to the rate of construction.
- Always remove and retain topsoil for subsequent rehabilitation. Soils shall not be stripped when they are wet as this can lead to soil compaction and loss of structure.
- Topsoil shall not be stored in large heaps. Low mounds of no more than 1 to 2m high are recommended.
- Re-vegetate stockpiles to protect the soil from erosion, discourage weeds and maintain an active population of beneficial soil microbes.
- Locate stockpiles where they will not be disturbed by future construction activities.
- To the extent practicable, reinstate natural drainage patterns where they have been altered or impaired.
- Remove toxic materials and dispose of them in designated sites. Backfill excavated areas with soils or overburden that is free of foreign material that could pollute groundwater and soil.
- Ensure reshaped land is formed so as to be inherently stable, adequately drained and suitable for the desired long-term land use, and allow natural regeneration of vegetation.
- Minimize the long-term visual impact by creating landforms that are compatible with the adjacent landscape.
- Minimize erosion by wind and water both during and after the process of reinstatement.
- Compacted surfaces shall be deep ripped to relieve compaction unless subsurface conditions dictate otherwise.

- Re-vegetate with plant species that will control erosion, provide vegetative diversity and, through succession, contributes to a resilient ecosystem. The choice of plant species for rehabilitation shall be done in consultation with local research institutions, forest department and the local people.

Water Resources Management

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

Waste Management

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

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

If disposal sites for clean spoil are necessary, they shall be located in areas, approved by the Supervising Expert, of low land use value and where they will not result in material being

easily washed into drainage channels. Whenever possible, spoil materials should be placed in low-lying areas and should be compacted and planted with species indigenous to the locality.

Material Excavation and Deposit

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

New extraction sites:

- Shall not be located in the vicinity of settlement areas, cultural sites, wetlands or any other valued ecosystem component, or on high or steep ground or in areas of high scenic value, and shall not be located less than 1km from such areas.
- Shall not be located adjacent to stream channels wherever possible to avoid siltation of river channels. Where they are located near water sources, borrow pits and perimeter drains shall surround quarry sites
- Shall not be located in archaeological areas. Excavations in the vicinity of such areas shall proceed with great care and shall be done in the presence of government authorities having a mandate for their protection.
- Shall not be located in forest reserves. However, where there are no other alternatives, permission shall be obtained from the appropriate authorities and an environmental impact study shall be conducted.
- Shall be easily rehabilitated. Areas with minimal vegetation cover such as flat and bare ground, or areas covered with grass only or covered with shrubs less than 1.5 m in height, are preferred.
- Shall have clearly demarcated and marked boundaries to minimize vegetation clearing.
- Vegetation clearing shall be restricted to the area required for safe operation of construction work. Vegetation clearing shall not be done more than two months in advance of operations.
- Stockpile areas shall be located in areas where trees can act as buffers to prevent dust pollution.
- Perimeter drains shall be built around stockpile areas. Sediment and other pollutant traps shall be located at drainage exits from workings.
- The Contractor shall deposit any excess material in accordance with the principles of these general conditions, and any applicable ESMP, in areas approved by local authorities and/or the Supervising expert.
- Areas for depositing hazardous materials such as contaminated liquid and solid materials shall be approved by the Supervising expert and appropriate local and/or national authorities before the commencement of work. Use of existing, approved sites shall be preferred over the establishment of new sites.

Chance finds procedure for culturally significant artefacts

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

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

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

Cost of Compliance

It is expected that compliance with these conditions is already part of standard good workmanship and state of art as generally required under this Contract. The item "Compliance with Environmental Management Conditions" in the Bill of Quantities covers these costs. In addition to that, the bidding documents should indicate how compliance with environmental rules and design specifications would be supervised, along with the penalties for non-compliance by contractors or workers. No other payments will be made to the Contractor for compliance with any request to avoid and/or mitigate an avoidable Environmental and social impact.

Annex 17. Views and concerns of participants during consultations and discussions as per SEP

The consultation process at woreda and kebele/community level focused on extracting information on the impact of implementation of the ***existing and presupposed soil and water conservation practices*** including infrastructure, their mitigation measures and soliciting of information on how to safeguard the society and the natural environment from possible adverse effects of the implementation measures of the program. Community level consultation included attendants drawn from representatives of existing community members, ethnic groups, religious groups, gender groups, age groups, underserved communities, and educational groups. For consultation that has been carried out at woreda level included

representatives of the agricultural, the environment, land and water and other sectors found relevant in the course of communication. All the consultations at community level have to be carried out after obtaining the consent of the participants.

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

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

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

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

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

Comment: The previous SLMP-II ESMF has covered issues on the procedures employed in screening and approval of subprojects, the types of impacts and their possible mitigation measures, stakeholders involved in the clearance and implementation of the mitigation measures and others. Since the documents are at the hands of the WFP, need to be duplicated

and be available in all WTC members' offices. The SLMP established an information centers in all the woredas, not only the three safeguard instruments but also other published documents need to be put in these centers.

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

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

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

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

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

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

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

Question: What makes RLLP-II different from SLMP?

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

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

Farmer participants

Woreda: Hintalo Wajerat

Kebelle: Bahri tseba

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

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

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

Kebelle Adminstration participants
Woreda: Hintalo Wajerat
Kebelle: Bahri tseba
Moderator: Kiros G/hiwot, Sig: date: 08/07/2010

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

Figures: Discussions with community members

Experts and DAs participants

Woreda: Hintalo Wajerat

Kebelle: Bahri tseba

Moderator: Keros G/hiwot Sig: Date: 09/07/2010

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

Figures: Discussion with community members

Community consultation for RLLP

Focus group Discussion (FGD) participants' attendance.

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

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

Place of consultation ....Abo menor kebele.....

Time ...2:00 – 7:00.....

s/n	Name	sex	Age	Woreda/kebele	Responsibility	Signature
1	[illegible]	♂	32	Almenor	[illegible]	[illegible]
2.	[illegible]	♂	35	>>	>>	[illegible]
3.	[illegible]	♂	36	>>	>>	[illegible]
4.	[illegible]	♂	28	>>	>>	[illegible]
5.	[illegible]	♂	35	>>	>>	[illegible]
6.	[illegible]	♂	35	>>	>>	[illegible]
7.	[illegible]	♂	40	>>	>>	[illegible]
8.	[illegible]	♂	47	>>	[illegible]	[illegible]
9.	[illegible]	♂	45	>>	>>	[illegible]
10.	[illegible]	♂	50	>>	>>	[illegible]
11.	[illegible]	♂	21	>>	[illegible]	[illegible]
12.	[illegible]	♂	30	>>	>>	[illegible]
13.	[illegible]	♂	34	>>	>>	[illegible]
14.	[illegible]	♂	33	>>	[illegible]	[illegible]
15.	[illegible]	♂	36	>>	>>	[illegible]
16.	[illegible]	♂	32	>>	>>	[illegible]
17	[illegible]	♂	36	>>	[illegible]	[illegible]
18.	[illegible]	♂	43	>>	[illegible]	[illegible]

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

Community consultation for RLLP

Focus group Discussion (FGD) participants' attendance.

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

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

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

Time ..5:00 – 7:00.................................

s/n	Name	sex	Age	Woreda/kebele	Responsibility	Signature
19.	[illegible]	ወ	28	Almenor	[illegible]	
20.	[illegible]	ወ	35	>>	>>	
21.	[illegible]	ወ	37	>>	>>	
22.	[illegible]	ወ	40	>>	>>	
23.	[illegible]	ወ	52	>>	>>	
24.	[illegible]	ወ	45	>>	>>	
25.	[illegible]	ወ	58	>>	[illegible]	
26.	[illegible]	ወ	45	>>	[illegible]	
27.	[illegible]	ወ	48	>>	[illegible]	
28.	[illegible]	ወ	25	>>	[illegible]	
29.	[illegible]	ወ	25	>>	[illegible]	
30.	[illegible]	ወ	24	>>	[illegible]	
31.	[illegible]	ወ	41	>>	[illegible]	
32.	[illegible]	ወ	45	>>	[illegible]	
33.	[illegible]	ወ	50	>>	[illegible]	
34.	[illegible]	ወ	55	>>	>>	
35.	[illegible]	ወ	52	>>	>>	
36.	[illegible]	ወ	48	>>	[illegible]	

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

Community consultation for RLLP

Focus group Discussion (FGD) participants' attendance.

Region- Amhara Woreda.....South wello.....

Date of consultation ....7/06/2012.....

Place of consultation ....Abiro mena Kebele.....

Time .....

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

Moderator: Name .....[illegible]..... signature.....[illegible].....date ...7/6/2012 E.C

Annex II: Community Consultation Attendance Sheet

Region -- Benishangul
Woreda -- [illegible]
Kebele -- [illegible]
Micro watershed -- [illegible]
Cosulted Nov - [illegible]

No	List of participant	Sex	Age	Responsibility	Signature
1	[illegible]	m	57	[illegible]	[signature]
2	[illegible]	m	25	’’	[signature]
3	[illegible]	m	20	’’	[signature]
4	[illegible]	m	45	[illegible]	[signature]
5	[illegible]	m	34	[illegible]	[signature]
6	[illegible]	m	29	[illegible]	[signature]
7	[illegible]	m	28	[illegible]	[signature]
8	[illegible]	[illegible]	32	[illegible]	[signature]

Annex II: Community Consultation Attendance Sheet

Region -- [illegible]
Woreda -- [illegible]
Kebele -- [illegible]
Micro watershed --
Name of consulted groups -- [illegible]

No	List of participant	Sex	Age	Responsibility	Signature
1	[illegible]	M	58	[illegible]	[signature]
2	[illegible]	M	20	[illegible]	[signature]
3	[illegible]	M	20	[illegible]	[signature]
4	[illegible]	M	18	[illegible]	[signature]
5	[illegible]	M	30	[illegible]	[signature]
6	[illegible]	M	22	[illegible]	[signature]
7	[illegible]	M	60	[illegible]	[signature]
8	[illegible]	M	30	[illegible]	[signature]
9	[illegible]	M	44	[illegible]	[signature]
10	[illegible]	M	40	[illegible]	[signature]
11	[illegible]	M	32	[illegible]	[signature]
12	[illegible]	M	35	[illegible]	[signature]

Figure. List of participants at Debati and Assosa woredas, Benishangul Gumuz Region.

Annex II: Community Consultation Attendance Sheet

Region BG
Woreda Yaso
Kebele Ayano
Micro watershed ---------- (Gumuze Ethinic group)

No	List of participant	Sex	Age	Responsibility	Signature
1					
2					
3					
4					
5					
6					
7					
8					
9					
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12					
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30					
31					

Figure. List of participants at Yaso woreda, Benishangul Gumuz Region.

Figure: Community consultation at Parzeit kebele, Benishangul Gumuz

Figures: Community consultation with local community members.

Region: Gambella
Woreda: Lare
Date: 27/02/2018

Moderator: Biel Dak
Name of Specific place/ Kebele: Thiang

No.	Full Name	Sex	Kebele	Signature
01	NYATHIOL : Thok	Female	Paikuol	
02	NYAChot : Thor	"	>>	
03	NYAGAch : Thok	"	>>	
04	NYAGuer : Doluoth	"	>>	
05	NYA[illegible]ual : biciok	"	>>	
06	NYAChew : Kek	"	>>	
07	NYADebab	"	>>	
08	NYAChieng : Lul		>>	
09	NYAchudier : Tut		>>	
10	Nyawar Gak : Gatluak		>>	
11	NYAmnoch : Rial		>>	
12	Nyazole : Lony		>>	
13	Nyer : Mach		>>	
14	NYachop : Tal		>>	
15	Nyamal : Koang		>>	

Figure. List of participants at Lare woreda, Gambella region.